



Agenda

Audit and Scrutiny Committee

Tuesday, 26 January 2021 at 7.00 pm

Council Chamber, Town Hall, Ingrave Road, Brentwood, Essex CM15
8AY

Membership (Quorum – 3)

Cllrs Nolan (Chair), Tanner (Vice-Chair), Dr Barrett, Mrs Fulcher, Hirst, Lewis, Mrs McKinlay, Naylor and Ms Sanders

Substitute Members

Cllrs Bridge, S Cloke, McLaren, Morrissey, Mynott and Poppy

Agenda

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Live broadcast

[Live broadcast to start at 7pm and available for repeat viewing](#)

- | | | | |
|----|--|-----------|---------|
| 1. | Apologies for Absence | | |
| 2. | Minutes of the previous meeting | | 5 - 12 |
| 3. | Internal Audit Progress Report | All Wards | 13 - 38 |
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| 5. | Local Development Plan Member Working Group Update | | 69 - 76 |
| 6. | Scrutiny Work Programme | All Wards | 77 - 86 |

7. Urgent Business

An item of business may only be considered where the Chair is of the opinion that, by reason of special circumstances, which shall be specified in the Minutes, the item should be considered as a matter of urgency.

A handwritten signature in black ink, appearing to read 'J Stephenson', is centered on a light blue rectangular background.

Jonathan Stephenson
Chief Executive

Town Hall
Brentwood, Essex
18.01.2021

Information for Members

Please note the changes in blue apply to remote meetings

Introduction

The Government has enacted The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority Police and Crime Panel Meetings) (England and Wales) Regulations 2020 no 392 (the Regulations) which came into force on the 4 April 2020 and will remain in force until the 7 May 2021.

The Council will hold Committee meetings remotely and enable the public to participate by streaming those meetings that are open to the public.

Only those Committee meetings where the public have a right to speak will the facility be available to enable them to participate where the technology is not available for them to exercise this right then their participation will be by written communication read out at the remote meeting.

Substitutes

The names of substitutes shall be announced at the start of the meeting by the Chair and the substitution shall cease at the end of the meeting.

Where substitution is permitted, substitutes for quasi judicial/regulatory committees must be drawn from Members who have received training in quasi- judicial/regulatory decision making. If a casual vacancy occurs on a quasi judicial/regulatory committee it will not be filled until the nominated member has been trained.

Rights to Attend and Speak

Any member may remotely attend any Committee to which these rules apply.

Any Members may attend any Committee to which these procedure rules apply.

A Member who is not a member of the Committee may speak at the meeting. The Member may speak at the Chair's discretion, it being the expectation that a Member will be allowed to speak on a ward matter.


Members requiring further information, or with specific questions, are asked to raise these with the appropriate officer at least two working days before the meeting.

Point of Order/ Personal explanation/ Point of Information

Point of Order	Personal Explanation	Point of Information or clarification
A member may raise a point of order at any time. The Mayor will hear them immediately. A point of order may only relate to an alleged breach of these Procedure Rules or the law. The Member must indicate the rule or law and the way in which they consider it has been broken. The ruling of the Mayor on the point of order will be final.	A member may make a personal explanation at any time. A personal explanation must relate to some material part of an earlier speech by the member which may appear to have been misunderstood in the present debate, or outside of the meeting. The ruling of the Mayor on the admissibility of a personal explanation will be final.	A point of information or clarification must relate to the matter being debated. If a Member wishes to raise a point of information, he/she must first seek the permission of the Mayor. The Member must specify the nature of the information he/she wishes to provide and its importance to the current debate, If the Mayor gives his/her permission, the Member will give the additional information succinctly. Points of Information or clarification should be used in exceptional circumstances and should not be used to interrupt other speakers or to make a further speech when he/she has already spoken during the debate. The ruling of the Mayor on the admissibility of a point of information or clarification will be final.

 **Access to Information and Meetings**

You have the right to **remotely** attend all meetings of the Council and Committees. You also have the right to see the agenda, which will be published no later than 5 working days before the meeting, and minutes once they are published. Dates of the meetings are available at www.brentwood.gov.uk.

 **Guidelines on filming, photography, recording and use of social media at council and committee meetings**

The Council will be holding remote Committee meetings and will make these accessible to the public remotely by being recorded and streamed. Whilst the Regulations apply the following paragraphs will not apply to the meetings of the Council.

The council welcomes the filming, photography, recording and use of social media at council and committee meetings as a means of reporting on its proceedings because it helps to make the council more transparent and accountable to its local communities.

Where members of the public use a laptop, tablet device, smart phone or similar devices to make recordings, these devices must be set to 'silent' mode to avoid interrupting proceedings of the council or committee.

If you wish to record the proceedings of a meeting and have any special requirements or are intending to bring in large equipment then please contact the Communications Team before the meeting.

The use of flash photography or additional lighting may be allowed provided it has been discussed prior to the meeting and agreement reached to ensure that it will not disrupt proceedings.

The Chair of the meeting may terminate or suspend filming, photography, recording and use of social media if any of these activities, in their opinion, are disrupting proceedings at the meeting.

 **Private Session**

Occasionally meetings will need to discuss some of its business in private. This can only happen on a limited range of issues, which are set by law. When a Committee does so, you will be asked to leave the meeting.

The Chair or Clerk to the Committee will disconnect all persons who should leave the meeting prior to continuing there will be a short break to ensure that this has happened.

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  **Access**

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 **Evacuation Procedures**

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Minutes

Audit and Scrutiny Committee Tuesday, 24th November, 2020

Membership/Attendance

Cllr Nolan (Chair)	Cllr Lewis
Cllr Tanner (Vice-Chair)	Cllr Mrs McKinlay
Cllr Dr Barrett	Cllr Naylor
Cllr Mrs Fulcher	Cllr Ms Sanders
Cllr Hirst	

Substitute Present

Also Present

Cllr Hossack

Officers Present

Steve Summers	-	Chief Operating Officer
Jacqueline Van Mellaerts	-	Director of Corporate Resources
Jonathan Stephenson	-	Chief Executive
Alistair Greer	-	Principal Accountant (Financial Reporting)
Tracey Lilley	-	Director of Housing & Enforcement
Greg Campbell	-	Director of Environment
Amanda Julian	-	Director of Law and Governance and Monitoring Officer
Janine Combrinck	-	Internal Audit, BDO
Neil Harris	-	External Audit, E&Y
Greg Rubins	-	BDO, Internal Audit

580. Apologies for Absence

No apologies had been received.

581. Minutes of the previous meeting

The Minutes of the Audit and Scrutiny meeting held on 28th July 2020 were approved as a true record.

582. Audit Results of Statement of Accounts 2019-20

The Council's External Auditors, Ernst & Young LLP have substantially completed their audit of the Council's Statement of Accounts for 2019/20. This report presented their conclusions and a revised draft of the Financial Statements.

External Audit propose to issue an unqualified audit opinion for the Statement of Accounts 2019/20. No opinion on the value for money conclusion has been issued to date as work is still in progress.

A motion was **MOVED** by Cllr Nolan and **SECONDED** by Cllr Tanner to approve the recommendations in the report.

Both Mrs Van Mellaerts, Director of Corporate Resource and Mr Neil Harris, External Auditor, were present at the meeting and summarised the report. A full discussion on the report by the committee followed. Mrs Van Mellaerts and Mr Harris thanked the staff involved for their hard work during these unprecedented and difficult times.

Members raised concerns regarding the outstanding element on the Authority's documented assessment and disclosure on its judgements associated with going concern over twelve months. Officers confirmed that this work is ongoing. Although the Council are facing financial pressures due to Covid-19, the MTFS will confirm the Council as a going concern.

A vote was taken and it was **RESOLVED UNANIMOUSLY** that Members:

- 1. Consider the Audit Results Report 2019/20 in Appendix A and note the conclusions contained in it.**
- 2. Consider the Letter of Representation in Appendix B and delegate authority to the Section 151 Officer in consultation with the Chair of Audit & Scrutiny to approve and sign the letter upon conclusion of the Audit.**
- 3. Delegate to the Section 151 Officer in consultation with the Chair of Audit & Scrutiny the final approval of the Statement of Accounts for 2019/20, on completion of the final elements of the audit.**

Reason for Recommendation

To enable the Council to conclude the Statement of Accounts process for 2019/20, which has a statutory deadline of 30th November 2020.

583. Internal Audit Progress Report

This report intended to inform the Audit and Scrutiny Committee of progress made against the 2020/21 internal audit plan.

The following reports had been finalised since the last Committee:

- Performance Management & Formal Complaints (Substantial/Moderate)
- Sickness Absence (Substantial/Limited)
- Corporate Strategy (Substantial/Moderate)
- Fraud Risk Assessment (N/A – advisory)

Mr Rubins, Internal Audit BDO, was present at the meeting and summarised the report.

Members requested some context regarding the sickness absence as outlined in the report. Officers confirmed that with regard to the raised sickness figures recorded at the Depot, a plan was in place to address the issues, including more sophisticated reporting systems, and in-house HR services. This year had been particularly difficult, notwithstanding the changes implemented to the depot service. However, officers gave assurance that the wellbeing of all staff is paramount.

Following a full discussion, Members were asked to note the following:

- 1. That the Committee receives and notes the contents of the Internal Audit Progress Report attached in Appendix A.**
- 2. That the Committee receives and notes the contents of the Internal Audit Follow Up Report attached in Appendix B.**

Reason for Recommendation

To monitor the progress of work against the internal audit plan.

584. Risk Management Report

The report updated members of the Audit & Scrutiny Committee on the status of the Council's 2019/20 Strategic Risk Register and high-level Operational Risks.

One new risk had been added to the Strategic Risk Register. One risk has increased and three risks have reduced. All other risk scores remained the same.

Of the high-level operational risks, one score had increased and two transferred to the Strategic Risk Register. The other six risks scores had remained the same.

Following a full discussion Members were asked:

- 1. To note the Strategic Risk Register, as shown in Appendix A.**
- 2. To note the risk scores recorded for the high-level Operational Risks, as shown in Appendix B.**

Reasons for Recommendation

Risk Management continues to be imbedded quarterly within the Senior Leadership Team reports, where Service Heads discuss the top-level risks for their service areas to ensure that the risks are updated to reflect the ongoing changes.

The Risk and Insurance Officer will continue to work with risk managers to maintain the good progress to date and further develop a consistent application of risk management considerations across all operations of the Council.

585. Insurance and Risk Management Strategy

The report updated members of the Audit & Scrutiny Committee with a revised Insurance & Risk Management Strategy attached in Appendix A.

The following changes had been updated:

- Insurance Framework (pages 4, 5 & 6)
- Risk Management Framework (page 8)
- Roles and Responsibilities (pages 10 & 11)
- Risk Tolerance (page 16)

- Monitoring arrangements for Key Risks (pages 16 & 17)

This report was published as an information only item, however, the Chair confirmed it was in fact a decision item and a vote would follow.

A motion was **MOVED** by Cllr Nolan and **SECONDED** by Cllr Tanner to approve the recommendation in the report.

Mrs Van Mellaerts presented the report.

Following a full discussion a vote was taken and it was **RESOLVED UNANIMOUSLY** that Members:

1. **Approve and adopt the revised Insurance & Risk Management Strategy 2020, as shown in Appendix A.**

Reasons for Recommendation

Risk Management continues to be imbedded quarterly within the Senior Leadership Team reports, where Service Heads discuss the top-level risks for their service areas to ensure that the risks are updated to reflect the ongoing changes.

The Risk and Insurance Officer will continue to work with risk managers to maintain the good progress to date and further develop a consistent application of risk management considerations across all operations of the Council.

586. Formal Complaints and Performance Indicator Working Group

This report submitted the report and recommendations of the Formal Complaints and Performance Indicators Working Group for consideration by the Audit & Scrutiny Committee.

A motion was **MOVED** by Cllr Nolan and **SECONDED** by Cllr Tanner to approve the recommendation in the report.

A vote was taken and it was **RESOLVED UNANIMOUSLY** that Members:

1. **Note the Formal Complaints and Performance Indicators Working Group report, as attached at Appendix A, and agree the recommendations contained within it**

Reason for Recommendation

To ensure the Council provides quality customer services.

587. Local Development Plan Member Working Group Update

The Local Development Plan (LDP) Member Working Group is an established engagement between Officers and Councillors focussed on delivery of the Council's Local Plan and related work. Its purpose was approved by Policy, Projects and Resources Committee in September 2017.

The work of the working group is monitored by the Audit and Scrutiny Committee as part of the committee's work programme. This report provided an update on the most recent meetings of the working group.

Members were asked to:

1. **Note the update provided in this report and the appendices enclosed.**

Reason for Recommendation

As part of the Audit and Scrutiny Committee work programme, an update on the work of the LDP Member Working Group was provided.

588. Work Programme - Review of Axis Housing Repairs and Maintenance

The Chair of the Audit & Scrutiny Committee put forward a proposal that the Committee review the first year of the Council's Housing repairs and maintenance contract and performance with Axis.

The Axis contract went live on the 4th June 2019 providing a comprehensive planned and responsive maintenance programme for 10 years with the option to extend the contract for a further 5 years, totalling a 15-year contract.

To assist the review of the contract Mr Eamon O'Donnell of Axis provided a presentation to the Committee on progress to date..

Following the presentation volunteers came forward to form the Member Working Group:

Cllrs Nolan, Tanner, Miss Sanders, Naylor, Lewis and Dr Barrett.

A motion was **MOVED** by Cllr Nolan and **SECONDED** by Cllr Tanner to approve the recommendations in the report.

A vote was taken and it was **RESOLVED UNANIMOUSLY** that Members:

1. **Note the presentation from Axis**

2. **Agree the arrangement of a members' working group to review in further detail the performance of the Housing Repairs and maintenance contract and report back to the next committee.**

Reason for Recommendation

To ensure a transparent contract management process.

589. Scrutiny Work Programme 2020/21

The Constitution requires that the Audit & Scrutiny Committee agrees its Scrutiny work programme at each meeting of the Committee. This report provided an update of the current scrutiny work programme as set out in Appendix A.

In addition, legislation requires that an Annual report is made to the Committee on the work of the Community Safety Partnership. This report is normally made at the March committee each year.

Members are aware that the Chair of the committee proposed that a review of the Council's Housing Repairs and Maintenance contractor, Axis, be undertaken and this has been added to the work programme and was an item on this agenda.

Cllr Dr Barrett put forward a recommendation for the work programme to scrutinise the new Brentwood Leisure Centre provider to ensure safeguarding of Council assets in the future. The appropriate form will be completed for the next Audit & Scrutiny meeting.

A motion was **MOVED** by Cllr Nolan and **SECONDED** by Cllr Tanner to approve the recommendation in the report.

A vote was taken and it was **RESOLVED UNANIMOUSLY:**

1. **That the Committee considers and agrees the 2020/21 Scrutiny work programme as set out in Appendix A with any additions agreed by the committee at the meeting.**

Reason for Recommendation

The Constitution requires that the Audit & Scrutiny Committee agrees its Scrutiny work programme at each meeting of the Committee.

590. Urgent Business

There were no items of urgent business.

The meeting ended at 20:40



Committee: Audit and Scrutiny Committee	Date: 26 January 2021
Subject: Internal Audit Progress Report	Wards Affected: all
Report of: Jacqueline Van Mellaerts, Corporate Director of Finance & Resources	Public
Report Author/s: Name: Greg Rubins, Head of Internal Audit (BDO) Telephone: 02380 881 892 E-mail: greg.rubins@bdo.co.uk Name: Janine Combrinck, Internal Audit Manager (BDO) Telephone: 020 7893 2631 E-mail: janine.combrinck@bdo.co.uk	For Information

Summary

This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2020/21 internal audit plan.

The following report has been finalised since the last Committee:

- Disaster Recovery and Business Continuity (Moderate/Substantial)

Recommendation(s)

Members are asked to:

R1. That the Committee receives and notes the contents of the Internal Audit Progress Report attached in Appendix A.

R2. That the Committee receives and notes the contents of the Internal Audit Follow Up Report attached in Appendix B.

Introduction and Background

1. This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2020/21 internal audit plan. It summarises the work we have done, together with our assessment of the systems reviewed and the recommendations we have raised.
2. Our work complies with Public Sector Internal Audit Standards. As part of our audit approach, we have agreed terms of reference for each piece of work with the risk

owner, identifying the headline and sub-risks, which have been covered as part of the assignment. This approach is designed to enable us to give assurance on the risk management and internal control processes in place to mitigate the risks identified.

3. The Audit Committee approved the 2020/21 annual audit plan in March 2020. The progress against plan is reported at every Audit and Scrutiny Committee during 2020/21.

Issue, Options and Analysis of Options

4. The following report has been finalised since the last Committee:
 - Disaster Recovery and Business Continuity (Moderate/Substantial)

Disaster Recovery and Business Continuity (2020/21)

5. We have raised one medium priority recommendation to improve the Council's disaster recovery and business continuity arrangements.

Overall, the Council has a sound system of internal controls and has set out a business continuity strategy and policy to support its business continuity and disaster recovery plans and procedures. Whilst gaps were identified with regards to plan testing and training for members of staff, the Council's arrangements have worked well to support the Council's response to Covid-19 and ensure the continuity of operations during the period of disruption to normal business.

Consequently, we conclude moderate assurance over the Council's disaster recovery and business continuity arrangements and substantial assurance over their operational effectiveness.

6. A Summary of outstanding Recommendations from previous audits are included in Appendix B – Follow up report.
7. This is regularly monitored by Senior Officers and will be followed up again ahead of the next Audit and Scrutiny Committee, along with other recommendations due by 31 December 2021.

Reasons for Recommendation

8. To monitor the progress of work against the internal audit plan

Consultation

9. Not applicable.

References to Corporate Plan

10. Good financial management underpins all priorities within the Corporate Plan.

Implications

Financial Implications

Name/Title: Jacqueline Van Mellaerts, Corporate Director of Finance & Resources

Tel/Email: 01277 312500/jacqueline.vanmellaerts@brentwood.gov.uk

11. There are no direct financial implications arising from this report.

Legal Implications

Name & Title: Amanda Julian, Corporate Director of Law & Governance

Tel & Email: 01277 312500/amanda.jullian@brentwood.gov.uk

12. There are no legal implications arising from this report.

Economic Implications

Name/Title: Phil Drane, Corporate Director of Planning & Economy

Tel/Email: 01277 312500/philip.drane@brentwood.gov.uk

13. There are no economic implications arising from this report.

Background Papers

14. None

Appendices to this report

15. Appendix A – Internal Audit Progress Report
Appendix B – Internal Audit Follow Up Report

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INTERNAL AUDIT PROGRESS REPORT

BRENTWOOD BOROUGH COUNCIL

January 2021

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SUMMARY OF 2020/21 WORK

Internal Audit

This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2020/21 internal audit plan. It summarises the work we have done, together with our assessment of the systems reviewed and the recommendations we have raised. Our work complies with Public Sector Internal Audit Standards. As part of our audit approach, we have agreed terms of reference for each piece of work with the risk owner, identifying the headline and sub-risks, which have been covered as part of the assignment. This approach is designed to enable us to give assurance on the risk management and internal control processes in place to mitigate the risks identified.

Internal Audit Methodology

Our methodology is based on four assurance levels in respect of our overall conclusion as to the design and operational effectiveness of controls within the system reviewed. The assurance levels are set out in Appendix 1 of this report, and are based on us giving either "substantial", "moderate", "limited" or "no". The four assurance levels are designed to ensure that the opinion given does not gravitate to a "satisfactory" or middle band grading. Under any system we are required to make a judgement when making our overall assessment.

2020/21 Internal Audit Plan

We are making reasonable progress in the delivery of the 2020/21 audit plan, and we are pleased to present the following report to this Audit and Scrutiny Committee meeting:

- Disaster Recovery and Business Continuity

We are also completing the fieldwork on the following audits:

- Contract Management and Procurement
- Covid-19 Related Grants
- Environment - Street Cleaning, Fly Tipping and Enforcement (draft report stage)
- Cyber Security (draft report stage)
- Risk Management
- Licensing

We anticipate presenting these reports at the next Audit and Scrutiny Committee.

Changes to the Plan









We agreed changes to the timings of the three audits below, where officers requested that we postpone the audits to allow the Council to focus only on business critical services during the onset of the Covid-19 pandemic:

- Corporate Strategy - moved from Q1 to Q2 - now complete
- Contract Management and Procurement - moved from Q1 to Q2 - being completed in Q3 and Q4
- Performance Management and Formal Complaints - moved from Q1 to Q2 - now complete
- Affordable Housing - moved from Q3 to Q4

We also agreed to change the audit plan to address Covid-19 related risks as follows:

- Postpone the Car Parking audit to 2021/22 and carry out an audit on Covid-19 related grants - in progress

REVIEW OF 2020/21 WORK

Audit	Exec Lead	Start Date	Planning	Fieldwork	Reporting	Design	Effectiveness	
Risk Management	Jacqui Van Mellaerts	Q4 Jan 2021	✓	✓ In progress				
Main Financial Systems	Jacqui Van Mellaerts	Q4 Feb 2021	✓					
Financial Planning and Monitoring	Jacqui Van Mellaerts	Q4 Feb 2021						
Contract Management & Procurement	Jacqui Van Mellaerts	Q2 Aug 2020	✓	✓ In progress				
Performance Management & Formal Complaints	Steve Summers	Q2 Sep 2020	✓	✓	✓ Final			
Disaster Recovery & Business Continuity	Jacqui Van Mellaerts	Q3 Oct 2020	✓	✓	✓ Final			
Cyber Security	Jacqui Van Mellaerts	Q3 Dec 2020	✓	✓	✓ Draft			
Sickness Absence	Jacqui Van Mellaerts	Q2 Aug 2020	✓	✓	✓ Final			
Fraud Risk Assessment	Jacqui Van Mellaerts	Q2 Sep 2020	✓	✓	✓ Final	N/A	N/A	
Environment - Street Cleaning, Fly Tipping & Enforcement	Greg Campbell	Q3 Oct 2020	✓	✓	✓ Draft			
Affordable Housing	Tracey Lilley	Q4 Mar 2021						
Covid-19 Related Grants	Jacqui Van Mellaerts	Q2 Sep 2020	✓	✓ In progress				
Licensing	Greg Campbell	Q3 Dec 2020	✓	✓ In progress				
Corporate Strategy	Jonathan Stephenson	Q2 Aug 2020	✓	✓	✓ Final			
Follow Up	Jacqui Van Mellaerts	Ongoing	-----Separate follow up report-----					

EXECUTIVE SUMMARY – DISASTER RECOVERY AND BUSINESS CONTINUITY

EXECUTIVE SUMMARY

LEVEL OF ASSURANCE:

Design	Moderate	Generally a sound system of internal controls designed to achieve system objectives with some exceptions.
Effectiveness	Substantial	The controls that are in place are being consistently applied.

SUMMARY OF RECOMMENDATIONS:

High	0
Medium	1
Low	0

TOTAL NUMBER OF RECOMMENDATIONS: 1

BACKGROUND:

The Council provides essential services and has a legal obligation to have contingency plans in place in the event of a disaster. Effective business continuity arrangements enable the Council to restore service delivery without undue delay in the event that an unplanned event prevents normal systems and processes occurring. Good planning will enable the prioritisation of work to restore affected services and identify the key contacts, resources and processes to return to stability of operations.

Any disruption to the availability of the Council's Information Technology (IT) infrastructure or systems could result in the Council being unable to provide its critical services. Effective IT disaster recovery planning is therefore essential to ensuring that the Council is able to respond to system failures in the event of a major incident or disaster in order to maintain operations of all critical systems.

Business continuity plans were sent to all plan owners in February 2020, however testing of the plans was not completed due to the onset of the Covid-19 pandemic. The Council is now beginning the recovery phase and officers plan to carry out a lessons learned exercise to reflect on how the Council's business continuity plans have assisted the Council in dealing with the pandemic. A draft 2020/21 Business and Recovery Plan has been developed as part of the Council's approach to recovery from the initial phase of the pandemic.

The purpose of this audit was to assess the design and operational effectiveness of the Council's business continuity and disaster recovery controls and to highlight any areas where the controls might be improved.

GOOD PRACTICE:

We identified the following good practice areas from our fieldwork:

- Responsibility for business continuity planning and management has been assigned to the Council's Risk and Insurance Officer and responsibility for IT disaster recovery has been assigned to the Council's IT Manager.
- The Council has a Business Continuity Strategy and a Business Continuity Policy in place, which were formally approved by the Regulatory & Governance Committee in November 2018. The Strategy and Policy establish a framework for promoting year on year improvements to the ongoing resilience of the Council and define the process for assisting the Council to anticipate, prepare for, prevent, respond to and recover from disruptions to its operations.
- There is a Corporate Business Continuity Plan in place, which defines the Council's emergency response procedures, including the roles and responsibilities of members of staff, communication channels and the actions to be taken in the event of an incident. The Corporate Business Continuity Plan was invoked as part of the Council's response to the Covid-19 outbreak to ensure the continuity of services during the period of disruption.
- Critical service areas have defined operational business continuity plans in place, which include business impact and risk assessments for the critical systems, activities and resources on which they depend and recovery time objectives based on system priority and criticality. The Council's Risk and Insurance Officer has an overall responsibility for ensuring that the plans are reviewed and kept up to date.
- The Council has invested significantly in moving its IT infrastructure and systems to the Cloud and its network operates on high availability functionality and resiliency. The Council's efforts and resources are focused on establishing a Cyber Incident Response Plan, based on guidance from the National Cyber Security Centre (NCSC) to support business continuity planning and cyber security risk management under the current landscape.
- Electronic copies of the Corporate Business Continuity Plan and the service level continuity plans are available to all members of staff on the Council's intranet and a dedicated SharePoint site, which can be accessible in the event of a disaster.

KEY FINDINGS:

We identified the following area where the control framework needs to be strengthened:

- There is no business continuity and disaster recovery training programme in place for members of staff and there are no arrangements in place for testing the Council's business continuity and disaster recovery arrangements on a routine basis (Finding 1 - Medium).

CONCLUSION:

We have raised one medium priority recommendation to improve the Council's disaster recovery and business continuity arrangements.












Overall, the Council has a sound system of internal controls and has set out a business continuity strategy and policy to support its business continuity and disaster recovery plans and procedures. Whilst gaps were identified with regards to plan testing and training for members of staff, the Council's arrangements have worked well to support the Council's response to Covid-19 and ensure the continuity of operations during the period of disruption to normal business.

Consequently, we conclude moderate assurance over the Council's disaster recovery and business continuity arrangements and substantial assurance over their operational effectiveness.

MANAGEMENT ACTION PLAN:

Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
<p>1. Business Continuity Training and Plan Testing</p> <p>a) Management should perform a training needs analysis to identify and assess the level and type of training required by all members of staff with regards to business continuity and disaster recovery and should develop a mandatory training programme that is based upon these requirements. Training delivery methods could include, but not be limited to, the exercise types suggested in Appendix I. Attendance should be recorded and monitored and training records should be maintained for audit purposes.</p> <p>b) Furthermore, Management should conduct a formally documented test of its business continuity and disaster recovery arrangements and should put arrangements in place to test them on a routine basis or following a significant change to the Council's operations. The results of the tests should be reported to Senior Management and any issues identified should be resolved in a timely manner.</p>	<p>Medium</p>	<p>The need for training and plan testing has previously been identified, however this has not been possible due to the Town Hall move and subsequently the Covid-19 outbreak. There has been an insurance tender exercise when the long-term agreement with Zurich ended in March 2020, which was won by Zurich, and as part of the exercise it was agreed that £5,000 would be allocated to risk management per year and could be used for business continuity exercises and training.</p> <p>As above.</p>	<p>Sue White (Risk and Insurance Officer)</p> <p>31 October 2021</p> <p>Sue White (Risk and Insurance Officer)</p> <p>31 October 2021</p>

KEY PERFORMANCE INDICATORS 2020/21

Quality Assurance as per the Internal Audit Charter	KPI Results	RAG Rating
1. Annual Audit Plan delivered in line with timetable.	Four audits were deferred, as detailed on page 3.	
2. Actual days are in accordance with Annual Audit Plan.	This KPI has been met.	
3. Customer satisfaction reports - overall score at least 70% for surveys issued at the end of each audit.	No survey responses received in relation to 2020/21 to date.	
4. Annual survey to Audit Committee to achieve score of at least 70%.	Annual survey responses for 2019/20 scored between 80% and 100%.	
5. At least 60% input from qualified staff.	This KPI has been met.	
6. Issue of draft report within 3 weeks of fieldwork 'closing' meeting.	This KPI has been met for 7 out of 7 audits (see table below).	
7. Finalise internal audit report 1 week after management responses to report are received.	This KPI has been met for 4 out of 4 audits (see table below).	
8. Positive result from any external review.	No external audit reviews have been carried out to date.	
9. Audit sponsor to respond to terms of reference within one week of receipt and to draft reports within two weeks of receipt.	The KPI regarding Council agreement of the terms of reference has been met for 9 out of 11 audits (see table below). The KPI regarding draft report has been met for 2 out of 5 audits (see table below).	
10. Audit sponsor to implement audit recommendations within the agreed timeframe.	Of the 24 recommendations raised in 2020/21, 1 has been completed, 2 are in progress and 21 are not yet due. Of the 17 recommendations raised in 2019/20, 11 have been completed, 3 are in progress and 3 are not yet due. There are also 5 outstanding recommendations from 2018/19 and 2017/18, of which 2 are overdue, 2 are in progress and 1 is not yet due.	
11. Internal audit to confirm to each meeting of the Audit and Scrutiny Committee whether appropriate co-operation has been provided by management and staff.	We can confirm that for the audit work undertaken to date, management and staff have supported our work and their co-operation has enabled us to carry out our work in line with the terms of reference through access to records, systems and staff as necessary.	

AUDIT TIMETABLE DETAILS (2020/21 AUDITS)

Audit	Draft TOR issued	Management response to TOR received	Closing meeting	Draft report issued	Management response to draft report received	Final report issued
Risk Management	08/01/21	08/01/21 (KPI 9 met)				
Main Financial Systems						
Financial Planning and Monitoring						
Contract Management & Procurement	12/08/20	19/08/20 (KPI 9 met)				
Performance Management & Formal Complaints	08/09/20	09/09/20 (KPI 9 met)	29/10/20	02/11/20 (KPI 6 met)	06/11/20 (KPI 9 met)	09/11/20 (KPI 7 met)
Disaster Recovery & Business Continuity	06/10/20	07/10/20 (KPI 9 met)	04/12/20	14/12/20 (KPI 6 met)	11/02/21 (KPI 9 not met)	15/01/21 (KPI 7 met)
Cyber Security	26/11/20	15/12/21 (KPI 9 not met)	14/01/21	18/01/21 (KPI 6 met)		
Sickness Absence	26/08/20	31/08/20 (KPI 9 met)	20/10/20	25/10/20 (KPI 6 met)	11/11/20 (KPI 9 not met)	13/11/20 (KPI 7 met)
Fraud Risk Assessment	02/09/20	07/09/20 (KPI 9 met)	22/09/20	13/10/20 (KPI 6 met)	16/11/20 (KPI 9 not met)	16/11/20 (KPI 7 met)
Street Cleaning, Fly Tipping & Enforcement	09/10/20	11/11/20 (KPI 9 not met)	23/12/20 (further info received)	8/01/21 (KPI 6 met)		
Affordable Housing						
Covid-19 Related Grants	11/09/20	14/09/20 (KPI 9 met)				
Licensing	05/01/21	07/01/21 (KPI 9 met)				
Corporate Strategy	21/08/20	24/08/20 (KPI 9 met)	02/11/20	09/11/20 (KPI 6 met)	16/11/20 (KPI 9 met)	16/11/20 (KPI 7 met)

KEY FOR RAG RATING:



= met target



= not met target







= partly met target



= not applicable

APPENDIX 1

OPINION SIGNIFICANCE DEFINITION

Level of Assurance	Design Opinion	Findings from review	Effectiveness Opinion	Findings from review
Substantial 	Appropriate procedures and controls in place to mitigate the key risks.	There is a sound system of internal control designed to achieve system objectives.	No, or only minor, exceptions found in testing of the procedures and controls.	The controls that are in place are being consistently applied.
Moderate 	In the main, there are appropriate procedures and controls in place to mitigate the key risks reviewed albeit with some that are not fully effective.	Generally a sound system of internal control designed to achieve system objectives with some exceptions.	A small number of exceptions found in testing of the procedures and controls.	Evidence of non compliance with some controls, that may put some of the system objectives at risk.
Limited 	A number of significant gaps identified in the procedures and controls in key areas. Where practical, efforts should be made to address in-year.	System of internal controls is weakened with system objectives at risk of not being achieved.	A number of reoccurring exceptions found in testing of the procedures and controls. Where practical, efforts should be made to address in-year.	Non-compliance with key procedures and controls places the system objectives at risk.
No 	For all risk areas there are significant gaps in the procedures and controls. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Poor system of internal control.	Due to absence of effective controls and procedures, no reliance can be placed on their operation. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Non compliance and/or compliance with inadequate controls.



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**INTERNAL AUDIT FOLLOW UP OF
RECOMMENDATIONS REPORT**

Brentwood Borough Council

January 2021

IDEAS | PEOPLE | TRUST



Summary

We have followed up on the status of those High (H) and Medium (M) recommendations due for implementation by 31 December 2020. The position as at 13 January 2021 is summarised below:

	Total	Complete		In Progress		Overdue		Superseded		Not Due		% H & M Recs Completed / Superseded
	H & M											
	Recs	H	M	H	M	H	M	H	M	H	M	
2020/21												
Disaster Recovery & Business Continuity	1	-	-	-	-	-	-	-	-	-	1	0%
Performance Management & Formal Complaints	1	-	-	-	-	-	-	-	-	-	1	0%
Sickness Absence	5	-	-	-	-	-	-	-	-	1	4	0%
Corporate Strategy	3	-	-	-	-	-	-	-	-	-	3	0%
Fraud risk assessment	14	-	1	-	2	-	-	-	-	1	10	7%
2019/20												
Risk Management	3	-	-	-	1	-	-	-	-	-	2	0%
Main Financial Systems	3	-	2	-	-	-	-	-	-	-	1	33%
Treasury Management	2	-	2	-	-	-	-	-	-	-	-	100%
Housing Repairs and Maintenance	1	-	-	-	1	-	-	-	-	-	-	0%
Leisure Services	2	-	2	-	-	-	-	-	-	-	-	100%
Housing Benefits	3	-	3	-	-	-	-	-	-	-	-	100%
Food Safety	1	-	1	-	-	-	-	-	-	-	-	100%
Trade Waste	1	-	-	-	1	-	-	-	-	-	-	0%
HR Recruitment	1	-	1	-	-	-	-	-	-	-	-	100%
2018/19												
Workforce Strategy	2	-	1	-	1	-	-	-	-	-	-	50%
Housing Department	2	1	-	-	-	-	-	-	-	-	1	50%
Main Financial Systems	6	-	6	-	-	-	-	-	-	-	-	100%
Housing - Homelessness	2	1	1	-	-	-	-	-	-	-	-	100%
GDPR Compliance	1	-	1	-	-	-	-	-	-	-	-	100%
Disaster Recovery and Business Continuity	3	-	3	-	-	-	-	-	-	-	-	100%
Local Development Plan	2	-	2	-	-	-	-	-	-	-	-	100%
Corporate Projects	3	-	3	-	-	-	-	-	-	-	-	100%
PCI/DSS Compliance	5	1	2	-	-	-	2	-	-	-	-	60%
2017/18												
Minimum Reserve Levels	1	-	1	-	-	-	-	-	-	-	-	100%
Community Halls Viability	5	2	3	-	-	-	-	-	-	-	-	100%
Housing	8	2	6	-	-	-	-	-	-	-	-	100%
Insurance	3	-	3	-	-	-	-	-	-	-	-	100%
Financial Planning & Budget monitoring	2	-	2	-	-	-	-	-	-	-	-	100%
Partnerships	7	-	6	-	-	-	1	-	-	-	-	86%
Environment	4	-	4	-	-	-	-	-	-	-	-	100%
Housing Benefit Shared Service	2	-	2	-	-	-	-	-	-	-	-	100%
Main Financial Systems	9	2	7	-	-	-	-	-	-	-	-	100%
Risk Management	3	1	2	-	-	-	-	-	-	-	-	100%
Customer Service	4	-	4	-	-	-	-	-	-	-	-	100%
Information Security Assessment	10	-	10	-	-	-	-	-	-	-	-	100%
Car Parks and Payment Collection	7	4	3	-	-	-	-	-	-	-	-	100%
Taxi Driver Licensing	2	-	2	-	-	-	-	-	-	-	-	100%
Local Development Plan	4	-	4	-	-	-	-	-	-	-	-	100%
Contract Management & Procurement	9	3	6	-	-	-	-	-	-	-	-	100%
	147	17	96	-	6	-	3	-	-	2	23	

Total BDO Recommendations

Of the total 147 recommendations (relating to 2017/18 to 2020/21), 122 were due to be implemented by 31 December 2020 or earlier. We have confirmed with reference to evidence that 113 have been completed. No high priority recommendations are outstanding.

2020/21 Recommendations

Of the 24 recommendations raised in 2020/21 (14 of which relate to a fraud risk assessment), 1 has been completed, 2 are in progress and 21 are not yet due.

2019/20 Recommendations

Of the 17 recommendations raised in 2019/20, 11 have been completed, 3 are in progress and 3 are not yet due. The 3 recommendations not yet due will be covered by the internal audits of the main financial systems and risk management in quarter 4 of 2020/21.

2018/19 Recommendations

Of the 26 recommendations raised in 2018/19, 22 have been completed, 1 is in progress, 2 is overdue and 1 is not yet due. The 1 recommendation not yet due will be covered as part of an internal audit of Housing Management information in due course.

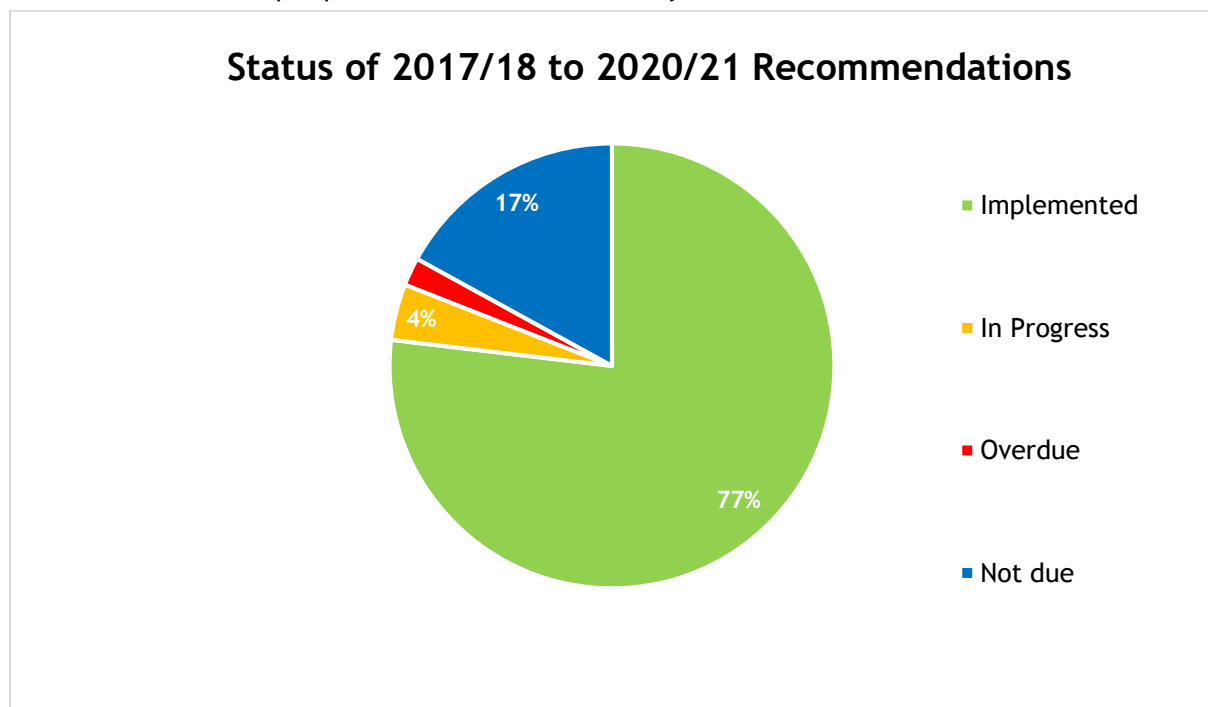
2016/17 and 2017/18 Recommendations

Of the 80 recommendations raised in 2016/17 and 2017/18, 79 have been completed and there is 1 overdue.

Those which are overdue have surpassed both the original implementation date and the revised implementation dates more than once or no update has been received from officers.

Recommendations not completed will be followed up again ahead of the next Audit and Scrutiny Committee, along with other recommendations due.

Where recommendations are in progress, more information on the current status is provided in the pages that follow. This includes those recommendations where management has advised us that the recommendation has been implemented but evidence has yet to be received to enable internal audit to confirm this. We have also included details for the recommendations that have been closed since our last follow-up report to the Audit and Scrutiny Committee.



Recommendations: Overdue

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2017/18 - Partnerships				
<p>17/18 Partnerships rec 3:</p> <p>The approval status should be verified for all existing partnerships recorded in the Partnership Register. Where approval was not obtained, the 'Partnership Checklist' and 'Partnership Self-Assessment Tool' should be completed and submitted for retrospective approval from the Head of Service or relevant Committee as appropriate</p>	Medium	Kim Anderson (Partnership Leisure and Funding Manager)	<p>March 2018</p> <p>January 2019</p> <p>March 2019</p> <p>February 2020</p> <p>September 2020</p> <p>December 2020</p> <p>March 2021</p>	<p><u>Previous update:</u></p> <p>The recommendation has not been a priority to complete during the Covid-19 pandemic. It requires reviewing historic and applying retrospective information.</p> <p><i>Due date revised.</i></p>
2018/19 - PCI/DSS Compliance				
<p>18/19 PCS/DSS rec 2:</p> <p>a) Identify and clearly and fully document the Council's complete card payment environment</p> <p>b) Review the existing arrangements whereby different systems are used for payment processing and consider rationalising the card payment process</p> <p>c) Complete the annual Self-Assessment Questionnaire as a means of identifying gaps in the Council's requirements of PCI-DSS across the Council's three card payment channels and develop actions to address them</p> <p>d) Establish a timetable for the completion of the annual Self-Assessment Questionnaire.</p>	Medium	Tim Huggins (ICT Manager)	<p>September 2019</p> <p>June 2020</p> <p>September 2020</p> <p>December 2020</p> <p>March 2021</p>	<p><u>Previous updates:</u></p> <p>All elements complete except for completion of the annual self-assessment questionnaire (SAQ). The SAQ has been partially completed, further work delayed to deliver priority services for Covid-19 response.</p> <p>All elements complete except for completion of the annual self-assessment questionnaire. The SAQ has been partially completed, further work delayed to deliver priority services for Covid-19 response.</p> <p><i>Internal Audit satisfied from review of evidence provided that all elements complete except for annual self-assessment questionnaire, which the Council is now aiming to complete by December 2020.</i></p>
<p>18/19 PCS/DSS rec 5:</p> <p>A policy should be developed, which sets out how the Council will manage PCI DSS compliance activities and the policy should be reviewed on a regular basis. The policy should include but not be limited to:</p>	Medium	Tim Huggins (ICT Manager)	<p>September 2019</p> <p>June 2020</p> <p>September 2020</p> <p>October 2020</p>	<p><u>Previous updates:</u></p> <p>The policy has been developed for approval. Further work delayed to deliver priority services for Covid-19 response. Policy to be approved by September 2020.</p>

Recommendations: Overdue

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
<ul style="list-style-type: none"> • Assignment of roles and responsibilities for ensuring that the Council is PCI DSS complaint have been assigned • Procedures for staff that are responsible for taking card payments • The Council's security strategy in relation to the storage, processing and transmission of credit card data • A set of instructions for detecting, responding to and limiting the effects of an information security event. The Council should develop and disseminate suitable procedure notes for staff, to ensure that working practices are compliant. Appropriate training should be provided on PCI DSS requirements to all members of staff dealing with card payments. 			<p>December 2020</p> <p>March 2021</p>	<p>Storage of data in within the information security policies and management of data is part of the GDPR training.</p> <p>Training to be made available by October 2020.</p> <p><i>Internal Audit satisfied from review of the policy dated November 2019 that some of these elements have been included, however further work required to fully complete the recommendation.</i></p> <p>Policy requires approval and training has not yet been completed, due to conflicting priorities with Covid-19 and limited resources. A review will need to be carried out on appropriate virtual training as there are now limited staff dealing with card payments.</p> <p><i>Due date revised.</i></p>

Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2018/19 - Workforce Strategy				
<p>2018/19 Workforce Strategy rec 1:</p> <p>Where outcomes are monitored to confirm progress evidence should be retained to confirm that the outcome is on track or completed. This ensures that any potential slippage is discovered early and there is a greater chance of resolving issues in a timely manner. When formal reviews of the RAG spreadsheet are completed evidence should be checked and if missing, requested and retained on file to support the progress of these outcomes.</p>	Medium	Jacqueline Van Mellaerts (Director of Corporate Resources)	<p>February 2020</p> <p>December 2020</p> <p>March 2021</p>	<p><u>Previous updates:</u></p> <p>The Council decided to recruit a Senior HR Manager, and bring HR & Recruitment back in house. Although many actions have taken place, a formal review of the workforce strategy and supporting evidence has been delayed due to conflicting priorities during Covid-19 and onboarding of new positions. A review will take place later in the year as part of the recovery phase of Covid-19.</p> <p>Same update as before. It was not envisaged the pandemic would continue to later in the year.</p> <p><i>Due date was previously revised to December 2020.</i></p>
2019/20 - Trade Waste				
<p>19/20 Trade Waste rec 1:</p> <p>a) Actively search and identify possible opportunities/events available to promote the trade waste service, ensuring that the market audience is understood prior to attending events to ensure they are aligned with the service's target market.</p> <p>b) Liaise with the business rates team to ensure that trade waste leaflets with fee information are distributed as part of the annual business rates information packs.</p> <p>c) Liaise with the food safety team to identify new businesses that may require trade waste services.</p> <p>d) Undertake cold-calling of local businesses in the borough to attract new customers.</p>	Medium	Mike Dun (Trade Waste Officer)	<p>a) March 2020</p> <p>March 2021</p> <p>b) October 2019</p> <p>February 2020</p> <p>Closed</p> <p>c) October 2019</p> <p>February 2020</p> <p>Closed</p> <p>d) Ongoing</p> <p>31 March 2021</p>	<p><u>Previous update:</u></p> <p>a) Staff issues and the impact of Corona Virus have adversely affected progress.</p> <p><i>This part of the recommendation remains open. Due date was previously revised to March 2021.</i></p> <p>b) A leaflet was drawn up that promotes the services of the Business Waste Team and was delivered in March along with the NDR demand to all businesses in Brentwood.</p> <p><i>This part of the recommendation has been closed by Internal Audit following receipt of the leaflet.</i></p> <p>c) The Food Safety Team do refer to the waste</p>

Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
				<p>services that the Council can offer.</p> <p><i>This part of the recommendation has been closed by Internal Audit following confirmation received from the service.</i></p> <p>d) Staff issues and the adverse impact of Corona Virus making this activity difficult at the moment. All efforts going on existing client base to protect it.</p> <p><i>This part of the recommendation remains open. Due date was previously revised to March 2021.</i></p>
2019/20 - Housing Repairs and Maintenance				
<p>19/20 Housing R&M rec 1:</p> <p>a) Variation Order and repairs approval limits should be formally documented, for example, within a Scheme of Delegation.</p> <p>b) Management should consider documenting any accepted exceptions to the authorisation limits, such as in respect of Technical Officer/Surveyor approvals of voids repairs.</p> <p>c) The Council should ensure that all Variation Orders are approved by the appropriate individual within the Rocc system, or where this is done outside of the system (e.g. via email), that this is formally documented, and a record kept on file of who approved the variation.</p>	Medium	Nicola Marsh (Housing Manager)	<p>a) August 2020 December 2020 March 2021</p> <p>b) July 2020 December 2020 March 2021</p> <p>c) Sept 2020 December 2020 March 2021</p>	<p><u>Previous update:</u></p> <p>a) All officers completed financial user forms to provide an audit trail of approval limits. The form isn't set up for such so it has been amended, officers now have to recomplete the form. They have been asked to do this by the end of October due to staffing changes.</p> <p>b) Void baskets are still being reviewed but all jobs over an officers approval limit are now being signed off by someone with the relevant limit (such as the contracts manager).</p> <p>Loss of void surveyor and new one doesn't start until October.</p> <p>c) We are still awaiting final sign off of contract amendments but we are working under local agreements. Once Axis open their offices again we can get these formally signed by Axis.</p>

Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
				<i>Recommendation remains open. Due dates revised.</i>
2019/20 - Risk Management & Governance				
<p>19/20 RMG rec 2:</p> <p>Management should seek commitment from departments that risk discussions will be included as standard agenda items in departmental or team meetings on at least a quarterly basis.</p>	Medium	Jacqueline Van Mellaerts (Director of Corporate Resources)	<p>June 2020</p> <p>January 2021</p>	<p><u>Previous update:</u></p> <p>Risk has been discussed regularly at Senior leadership team workshops and commitment has been expressed at Extended Leadership Team meetings. Evidence requires to be sought.</p> <p><i>Recommendation left open until it can be evidenced; being reviewed as part of the 2020/21 Risk Management audit in January 2021.</i></p>
2020/21 - Fraud Risk Assessment				
<p>20/21 FRA rec 3.1:</p> <p>Regarding disabled facility grants, it is recommended that the GDPR/Data Protection Officer is contacted for their advice regarding GDPR, collection and use of personal data.</p>	Medium	Tim Huggins (DPO Officer)	<p>December 2020</p> <p>March 2021</p>	<p><u>Update:</u></p> <p>A Privacy Notice has been put together which will be checked by DPO Officer.</p> <p><i>Recommendation left open until it can be evidenced. Due date revised.</i></p>
<p>20/21 FRA rec 5.1:</p> <p>Specific processes and risks to be considered as part of procuring and selling property to ensure that there are appropriate and in depth due diligence processes in place. The Financial Action Task Force document "Money Laundering & Terrorist Financing through the Real Estate Sector" (2007) may be able to provide some additional advice.</p>	Medium	Victoria Banerji (Corporate Fraud Manager)	<p>December 2020</p> <p>March 2021</p>	<p><u>Update:</u></p> <p>Officers to review and include additional guidance within Money Laundering Policy on investment properties. Due diligence is under taken and appropriate staff are consulted with regarding these transactions.</p> <p><i>Recommendation left open until it can be evidenced. Due date revised.</i></p>

Recommendations: Closed in Quarter

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2019/20 - Main Financial Systems				
<p>19/20 MFS rec 5:</p> <p>The Council should seek annual confirmation from the shared service provider regarding the appropriateness of the users' access rights to the revenues and benefits system.</p>	Medium	Craig Beadle	<p>June 2020</p> <p>November 2020</p> <p>Closed</p>	<p><u>Update:</u></p> <p>The Civica User review for 2020 has now been completed. Revenues support services have reviewed over 200 users who use Civica openrevenues. Each user was sent a form and their senior officer has agreed their access. The Revenues support team have reviewed the forms, sent an email back to all seniors to confirm system access for their staff and requested any feedback. A review date for November 2021 has been set to repeat the process annually.0</p> <p><i>Recommendation closed by Internal Audit following receipt of evidence of obtained in the contract management and procurement internal audit.</i></p>
2020/21 - Fraud Risk Assessment				
<p>20/21 FRA rec 1.5:</p> <p>The Senior Procurement Officer to explore the use of regional or national procurement groups or contract partnerships with other local authorities to allow a greater pool of technical expertise in writing tender specifications.</p>	Medium	Jane Mitchell (Senior Procurement Officer)	Immediate	<p><u>Update:</u></p> <p>Senior Procurement Officer is already a member of local and national groups. Agreed this will continue.</p> <p><i>Recommendation closed by Internal Audit following receipt of master review spreadsheet of the over 200 users; and examples of the completed user forms, senior confirmations, revenues support emails confirming access back to seniors and screenshots of the Civica openrevenues to confirm the user groups the user was allocated too.</i></p>



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Committee(s): Audit & Scrutiny Committee	Date: 26 January 2021
Subject: Formal Complaints & Performance Indicator Working Group	Wards Affected: All
Report of: Steve Summers, Chief Operating Officer	Public
Report Author: Name: Sarah Bennett, Executive Support Manager Telephone: 01277 312500 E-mail: sarah.bennett@brentwood.gov.uk	For Decision

Summary

This report submits the report and recommendations of the Formal Complaints and Performance Indicators Working Group for consideration by the Audit & Scrutiny Committee.

Recommendation(s)

Members are asked to:

R1. To note the Formal Complaints and Performance Indicators Working Group report, as attached at Appendix A, and agree the recommendations contained within it

Main Report

Introduction and Background

1. The Committees Terms of Reference include responsibility for the monitoring of Council service performance including Performance Indicators and Formal Complaints.

Reasons for Recommendation

2. To ensure the Council provides quality customer services.

References to Corporate Plan

3. The priority of 'Delivering an efficient and effective council' includes the delivery of quality customer services. An effective scrutiny function of customer complaints and service performance is an essential element of that priority.

Implications

Financial Implications

Name/Title: Jacqueline Van Mellaerts, Director of Corporate Finance and Resources

Tel/Email: 01277 312500/jacqueline.vanmellaerts@brentwood.gov.uk

There are no direct financial implications from this report.

Legal Implications

Name & Title: Amanda Julian, Corporate Director (Law and Governance) and Monitoring Officer

Tel & Email: 01277 312705 amanda.julian@brentwood.gov.uk

The Council is required to have a complaints procedure, to ensure transparency and accountability it is good governance for the Council to report on the complaints and performance indicators.

Economic Implications

Name/Title: Phil Drane, Corporate Director of Planning and Economy

Tel/Email: 01277 312610/philip.drane@brentwood.gov.uk

There are no direct economic implications.

Other Implications (where significant) – i.e. Health and Safety, Asset Management, Equality and Diversity, Risk Management, Section 17 – Crime & Disorder, Sustainability, ICT.

Background Papers

None

Appendices to this report

Appendix A – Formal Complaints and Performance Indicator Working Group Report

Date: 26 January 2021

Audit & Scrutiny Committee

Performance Indicators and Formal Complaints Working Group Report

Working Group Members

Cllr Nolan

Cllr Dr Barrett

Cllr Hirst

Cllr Naylor

Cllr Tanner

Supporting Officers

Steve Summers – Strategic Director

Sarah Bennett – Executive Support Manager

Scope

The scope of the Performance Indicators and Formal Complaints Working Group is set out below:

1. To monitor and consider the Council's service Performance Indicators.
2. To consider in detail Formal Complaints received by the Council.
3. To consider how Performance Indicators and Formal Complaints are reported to the Audit & Scrutiny Committee
4. To make recommendations to the appropriate Audit & Scrutiny Committee.

Meeting Date

1st December 2020

Attached as Addendum 1 are the notes of the meeting.

Terms of Reference

The Working Groups Terms of Reference are attached at Addendum 2

1. Report Recommendations

The report recommendations are set out in full below.

R.1 - That the working group continue to monitor the outcomes of the Formal Complaints for Q3 2020/21.

R.2 - That the working group continue to monitor the outcomes of the Performance Indicators for Q3 2020/21.

2. Introduction

2.1 The council operates a two stage complaints process for customers to take issue with any perceived failure to provide a service, failure to respond to requests or failure to adhere to standards on the part of the council and its officers.

2.2 The council uses a variety of performance indicators to monitor how well services are performing in meeting the needs of service users. The council has set of key indicators of performance, the “toplines”. The topline includes a variety of indicators that relate to the delivery of the council’s priorities.

2.3 The topline measures performance across a range of council activity including: planning, housing, streetscene and revenue and benefits.

3. Explanation of Recommendations

Recommendation 1 That the working group continue to monitor the outcomes of the Formal Complaints for Q3 2020/21.
Explanation To continue to monitor formal complaints quarterly to identify common themes, trends or concerns.
Recommendation 2 That the working group continue to monitor the outcomes of the Performance Indicators for Q3 2020/21.
Explanation To monitor associated annual or quarterly trends and identify areas of performance concern.

**Performance Indicators and Formal Complaints Working Group
Minutes of Meeting 1st December 2020 18:00
Virtual via Microsoft Teams**

Present: Cllr Charles Nolan (CN), Cllr Roger Hirst (RH), Cllr Sandy Tanner (ST), Cllr D Naylor (DN)

Also present: Steve Summers (SS) – Strategic Director
Tracey Lilley (TL) – Director of Housing and Enforcement
Greg Campbell (GC) - Director of Environment
Amanda Julian (AJ) – Director of Law and Governance
Sarah Bennett (SB) – Executive Support Manager

Apologies: Cllr Dr T Barrett, Phil Drane, Jacqueline Van Mellaerts

1. Welcome

The Chair welcomed all present to the meeting, which was the second meeting of the group this financial year.

2. Terms of Reference

These are attached to these minutes.

4.1 Formal Complaints

A presentation on formal complaints received for Q2 2020/21 was provided to the working group (Addendum 3) by SS.

Directors provided explanations for the formal complaints within their directorates.

During the Housing discussion RH noted an increase in the overall volume of Housing complaints. TL informed the group that this is being closely monitored for themes and lessons learnt.

18:10 DN joined the meeting

CN raised that a previous presentation provided by the repairs contractor demonstrated very low numbers of missed appointments, yet this was a cause of some complaints. TL noted that some complaints were in relation to other contractors and will work to understand the comparisons.

During the street scene discussion, RH queried whether there were plans to re-issue food waste caddies to residents. GC confirmed that there are no plans to conduct this, however, further consideration would be given to a promotion on this.

Action: GC to consider food waste campaign inc. distribution of caddies

GC informed the group that tonnage data per waste stream will be presented to Environment, Enforcement & Housing Committee on 8th December 2020.

CN queried when the Council is likely to receive decisions on the outstanding LGO complaints. SS informed the group that LGO and Housing Ombudsman casework was suspended over the Spring and that there are large backlogs. The outcomes will, however, be presented to the group when they are received.

Working Group Action:

1. For the working group to monitor these complaints against future quarters to identify concerns or themes.

4.2 **Performance Indicators**

The working group were provided with data for the council's key Performance Indicators (PIs) for Jul-Sept 2020 (Addendum 4)

TL reviewed the Housing PI's individually. ST congratulated the Housing team for their efforts to recoup rent arrears in a very challenging climate.

In relation to PI E01 & E02, CN asked GC whether some associated finance data can be incorporated.

Action: GC to investigate

SS reviewed the Finance, Revs & Bens, Customer Service and Planning PI's with the group. SS informed the group that a new HR system, due for implementation next year, will track sickness better and provide more detailed information.

RH queried whether Council Tax collection was as expected. SS informed the group that the result is pleasingly close to target, considering the current climate.

CN asked whether more detailed website analytics could be provided to identify areas of high traffic etc.

Action: SB to provide a more detailed web report at the Q3 Working Group.

At the last Working Group, TB requested a breakdown of Officer/Member appeals and SS provided an update to the group that this will be incorporated into a report for Planning committee in the near future.

Working Group Action:

1. For the working group to continue to review progress of Performance Indicators for each quarter of 2020/21.

5. Any Other Business

None

6. Date of next meeting

9th February 2021

**Audit & Scrutiny Committee
Performance Indicators & Formal Complaints Working Group**

Members of Working Group

Crs. Nolan, Dr Barrett, Naylor, Tanner and Hirst.

Terms of Reference

1. To monitor and consider the Council's service Performance Indicators.
2. To consider in detail Formal Complaints received by the Council.
3. To consider how Performance Indicators and Formal Complaints are reported to the Audit & Scrutiny Committee.
4. To make recommendations to the appropriate Audit & Scrutiny Committee.



Members Working Group Formal Complaints Q2 2020/21

Jul-Sept 2020

Formal Complaints received annually

Department	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20
Assets	0	2	0	1	1	2	3
Building Control	0	0	0	0	0	0	1
Community Safety	0	0	0	0	0	1	1
Community Services	0	0	0	2	1	0	2
Customer Service	0	0	0	1	1	4	5
Governance	0	0	1	1	0	0	2
Housing	10	11	32	30	38	47	75
Env Health & Licensing	0	1	1	0	1	3	4
Finance	0	0	0	0	0	2	0
Legal	3	0	2	1	0	0	0
Parking	0	0	0	0	1	1	3
Planning	10	4	23	13	10	10	16
Revs & Bens	9	2	12	9	31	33	28
Streetscene	1	3	5	3	5	15	44
Total	33	23	76	61	89	118	184

2020/21 Formal Complaints received

Jul-Sept 2020

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Q2			
Department	Total	Upheld	%
Customer Service	2	1	50%
Environmental Health	2	1	50%
Housing	17	10	59%
Planning	1	0	0%
Revenues & Benefits	1	0	0%
Streetscene	32	15	47%
Total	55	27	49%

YTD			
Department	Total	Upheld	%
Community Safety	1	0	0%
Customer Service	3	1	33%
Environmental Health	4	2	50%
Housing	23	14	61%
Planning	2	1	50%
Revenues & Benefits	6	3	50%
Streetscene	38	21	55%
Total	77	42	55%

Channel received

	Q1	Q2
Online form	50%	48%
Email	32%	41%
Website enquiry	9%	7%
Via LGO	4%	0%
Telephone	4%	0%
Letter	0%	4%

Upheld Formal Complaints – Jul to Sept 2020

Customer Service



No	Complaint	Stage
1	Poor communication with regards to cancelling a brown bin contract	Stage 1

Upheld Formal Complaints – Jul to Sept 2020

Environmental Health



No	Complaint	Stage
1	Lack of response and delay in action being taken by Officer	Stage 1

Upheld Formal Complaints – Jul to Sept 2020

Housing



No	Complaint	Stage
1	Lack of response and service received regarding Mutual Exchange, failings regarding rent refund	Stage 2
2	Unsightly boarded up garages	Stage 1
3	Various repairs were not actioned within the property	Stage 1
4	Delayed visits by contract engineers, unprofessional attitude by contractors CSA's	Stage 2
5	Contractor appointments unattended, materials left in garden and a neighbour's garden regarding balcony	Stage 1

Upheld Formal Complaints – Jul to Sept 2020

Housing



No	Complaint	Stage
6	Multiple issues relating to condition of property and failure to carry out adequate repairs	Stage 2
7	Conflicting and confusing correspondence by contractor re gas repair. Letter sent accusing tenant of denying access to property which was incorrect	Stage 2
8	Delay in repairs/replacement of porch	Stage 1
9	Contractor delay in boiler repair due to unavailable engineers	Stage 1
10	Contractor claimed tenant missed appointment but tenant was in all day	Stage 1

Upheld Formal Complaints – Jul to Sept 2020

Streetscene



No	Complaint	Stage
1	Repeat missed collections and litter left after collection	Stage 1
2	Repeated damage to red boxes by refuse crew	Stage 1
3	Repeat missed collections	Stage 1
4	Lack of consistency of collecting rubbish by operatives	Stage 1
5	Repeated missed collections and no response from enquiry	Stage 1
6	Change of collection day for communal bins general refuse due to Covid-19, and residents not advised. Repeated missed collections of waste causing issues as bin shed and no response to previous informal enquiries.	Stage 1

Upheld Formal Complaints – Jul to Sept 2020

Streetscene



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No	Complaint	Stage
7	Repeat missed collections despite lodging FC last October and standard of communal collections; litter left, gates left open	Stage 1
8	Rude and unhelpful recycling operatives	Stage 1
9	Repeat missed collections of garden waste	Stage 1
10	Assisted collection missed blue sack	Stage 1
11	Assisted collection missed food waste	Stage 1
12	More repeat missed collection despite previous formal complaint	Stage 1

Upheld Formal Complaints – Jul to Sept 2020

Streetscene



No	Complaint	Stage
13	Broken food caddy by operatives. General complaint re BBC	Stage 1
14	Repeated assisted waste missed collections	Stage 1
15	Repeated missed garden waste	Stage 2

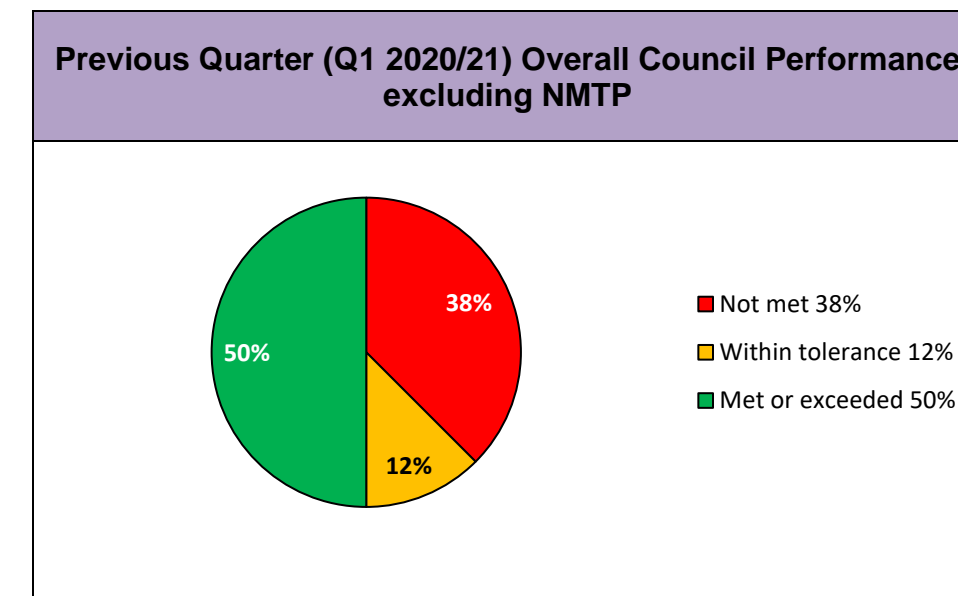
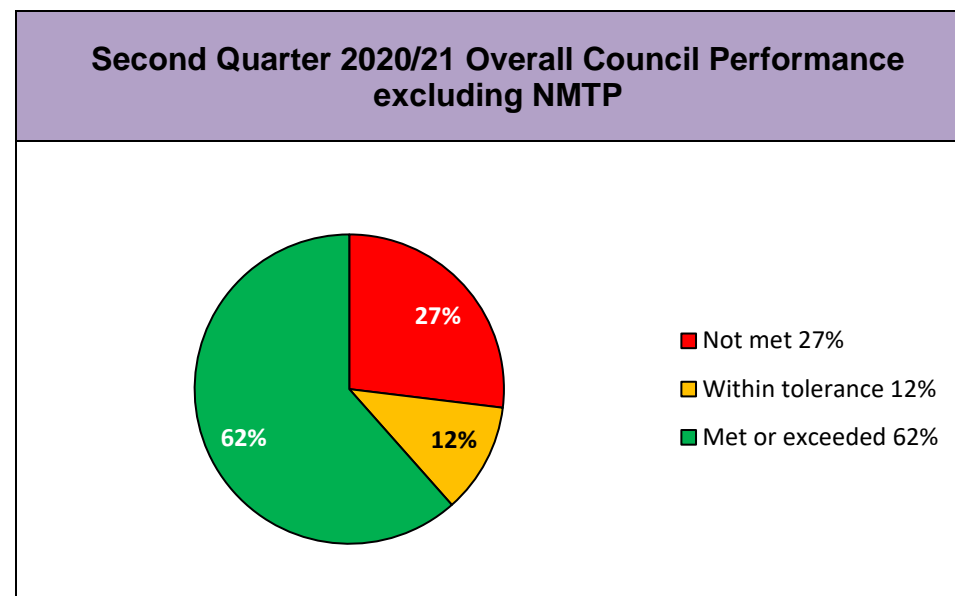
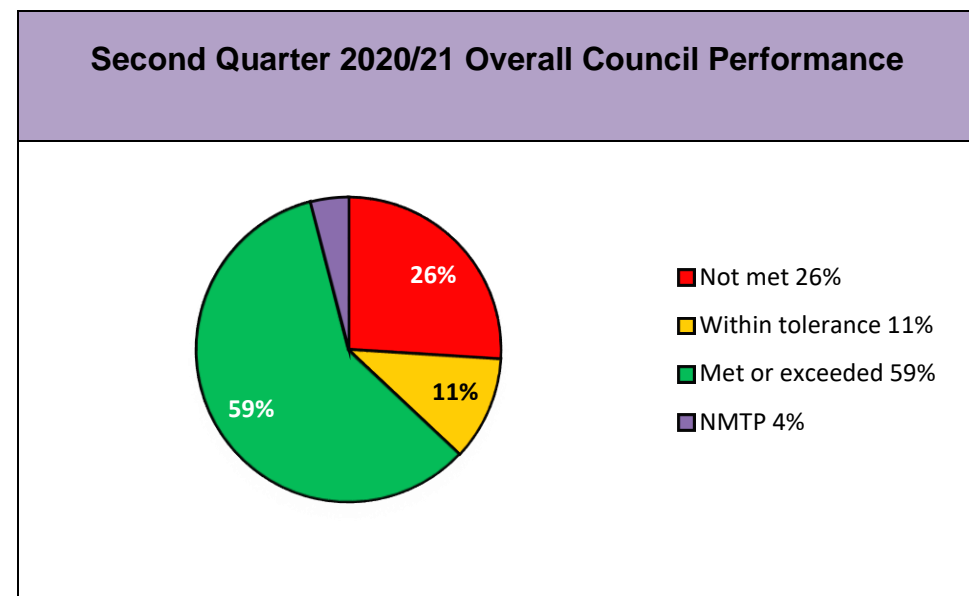
Ombudsman



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	Service	LGO/HO	Complaint	Council's decision	Ombudsman outcome
1	Housing	HO	Handling of boundary dispute	Part upheld	Under investigation
2	Housing	LGO	Information provided to tenants facing eviction	Not upheld	Under investigation
3	Housing	HO	Handling of aids and adaptations request	Part upheld and compensation offered	No fault found
4	Env Health/Planning	LGO	Handling of an alleged planning breach and contamination of land	Not upheld	Under investigation
5	Housing	HO	Refusal of aids and adaptations to property	Not upheld	Under investigation

Performance Dashboard – Second Quarter 2020/21




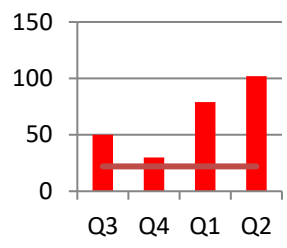


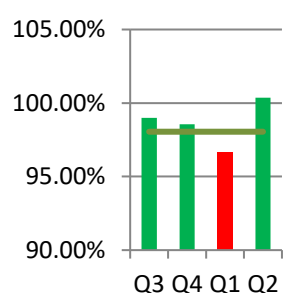


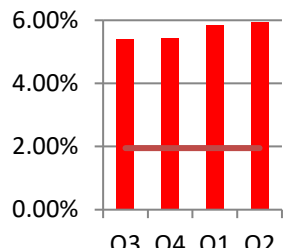


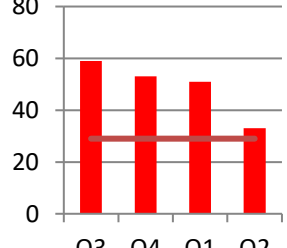

First Quarter 2020/21 Performance by Department

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Dept.							NMTP		Total
	No	%	No	%	No	%	No	%	
Contact Centre	0	0%	0	0%	4	100%	0	0%	4
Environmental Health	1	100%	0	0%	0	0%	0	0%	1
Finance	1	50%	0	0%	1	50%	0	0%	2
Housing	3	50%	1	17%	2	33%	0	0%	6
Human Resources	0	0%	1	100%	0	0%	0	0%	1
ICT	0	0%	0	0%	1	100%	0	0%	1
Planning	0	0%	0	0%	4	80%	1	20%	5
Revenues and Benefits	0	0%	1	20%	4	80%	0	0%	5
Street Scene and Environment	2	100%	0	0%	0	0%	0	0%	2
Total	7	26%	3	11%	16	59%	1	4%	27
<i>Previous Quarter Total</i>	<i>9</i>	<i>36%</i>	<i>3</i>	<i>12%</i>	<i>12</i>	<i>48%</i>	<i>1</i>	<i>4%</i>	<i>25</i>

Key



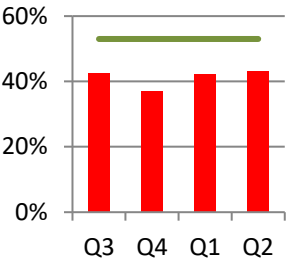




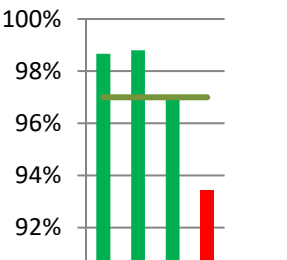


	Current performance is below target by more than the specified target deviation.
	Current performance is below target but is within tolerance.
	Current target has been met or exceeded.
NMTP	Not measured this period.
	Performance for the quarter or year to date is improving (up) or deteriorating (down) compared to previous quarter or across the year.



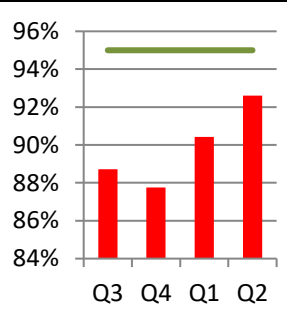




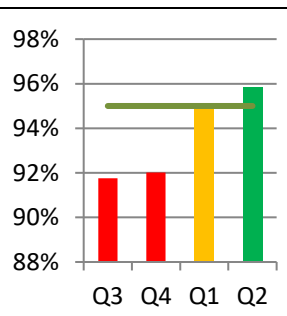




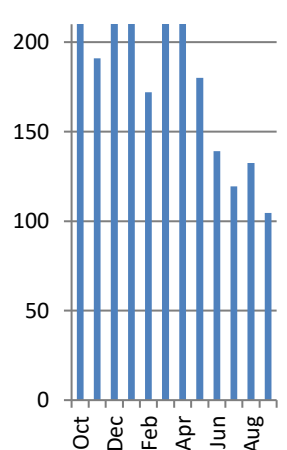


Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Housing H01	Average re-let times for Local Authority Housing	Monthly	50 Days (40 Days GN, 136 days SH)	30 Days (28 Days GN, 21 Days SH)	79 Days (60 Days GN, 98 Days SH, 105 TA)	102 Days (81 Days GN, 109 Days SH, 121 Days TA)	22 days	 ↓		91 Days	22 days	 ↓	Void turnaround in Q2 has drastically been impacted by Covid19. We are seeing higher than usual turnaround times as we only recently reintroduced viewed lettings at a slow pace and then sheltered viewing much later into September. This meant, despite works being completed, properties were sat empty due to restrictions on people moving, people with covid symptoms and availability of staff in Brentwood to do viewings. We still have a large backdate of voids to let and get ready to let so we do not expect to see much of, if any improvement in Q3.
Housing H02	% Rent collected from current tenants only as a percentage of rent due	Monthly	98.99%	98.55%	96.63%	100.36%	98.05%	 ↑		98.5%	98.05%	 ↑	Rent collection continues to be a challenge, we have been impacted by residents not paying since April as they wrongly believed that the government had given them a 12 week holiday due to Covid-19. Officers are seeing an increase in people who are now not paying anything towards their rent. However, this has been offset by those tenants whom we have contacted and who are now paying more contributions towards their rent either themselves or via universal credit. This means that we have managed to achieve over 100% collection.
Housing H03	Rent arrears of current tenants as a percentage of rent due	Quarterly	5.41%	5.44%	5.83%	5.93%	1.95%	 ↓		5.88%	1.95%	 ↓	The level of arrears has slowed, however, we have been impacted by Covid-19 as per above.
Housing H04	Households living in temporary accommodation	Monthly	59	53	51	33	29	 ↑		42	29	 ↑	TA figures have reduced significantly in Q2 partly due to the Government's restrictions on evictions due to COVID-19. With the restrictions on allocations gradually being lifted and a large number of properties becoming available we have been able to move more of our homeless applicants into more settled accommodation during this period. Our homeless officers have also worked hard to prevent homelessness and liaise with applicants and their families to work towards a solution to their housing problems rather than use temporary accommodation. We have seen a rise in homeless approaches in recent months in line with last year's figures and with courts now starting to proceed with possession orders we forecast an increase in demand for temporary accommodation in the coming months.

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Housing H05	Gas servicing in Council homes	Quarterly	98.78%	97.75%	97.58%	99.63%	100%			98.6%	100%		Despite courts now allowing limited cases to be heard, officers have managed to reduce the number of overdue gas services without the need for court. We have a select few which we have identified will need court action but officers continue to call, letter and cold call these persons until we can get a court date for a gas warrant. It is important to note the outstanding properties are non covid related but, instead, tenants who refused to allow us in or have been uncontactable. Officers will be following up with tenancy action where needed.
Housing H06	Level of Arrears at the end of quarter	Quarterly	£638,343	£632,544	£760,560	£749,775	Reduction from previous quarter			£760,560	Reduction from previous quarter		Arrears total has decreased slightly this quarter which is thanks to the hard work of officers processing 100% of rent arrears non payer cases via our new system, Mobysoft. This allows us to focus on those not paying, not reducing their arrears at all or by enough and those who pay sporadically. The increased collection from the latter has offset the increase in people now not paying so we expect the figures to continue fluctuating throughout the remainder of the financial year.

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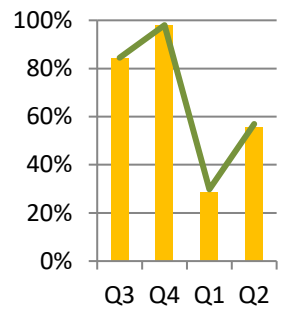




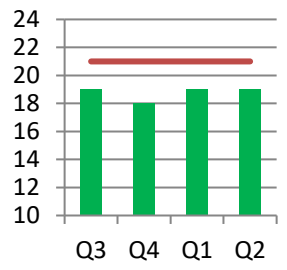




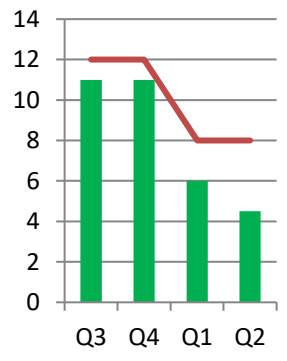


Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Street Scene and Environment E01	Residual household waste per household	Quarterly	118.70kg	130.56kg	149.25kg	137.41kg	109kg			286.7kg	109kg		Estimated as statistics to be verified by ECC. 2018/19 actuals – 461kg per household (estimated at 490kg) 2019/20 actuals – - 469kg per household (ECC -33,834 households, estimated 488kg) Residual waste has risen nationally in response to COVID-19 and more people being at home, ecommerce etc Q1 over estimated – actual 136.10 kg

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Street Scene and Environment E02	Percentage of household waste arisings which have been sent by the authority for reuse, recycling, composting or anaerobic digestion	Quarterly	42.60%	36.87%	42.10%	43.16%	53.00%	 		42.6%	53.00%	 	<p>Estimated as statistics to be verified by ECC</p> <p>2018/19 actuals – 45% (estimated at 44.6%)</p> <p>2019/20 actuals – 42.9% (estimated 41.8%)</p>
Environmental Health EH01	Food safety/hygiene standards in food premises	% of broadly compliant food premises - Quarterly	98.67%	98.80%	97.05%	93.44%	97%	 		95.25%	97%	 	<p>In Q4 19-20, The Food Standards Agency suspended inspection activity due to Covid-19. There is a noted drop in broad compliance due to COVID-19. Following the Food Standards Agency Guidance, routine food hygiene inspections were suspended. A high number of new food premises have registered which have not been inspected but are not broadly compliant until inspected.</p> <p>As of Q2 20-21 we are re-starting the highest risk inspections and continue to have a high number of new food premises registrations which are not broadly compliant, until inspected.</p>

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Finance F01	% of invoices from local suppliers paid within 20 days	Monthly	88.71%	87.75%	90.42%	92.61%	95%	 		91.56%	95%	 	Still below average amount of invoice being received by Accounts Payable, however, we are doing better in terms of getting invoices paid within timeframe with recent scores seeing improvement. Accounts Payable has been reminded on importance of Local invoices being approved.
Finance F02	% of invoices from all suppliers paid within 30 days	Monthly	91.76%	92.02%	94.85%	95.85%	95%	 		95.26%	95%	 	On target for the YTD. As above, a lower volume of invoices are being received, therefore, allowing managers and AP to work on getting invoices approved on time.
Human Resources HR03	Number of days sickness lost per month	Monthly	Oct 239 Nov 191 Dec 222.5	Jan 213 Feb 172 Mar 255	Apr 213 May 180 Jun 139	Jul 119.5 Aug 132.5 Sep 104.5	No target.	 		888.5 days	No target.	 	This PI reflects the number of working days lost to sickness each month.



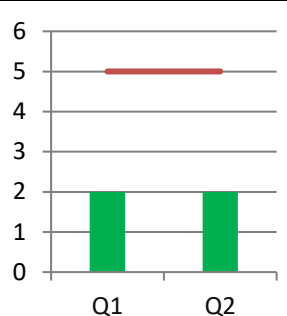




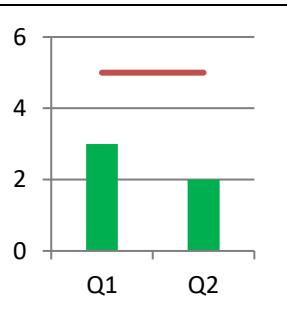




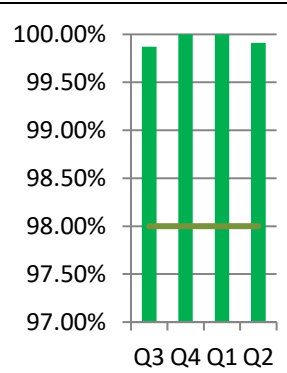




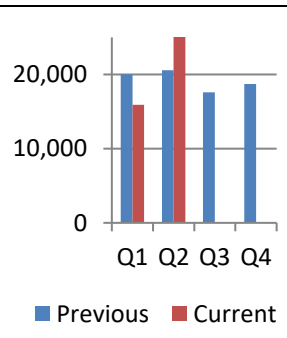


Brentwood Borough Council - Performance Indicator Dashboard



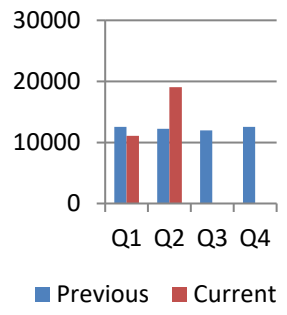




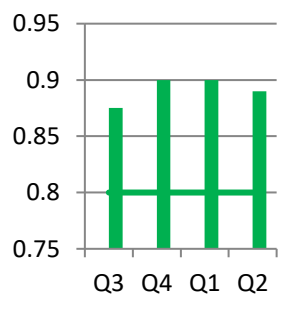




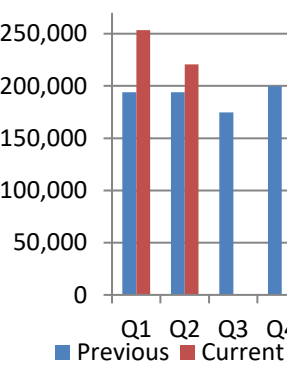


Addendum 4

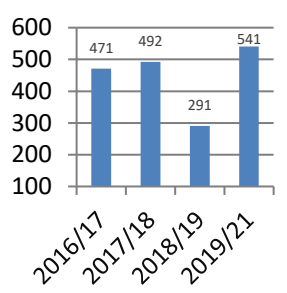

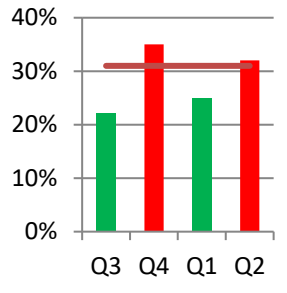




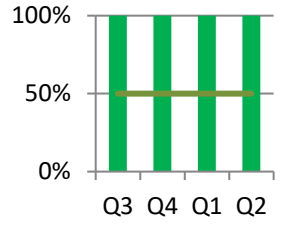




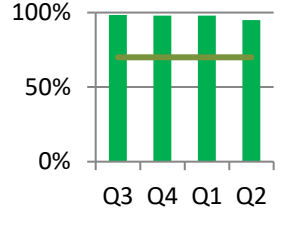




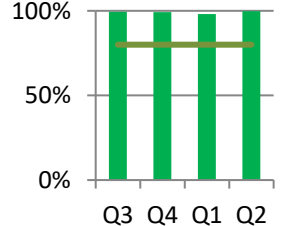



Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Revs & Bens CT01	Council Tax collection	Monthly	84.2%	97.8%	28.6%	55.6%	57.2%	 		55.6%	57.2%	 	Q2 Collection for the end of the second quarter is under target. The drop in collection is mainly due to the COVID-19 pandemic which has resulted in many customers being on reduced income and on the government furlough scheme. Whilst a payment holiday was not offered, no formal enforcement letters or liability order court hearings have been issued so far this year.
Revs & Bens CT03	Housing Benefit and Pensioner Council Tax Support - time taken to process new claims	Quarterly	19 days	18 days	19 days	19 days	21 days	 		19 days	21 days	 	We have dedicated officers working on new claims to ensure these are processed in a timely manner to ensure payments are made as quickly as possible to alleviate financial hardship.
Revs & Bens CT05	Housing Benefit and Pensioner Council Tax Support - time taken to process Change of Circumstances	Quarterly	11 days	11 days	6 days	4.5 days	8 days	 		5.25 days	8 days	 	Target reduced to 8 days from 12 days in 19/20. Change of circumstances have become more involved for various reasons including; the calculation of customers earnings being more complex to assess due to the nature of a Customers employment. The increase in zero hour contracts and more frequent changes to wages from month to month has made these assessments more complicated and time consuming. We have also seen additional daily customer notifications from the DWP for customer entitlement to Universal Credit, this information can be duplicated, can be incorrect or incomplete, but each piece of work has to be scrutinised before a decision on each can be made. This makes it a resource intensive process Taking into account of the complexity of this type of work we are pleased with the current performance.

Brentwood Borough Council - Performance Indicator Dashboard

Addendum 4

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Revs & Bens CT07	Council Tax Reduction scheme for working age persons - time taken to process new applications	Quarterly	NMTP	NMTP	2 days	2 days	5 days	 		2 days	5 days	 	<p>This is a new PI following introduction of the new Council Tax Reduction Scheme (CTR) in April 2020/21.</p> <p>We have dedicated officers working on CTR applications to ensure these are processed in a timely manner to ensure that accounts are up to date so that residents made aware how much and when they are required to pay their Council Tax.</p>
Revs & Bens CT08	Council Tax Reduction scheme for working age persons - time taken to process change of circumstances	Quarterly	NMTP	NMTP	3 days	2 days	5 days	 		2.5 days	5 days	 	<p>This is a new PI following introduction of the new Council Tax Reduction Scheme (CTR) in April 2020/21.</p> <p>We have dedicated officers working on CTR applications to ensure these are processed in a timely manner to ensure that accounts are up to date so that residents made aware how much and when they are required to pay their Council Tax.</p>
ICT ICT01	Website uptime	Quarterly	99.87%	100%	100%	99.91%	98%	 		99.95%	98%	 	<p>Drops in website availability can be attributed to several factors, usually external, such as a power surge or cut. Notifications of website down time are sent to IT automatically.</p>
Contact Centre CC01	Telephone calls received via auto attendant	Quarterly	17,612	18,703	15,921	25,665	No target.	 		41,586	No target.	 	<p>This figure depicts the number of calls received by the Contact Centre via the main Council telephone no. 01277 312500. We continue to monitor trends associated with these statistics.</p> <p>There was a sharp increase in calls during Q2, which can mainly be attributed to the introduction of the new recycling scheme. Calls to 'Waste and Street Scene' accounted for 9,360 calls; 172% higher than for the same period 2019-20.</p>

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Contact Centre CC02	Telephone calls taken by the Contact Centre for those services undertaken by the Contact Centre	Quarterly	11,957	12,532	11,096	19,061	No target.	 		30,157	No target.	 	This figure depicts the number of calls received via the main Council telephone no. 01277 312500 and that have selected the applicable service from the options provided. It does not include calls that have selected option '0' (this figure is reflected in CC01). The services undertaken by the Contact Centre are Environmental Health, Licensing, Planning, Building Control, Parking, Operational Services and Housing Services.
Contact Centre CC03	% of telephone calls resolved for those services undertaken by the Contact Centre	Quarterly	87.5%	90%	90%	89%	80%	 		89.5%	80%	 	Consistent performance in Q2. Monthly meetings are held with the service areas to identify areas of improvement and training needs.
Contact Centre CC04	Website sessions	Quarterly	174,615	199,926	253,398	220,531	No target.	 		473,929	No target.	 	Website sessions remain significantly higher than the previous year. There has been a 'shift' to customers using our online services to access Coronavirus information and to interact with the Council while the Town Hall is closed. We hope to continue to embrace this shift and encourage more residents, who are able to, to access our digital services first.

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Planning P01	Number of new homes approved to be built in the Borough	Annual	NMTP	541	NMTP	NMTP	NMTP	NMTP		NMTP	No target	NMTP	The gross number of new homes approved to be built in the Borough. This gives an indication of new homes expected to be completed in the Borough in future. Approvals for new homes help towards the Borough's supply of homes, specifically the required five-year housing supply (published annually). In 2019/20 a total of 541 new dwellings were approved, this is up from 291 in 2018/19.
Planning P02	% of appeals allowed against the authority's decision to refuse planning applications	Quarterly	22.2%	35%	25%	32%	31%			28%	31%		Monitoring is done to understand why appeals happen and what can be done to reduce them / reduce number of overturns. Also working with agents to understand what we can do to help. Starting from October 2020 appeals are reported at planning committee.
													
Planning P03	Processing of planning applications as measured against targets for 'Major' application types	Quarterly	100%	100%	100%	100%	50%			100%	50%		Consistently high performance achieved throughout the year. Processes/performance are constantly being reviewed to ensure standards remain high. Number of Major application types received have not been affected by COVID. Processes have been tweaked to ensure business as usual and no detrimental effect to applicants.
													
Planning P04	Processing of planning applications as measured against targets for 'Minor' application types	Quarterly	98.3%	98.2%	98%	95%	70%			97%	70%		Consistently high performance achieved throughout the year. Processes/performance is constantly being reviewed to ensure standards remain high. Number of minor application types dropped off this year due to COVID, but not as much as expected. Processes have been tweaked to ensure business as usual and no detrimental effect to applicants.
													
Planning P05	Processing of planning applications as measured against targets for 'Other' application types	Quarterly	99.4%	99.2%	98%	99.7%	80%			98%	80%		Consistently high performance achieved throughout the year. Processes/performance is constantly being reviewed to ensure standards remain high. Number of other application types dropped off this year due to COVID, but not as much as expected. Processes have been tweaked to ensure business as usual and no detrimental effect to applicants.
													

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Committee: Audit and Scrutiny Committee	Date: 26 January 2021
Subject: Local Development Plan Member Working Group Update	Wards Affected: All
Report of: Phil Drane, Corporate Director of Planning and Economy	Public
Report Author: Name: Phil Drane, Corporate Director of Planning and Economy Telephone: 01277 312500 E-mail: philip.drane@brentwood.gov.uk	For Information

Summary

The Local Development Plan (LDP) Member Working Group is an established engagement between Officers and Councillors focussed on delivery of the Council's Local Plan and related work. Its purpose was approved by Policy, Projects and Resources Committee in September 2017.

The work of the working group is monitored by the Audit and Scrutiny Committee as part of the committee's work programme. This report provides an update on the most recent meetings of the working group.

Recommendation

Members are asked to:

R1. Note the update provided in this report and the appendices enclosed.

Main Report

Introduction and Background

1. The Local Development Plan (LDP) Member Working Group is an established engagement between Officers and Councillors that has taken place over several years alongside preparation of the Council's Local Plan. It has also considered related work to the Local Plan. The purpose of the working group is to consider the Local Plan and associated documents before they are considered by the Council at a relevant meeting or committee. This purpose was approved by the

Council in September 2017 (Item 114, Policy, Projects and Resources Committee, 19 September 2017).

2. Audit and Scrutiny Committee monitors the work of the LDP Member Working Group as part of its work programme. An update is provided in this report on the activities of the working group.

Issue, Options and Analysis of Options

3. Audit and Scrutiny Committee was last provided with a LDP Member Working Group update on 24 November 2020 (Item 587). Since then, the working group has met on 5 January 2021 (see Appendix A for draft meeting notes, which have not yet been approved by the group). The group has focussed on the Local Plan examination currently taking place.
4. Working group meetings are set to take place bi-monthly with the next scheduled for 9 March 2021.

Reasons for Recommendation

5. As part of the Audit and Scrutiny Committee work programme, an update on the work of the LDP Member Working Group is provided.

Consultation

6. The Local Plan and associated documents are subject to public consultation.

References to Corporate Plan

7. The Local Plan is a key vehicle for the delivery of many objectives set out within the Council's Corporate Strategy. This includes growing our economy, protecting our environment, developing our communities, and improving housing.

Implications

Financial Implications

Name/Title: Jacqueline Van Mellaerts, Corporate Director of Finance and Resources

Tel/Email: 01277 312500/jacqueline.vanmellaerts@brentwood.gov.uk

8. There are no direct financial implications. There are appropriate budgets included within the Medium term financial strategy to resource the Local Plan.

Legal Implications

Name & Title: Amanda Julian, Corporate Director of Law and Governance

Tel & Email: 01277 312500/amanda.julian@brentwood.gov.uk

9. The procedures which the Council is required to follow when producing a Local Plan derive from the Planning and Compulsory Purchase Act 2004 (as amended) and the Town and Country Planning (Local Development) (England) Regulations 2012.
10. The legislation states that a local planning authority must only submit a plan for examination which it considers to be sound. This is defined by the National Planning Policy Framework as being:
 - a) **Positively Prepared:** based on a strategy which seeks to meet objectively assessed development and infrastructure requirements;
 - b) **Justified:** the most appropriate strategy, when considered against the reasonable alternatives, based on proportionate evidence;
 - c) **Effective:** deliverable over its period and based on effective joint working on cross-boundary strategic priorities; and
 - d) **Consistent with national policy:** enable the delivery of sustainable development in accordance with the policies in the Framework.
11. For the draft Local Plan to pass the tests of soundness, in particular the ‘justified’ and ‘effective’ tests, it is necessary for it to be based on an adequate, up to date and relevant evidence base. The Council also has a legal duty to comply with the Statement of Community Involvement in preparing the Plan. (S19(3) 2004 Act).
12. In addition, the Council also has a legal “duty to Cooperate” in preparing the Plan. (S33A 2004 Act).

Economic Implications

Name/Title: Phil Drane, Corporate Director of Planning and Economy

Tel/Email: 01277 312500/philip.drane@brentwood.gov.uk

13. The Local Development Plan is a key vehicle for the delivery of economic growth, in line with the Council’s objectives to grow the economy. It is important that the delivery of the Plan is scrutinised through elected representation.

Equality and Diversity Implications

Name/Title: Kim Anderson, Partnerships, Leisure & Funding Manager

Tel/Email: 01277 312634/kim.anderson@brentwood.gov.uk

14. The Local Development Plan considers equality and diversity issues.

Health & Wellbeing Implications

Name/Title: Kimberley White, Corporate Health & Wellbeing Officer

Tel/Email: 01277 312500/kimberley.white@brentwood.gov.uk

15. The Local Development Plan includes provisions to maintain and improve health and wellbeing in the borough.

Other Implications (where significant) – i.e. Health and Safety, Asset Management, Risk Management, Section 17 – Crime & Disorder, Sustainability, ICT.

16. Delivery of the Local Development Plan is monitored through the Council's strategic risk register.
17. The Local Development Plan is accompanied by a Sustainability Appraisal.

Background Papers

- Local Development Plan Member Working Group Update, Item 587, Audit and Scrutiny Committee, 24 November 2020
- Local Development Plan Member Working Group Update, Item 480, Audit and Scrutiny Committee, 28 July 2020
- Corporate Projects Report, Item 114, Policy, Projects and Resources Committee, 19 September 2017

Appendices to this report

- Appendix A: Local Development Plan Member Working Group Draft Notes and Actions, 5 January 2021

Notes

Meeting: Local Development Plan Members Working Group
Venue: Online via Microsoft Teams
Date: Tuesday 5 January 2021
Time: 18:00-19:15

Members Present: Cllr Bridge, Cllr Keeble, Cllr McCheyne, Cllr Mynott, Cllr Naylor, Cllr Sanders

Officers Present: Phil Drane (PD), Corporate Director of Planning and Economy
Jonathan Quilter (JQ), Strategic Planning Manager

Apologies: Cllr Jon Cloke, Cllr Morrissey

1. Notes from last meeting

- a) Notes from last meeting (03/11/2020) were circulated for review. No comments raised.

2. Examination Update

- a) Hearing sessions began on 1 December 2020, week one covering that week (1-4 December) and Friday 11 December. Matters discussed included: Legal and procedural requirements (i.e. Duty to Cooperate); spatial strategy; housing needs (i.e. requirement and affordable housing); employment needs; Green Belt; and the first set of questions on Dunton Hills Garden Village (generally dealing with strategic issues with more detailed issues following into week three).
- b) Hearing sessions continue into weeks two, three and four in February 2021. This includes a revised programme to now add a week four, to take place 2-5, 9-12, and 23-25 February). Hearing statements for matters covered in these weeks were published from 15 December 2020 and are available to view on the Council's website.
- c) Matters in February include: general questions on site allocations as well as grouping sites together by neighbourhood; housing provision; general infrastructure; Gypsies and Travellers; employment and retail sites; environment; future proofing; natural and historic environment; design and place-making; transport infrastructure; and the remainder of Dunton Hills Garden Village questions. In addition, towards the end of the matters we will consider monitoring of the policies and necessary modifications. This will inform next stages through 2021.



Notes

- d) There were several notes requested by the Inspectors' following the week one sessions. These are to provide further clarity on specific issues and will be published by 15 January 2021.
- e) A key issue requiring further information is the status of the Transport Assessment and how it informs the Infrastructure Delivery Plan (IDP). Work is continuing with Essex County Council and Highways England to answer outstanding questions and publish revised work by 15 January and issue a revised IDP before the hearing sessions in February. This work is to identify the impacts of development on the highways network in particular, with mitigation required (i.e. costs and how this is provided by development contributions etc). Regular meetings have been set up to push this work forward through January.
- f) Related to this issue is investment in rail infrastructure, such as that proposed at West Horndon station linked to the wider strategy for sustainable growth in the area. We are discussing a Memorandum of Understanding (MoU) with c2c, Network Rail and Essex County Council, which includes the phasing of necessary improvements to take account of what is needed now from Brentwood Borough growth and what may be needed in future subject to Thurrock Council's strategy, which is yet to be decided. Proposals are published in the South Brentwood Growth Corridor Sustainable Transport Vision work and are to be updated through the MoU.
- g) Cllr Naylor asked about the role of participants at the hearing sessions given it seemed several resident groups were not listed as participants under certain matters, for instance. JQ explained that to be invited participants need to have made representations to the Regulation 19 consultations that took place in 2019. The sessions are broadcast online for all to view, both live and archived (via the Council's YouTube site and examination webpage).
- h) Cllr Mynott clarified that he has requested to speak as a participant, which is in a personal capacity and will not reflect criticism of officers but continue to raise points that have been made previously about specific sites and the strategy.
- i) Cllr Keeble asked about infrastructure needs in Blackmore and whether there was an update (such as health, schools, and wastewater). PD and JQ responded, that the issues could be discussed at relevant sessions in February but also that engagement with relevant infrastructure providers who advise on whether investment in services/facilities are required from the amount of development proposed. The amount of development proposed is unlikely to require investment in such services/facilities, there has been no requirement advised by those providers. Cllr Keeble advised that there is capacity at the local GP surgery, but investment needed by the NHS to provide for more doctors etc.
- j) Cllr McCheyne advised that there was a doctors' forum covering Blackmore and that he would advise Cllr Keeble of the next date in order to get involved.
- k) Cllr McCheyne asked about the Local Plan review process. PD explained that this has been discussed at the hearing session due to the LDP not providing for a 15-year period at adoption. It will be important to consider the longer-term needs of the



Notes

borough through a process of reviewing the LDP (if adopted) within the next five years. JQ advised that we need to be mindful of planning reforms introduced by Government in future and so consider this as part of the review process alongside changing needs.

- l) Cllr Mynott asked about COVID-19 lockdown implications and whether this may affect the hearing sessions. JQ advised that the revised programme to be issued anticipates that we will be able to continue as planned, particularly given the remote nature of proceedings which will still be possible. However, we will need to be mindful of certain limitations on people and organisations when considering issues such as home-schooling and childcare, among other things. Participants would be notified if there were changes to the programme as a result.

3. AOB

- a) No matters raised.
- b) Next meeting scheduled for 9 March 2021.

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Agenda Item 6

Committee(s): Audit and Scrutiny	Date: 26 th January 2021
Subject: Scrutiny Work Programme 2020/21	Wards Affected: All
Report of: Strategic Director (Deputy Chief Executive)	Public
Report Author/s: Name: Steve Summers Telephone: 01277 312500 E-mail: steve.summers@brentwood.gov.uk	For Decision

Summary

The Constitution requires that the Audit & Scrutiny Committee agrees its Scrutiny work programme at each meeting of the Committee. This report provides an update of the current scrutiny work programme and is set out in Appendix A.

In addition, legislation requires that an Annual report is made to the Committee on the work of the Community Safety Partnership. This report is normally made at the March committee each year.

At the last meeting of the Audit & Scrutiny Committee a presentation was made to Members on the Council's Housing Repairs and Maintenance contractor, Axis and it was agreed that a Members Working Group be convened. A date for the working group is currently being arranged.

In addition, at the 24th November committee Cllr Barrett forwarded a recommendation for the work programme to include a review of the historic relationship between Brentwood Borough Council and the Brentwood Leisure Trust. The completed form is attached as Appendix B.

Recommendation(s)

R1. That the Committee considers and agrees the 2020/21 Scrutiny work programme as set out in Appendix A with any additions agreed by the committee at the meeting.

Main Report

Introduction and Background

- 1.0 At the Annual Council it was agreed that the committee structure would include the introduction of an Audit & Scrutiny Committee.
- 2.0 In relation to new scrutiny matters under its Terms of Reference any scrutiny matter identified by members must be agreed Audit and Scrutiny Committee.

3.0 The Audit & Scrutiny Committee also has responsibility to review decisions made, or other action taken, in connection with the discharge by the responsible authorities of their crime and disorder functions. In addition, it has responsibility for the monitoring of Council service performance, including Performance Indicators and Formal Complaints.

4.0 The Scrutiny work programme should not include management or staffing issues which are the responsibility of the Head of Paid Service

Reasons for Recommendation

5.0 The Constitution requires that the Audit & Scrutiny Committee agrees its Scrutiny work programme at each meeting of the Committee.

Consultation

6.0 None.

References to Corporate Plan

7.0 The vision of Transformation includes an action to improve the Council's governance arrangements, leading to faster, more effective decision-making. An effective scrutiny function is an essential element of that priority.

Implications

Financial Implications

Name/Title: Jacqueline Van Mellaerts, Director of Corporate Resources

Tel/Email: 01277 312829/jacqueline.vanmellaerts@brentwood.gov.uk

8.0 There are no direct financial implications arising from this report.

Legal Implications

Name & Title: Amanda Julian, Director of Law and Governance

Tel & Email: 01277 312500/steve.summers@brentwood.gov.uk

9.0 There are no direct legal implications arising from this report.

Economic Implications

Name/Title: Phil Drane, Director of Strategic Planning

Tel/Email: 01277 312610/philip.drane@brentwood.gov.uk

10. There are no direct economic implications from this report.

Other Implications (where significant) – i.e. Health and Safety, Asset Management, Equality and Diversity, Risk Management, Section 17 – Crime & Disorder, Sustainability, ICT.

Background Papers

None.

Appendices to this report

Appendix A – Draft Scrutiny Work Programme 2020/21

Appendix B – Scrutiny Review Form completed by Cllr Barrett

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Jan-21

Audit & Scrutiny Committee

2020-21 Draft Scrutiny Work programme

Subject Matter	July	August	September	October	November	December	January	February	March
Local Development Plan	Report to committee		Member Working Group	Report to Committee	Member Working Group	Member Working Group	Report to Committee	Member Working group	Report to Committee
Scope	1. Review the Council's Plan making process as required by the National Planning Policy Framework (NPPF). 2. Review efforts to ensure that necessary cooperation on strategic cross boundary matters have been made. 3. Review subjects and issues covered by LDP evidence base to ensure it is appropriate and proportionate.								
Membership 2020/2021	Cllr Cloke, McCheyne, Ms Sanders, Keeble, Mynott, Naylor, and Morrissey.								
Detailed timeline									
1. Working Group Meeting - 16.06.2020									
2. Report to Audit & Scrunity Committee - 28th July 2020									
3. Working Group Meeting - 1st September and 3rd November 2020									
4. Report to Audit & Scrunity Committee - 24th November 2020									
5. Working Group Meeting - 5th January 2021									
6. Report to Audit & Scrunity Committee - 26th January 2021									

Subject Matter	July	August	September	October	November	December	January	February	March
Performance and Formal Complaints	Collate Data	Review with services	Member Working Group	Report to Committee	Review work	Member Working Group	Report to Committee	Review work/Member working Group	Report to Committee
Membership 2020/2021	Cllrs Nolan, Tanner, Hirst, Dr Barrett, Naylor								
Detailed timeline									
1. Working Group Meeting - 9th June 2020									
2. Report to Audit & Scrunity Committee - 28th July 2020									
3. Working Group Meeting - 8th September 2020									
4. Report to Audit & Scrunity Committee - 24th November 2020									
5. Working Group Meeting - 1st December 2020									
6. Report to Audit & Scrunity Committee - 26th January 2021									
Subject Matter	July	August	September	October	November	December	January	February	March
Community Safety Partnership									Report to Committee
Detailed timeline									
1. Report to Audit & Scrunity Committee - 23rd March 2021									

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Proposed Scrutiny Review

Councillor Name requesting review	Cllr Tim Barrett
Subject matter to be reviewed	Historic relationship between Brentwood Borough Council and Brentwood Leisure Trust – from foundation to final closing.
Rationale – (key issues and/or reason for undertaking the review)	<p>In 2004 Brentwood Borough Council transferred the management and operation of its leisure provision (mainly focused around Brentwood Leisure Centre) to the Brentwood Leisure Trust (BLT). In considering its leisure provision, Brentwood Borough Council had developed a proposal for a new, sole operator (BLT) for its leisure provision that was to take full, independent responsibility.</p> <p>From 2004 on, Brentwood Borough Council has provided the Brentwood Leisure Trust (BLT) with substantial assistance both financial (including grants and loans) and contractual (such a support services) over the last 16 years. BLT has ceased trading as of 28/10/2020 with Brentwood Borough Council the Trust's largest creditor.</p> <p>A new operating model for the council's leisure provision is under development. Lessons from the previous model will assist and inform considerations for new operating model to offer an improved, resilient and value-for-money service for Brentwood residents, by learning the lessons of</p>

	the BLT relationship – what worked, what did not and what could be done better.
Purpose of Review/Objective (specify exactly what the review should achieve)	To determine lessons that can be learnt from the process of initial development of Brentwood Leisure Trust, the terms of transfer of provision of leisure, and the relationship between Brentwood Borough Council and Brentwood Leisure Trust throughout its existence. Identify recommendations for future leisure operating models that would improve services and avoid reoccurrence of the situation now faced by the Council.
Indicators of Success (what factors would indicate that a review has been successful)	Report produced with an analysis of the process of awarding leisure, operations, the previous relationship and recommendations for future improvements, which is considered and noted by members of A&S, PRED and C&H committees.
Methodology/Approach (what types of enquiry will be used to gather evidence and why)	A small sub-committee of A&S (Task & Finish group) to produce a report, working with officers, that defines the lessons learnt from the establishment and relationship with BLT, alongside recommendations for the development of further leisure provision operating models. The report to include an analysis of the records available to the Officers or that are in the public domain from the 16 year relationship, alongside an analysis of the documentation on the establishment of the independent leisure operator and award of the leisure provision. Given the likely scale of the records, interim reports to be produced at appropriate reporting points (A&S Committee meetings).

Members Interests

Members of the Council must declare any pecuniary or non-pecuniary interests and the nature of the interest at the beginning of an agenda item and that, on declaring a pecuniary interest, they are required to leave the Chamber.

- **What are pecuniary interests?**

A person's pecuniary interests are their business interests (for example their employment trade, profession, contracts, or any company with which they are associated) and wider financial interests they might have (for example trust funds, investments, and asset including land and property).

- **Do I have any disclosable pecuniary interests?**

You have a disclosable pecuniary interest if you, your spouse or civil partner, or a person you are living with as a spouse or civil partner have a disclosable pecuniary interest set out in the Council's Members' Code of Conduct.

- **What does having a disclosable pecuniary interest stop me doing?**

If you are present at a meeting of your council or authority, of its executive or any committee of the executive, or any committee, sub-committee, joint committee, or joint sub-committee of your authority, and you have a disclosable pecuniary interest relating to any business that is or will be considered at the meeting, you must not :

- participate in any discussion of the business at the meeting, of if you become aware of your disclosable pecuniary interest during the meeting participate further in any discussion of the business or,
- participate in any vote or further vote taken on the matter at the meeting.

These prohibitions apply to any form of participation, including speaking as a member of the public.

- **Other Pecuniary Interests**

Other Pecuniary Interests are also set out in the Members' Code of Conduct and apply only to you as a Member.

If you have an Other Pecuniary Interest in an item of business on the agenda then you must disclose that interest and withdraw from the room while that business is being considered

- **Non-Pecuniary Interests**

Non –pecuniary interests are set out in the Council's Code of Conduct and apply to you as a Member and also to relevant persons where the decision might reasonably be regarded as affecting their wellbeing.

A 'relevant person' is your spouse or civil partner, or a person you are living with as a spouse or civil partner

If you have a non-pecuniary interest in any business of the Authority and you are present at a meeting of the Authority at which the business is considered, you must disclose to that meeting the existence and nature of that interest whether or not such interest is registered on your Register of Interests or for which you have made a pending notification.

Audit and Scrutiny Committee Term of Reference

The Audit and Scrutiny Committee provides advice to the Council and the committees on the effectiveness of the arrangements for the proper administration of the Council's financial affairs, including all relevant strategies and plans.

It also acts as the Council's Overview and Scrutiny Committee with all the powers under Part 3 of the Local Authorities (Committee System) (England) Regulations 2012, and discharges the functions under section 19 of the Police and Justice Act 2006 (local authority scrutiny of crime and disorder matters).

Without prejudice to the generality of the above, the terms of reference include those matters set out below.

Audit Activity

- (a) To approve the Annual Internal Audit risk based plan of work.
- (b) To consider the Head of Internal Audit's annual report and opinion, and a summary of Internal Audit activity and the level of assurance it can give over the Council's corporate governance, risk management and internal control arrangements.
- (c) To consider regular progress reports from Internal Audit on agreed recommendations not implemented within a reasonable timescale.
- (d) To consider the External Auditor's annual letter, relevant reports, and the report to those charged with governance.
- (e) To comment on the scope and depth of external audit work and to ensure it gives value for money.
- (f) To consider the arrangements for the appointment of the Council's Internal and External Auditors.

Regulatory Framework

- 1) To review any issue referred to it by a Statutory Officer of the Council or any Council body.
- 2) To monitor the effective development and operation of risk management and corporate governance in the Council.

- 3) To monitor Council policies and strategies on an Annual basis

Whistleblowing
Money Laundering
Anti-Fraud and Corruption
Insurance and Risk Management
Emergency Planning
Business Continuity

- 4) To monitor the corporate complaints process.
- 5) To consider the Council's arrangements for corporate governance and agreeing necessary actions to ensure compliance with best practice.
- 6) To consider the Council's compliance with its own and other published standards and controls.
- 7) To monitor the Council processes in relation to
 - Freedom of Information
 - Member Enquires
- 8) To monitor the Council's Data Quality arrangements.
- 9) To monitor the Council's Member's Training arrangements.

Accounts

- 1) To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.
- 2) To review the Council's Annual Governance Statement.
- 3) To consider the External Auditor's report to those charged with governance on issues arising from the audit of the accounts.

Scrutiny Activity

- 1) Responsible to scrutinise any matters as identified and agreed by the Policy, Resources and Economic Development Committee as set out in the Audit and Scrutiny Procedure rules.
- 2) To report to the Policy, Resources and Economic Development Committee or the appropriate committee on the progress of any matters that have been requested and to make relevant recommendations as required.
- 3) To establish working groups as appropriate (in line with agreed protocols) to undertake the scrutiny of any matters requested by the Policy, Resources and Economic Development Committee, including setting their terms of reference, the reporting arrangements, and to co-ordinate and review the work of the working groups.
- 4) Responsibility for the monitoring of Council service performance, including Performance Indicators and, Formal Complaints, making reports if required to any committee, or subcommittee, any officer of the Local Authority, or any joint committee on which the Local Authority is represented, or any sub-committee of such a committee.
- 5) To review and/or scrutinise decisions made, or other action taken, in connection with the discharge of any functions of the Local Authority.
- 6) To deal with those issues raised through the 'Councillor Call for Action' scheme in line with agreed protocols and procedures.
- 7) To review and/or scrutinise decisions made, or other action taken, in connection with the discharge by the responsible authorities of their crime and disorder functions.
- 8) To make reports or recommendations to the Local Authority with respect to the discharge by the responsible authorities of their crime and disorder functions.

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