



# Agenda

## **Audit and Scrutiny Committee**

Tuesday, 28 September 2021 at 7.00 pm

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

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### **Membership (Quorum – 3 )**

Cllrs Nolan (Chair), Tanner (Vice-Chair), Mrs Fulcher, Haigh, Hirst, Jakobsson, McLaren, Naylor and Mrs Pound

### **Substitute Members**

Cllrs Barber, Cuthbert, Mrs Hones, Laplain and White

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### **Agenda**

<b>Item</b>	<b>Item</b>	<b>Wards(s) Affected</b>	<b>Page No</b>
	<b>Live broadcast</b>		
	<a href="#"><u>Live broadcast to start at 7pm and available for repeat viewing.</u></a>		
1.	<b>Apologies for Absence</b>		
2.	<b>Minutes of the previous meeting</b>		5 - 12
3.	<b>Certification of Housing Benefit Subsidy Claim 2019-20</b>	All Wards	13 - 30
4.	<b>Internal Audit Progress Report 2021-22</b>	All Wards	31 - 76
5.	<b>Risk Management</b>	All Wards	77 - 96
6.	<b>Formal Complaints &amp; Performance Indicator Working Group</b>	All Wards	97 - 152

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|-----|---|-----------|-----------|
| 7.  | <b>Local Development Plan Member Working Group Update</b>   | All Wards | 153 - 166 |
| 8.  | <b>Scrutiny Work Programme 2021/22</b>  | All Wards | 167 - 180 |
| 9.  | <b>Axis Annual Report 2020-21</b>   | All Wards | 181 - 208 |
| 10. | <b>Urgent Business</b><br>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. |           |           |



Jonathan Stephenson  
Chief Executive

Town Hall  
Brentwood, Essex  
20.09.2021

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### Information for Members

#### 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.

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#### Rights to Attend and Speak

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.

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#### Point of Order/ Personal explanation/ Point of Information

##### Point of Order

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.

##### Personal Explanation

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.

##### Point of Information or clarification

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.

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### Information for Members of the Public

#### Access to Information and Meetings

You have the right to 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](http://www.brentwood.gov.uk).

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

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

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these activities, in their opinion, are disrupting proceedings at the meeting.

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 **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.

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 **Access**

There is wheelchair access to the meeting venue from the Main Entrance. If you do wish to attend this meeting, please contact the clerk should you have specific accessibility needs. There is an induction loop in the meeting room.

 **Evacuation Procedures**

Evacuate the building using the nearest available exit and congregate at the assembly point in the Car Park.



## Minutes

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### Audit and Scrutiny Committee Tuesday, 6th July, 2021

#### Attendance

Cllr Nolan (Chair)	Cllr Hirst
Cllr Tanner (Vice-Chair)	Cllr Jakobsson
Cllr Mrs Fulcher	Cllr Naylor
Cllr Haigh	

#### Apologies

Cllr McLaren	Cllr Mrs Pound
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#### Substitute Present

Cllr Barber  
Cllr White

#### Also Present

Cllr Dr Barrett

#### Officers Present

Phoebe Barnes	- Corporate Finance Manager
Steve Summers	- Strategic Director (Deputy Chief Executive)
Zoe Borman	- Governance and Member Support Officer
Janine Combrinck	- Internal Audit, BDO
Neil Harris	- External Audit, E&Y
Greg Rubins	- BDO, Internal Audit
Greg Campbell	- Corporate Director (Environment & Communities)
Daniel Cannon	- Community Safety Manager
Amanda Julian	- Corporate Director (Law and Governance) and Monitoring Officer

#### LIVE BROADCAST

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

**68. Apologies for Absence**

Apologies had been received from Cllr Pound and Cllr McLaren. Cllrs Barber and White were substituting respectively.

**69. Minutes of the previous meeting**

The Minutes of the Audit & Scrutiny Committee held on 11<sup>th</sup> March were agreed as a true record.

**70. Annual Audit Letter 2019-20**

This report presented the Committee with the Annual Audit Letter issued by the external auditors, Ernst & Young, following the completion of the audit of the 2019/20 accounts.

Mr Harris, External Auditor, was present at the meeting and summarised the report.

Members raised concerns regarding Section 114 and whether this was within the external auditor's remit to monitor and report upon. Mr Harris assured Members they had a critical responsibility towards the Council's financial resilience and that safeguarding processes were in place.

Members noted the report.

**71. Unaudited Statement of Accounts 2020-21**

This report presented the Council's unaudited Statement of Accounts for 2020/21, the accounts will be signed by the Corporate Director (Finance & Resources) by 31<sup>st</sup> July 2021 in line with requirements of the Accounts and Audit (Amendment) Regulations 2015. They will be published on the Council's website and will be subject to public inspection under section 26 of the Local Audit and Accountability Act 2014.

The Group accounts have been compiled with Seven Arches Investment Limited (SAIL) draft accounts. If the audited version is returned in time for publication, officers will make appropriate changes to the Council's group accounts by the publication deadline.

The Annual Governance Statement is an annual review and published alongside the statement of accounts. The Statement is also subject to external audit.

Ms Barnes was present at the meeting and introduced the report. Ms Barnes thanked her team for their hard work in completing the draft statements whilst remote working during the pandemic.

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

A vote was taken by a show of hands and it was **RESOLVED UNANIMOUSLY** that Members:

- 1, **Note the unaudited Statement of Accounts for 2020/21 in Appendix A.**
2. **That the Annual Governance Statement 2020/21 attached in Appendix B is endorsed and signed by the Chief Executive and Leader of the Council and delegated authority is given to the Corporate Director (Finance & Resources) in consultation with the Chair of Audit & Scrutiny Committee to make any appropriate changes before publication and following External Auditors review should it be required.**

### **Reasons for Recommendation**

The approval of the unaudited Accounts contributes to effective financial management and governance and meets statutory requirements.

## **72. Internal Audit progress Report 2020-21**

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:

- Risk Management (Substantial/Moderate)
- Main Financial Systems (Moderate/Moderate)
- Financial Planning and Monitoring (Substantial/Substantial)
- Covid-19 related grants (Substantial/Substantial)
- Licensing. (Moderate/Limited)

Mrs Combrinck, Internal Auditor, was present at the meeting and summarised the report.

Members were asked to note the report.

## **73. Internal Audit Annual Report 2020-21**

This report intended to inform the Audit and Scrutiny Committee of the annual internal audit opinion.

Overall, Internal audit have been able to provide moderate assurance that there is a sound system of internal control, designed to meet the Council's objectives and that controls are being applied consistently. The full report is attached in Appendix A.

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

Following discussion, Members were asked to note the report.

#### **74. Risk Management**

The report updated members of the Audit & Scrutiny Committee on the status of the Council's 2021/22 Strategic Risk Register.

The Risk Registers are under review to align them to the Corporate Strategy, as well as presenting them in a more appropriate format.

Ms Barnes presented the report, and advised Members of the improved layout.

Following a full discussions Members were requested to note the report.

#### **75. Community Safety Partnership Report**

Each year the partnership has a statutory duty to carry out a strategic intelligence assessment which reviews existing priorities and identifies any new or emerging priorities that the partnership should focus on.

All partners agree the Strategic Priorities and sets out in their Partnership Plan (Appendix A) how the partnership will work together over the next twelve months to tackle crime and disorder and achieve its priorities.

The CSPs Strategic Priorities for 2020/21 are:

- Safer Community
- Safer Future

A set of action plans were developed which underpins delivery of the above priorities and sets out how the partnership will work together to stimulate activity across the Borough, focusing on those activities that add value because of being delivered in partnership.

Section 19 of the Police and Justice Act 2006 requires every Local Authority to have a Crime and Disorder Committee with the power to review, scrutinise, and make reports and recommendations regarding the functioning of the CSP. Under the scrutiny arrangements in place the Committee are asked to



consider the work of the CSP as outlined in the annual report attached at Appendix A and refer any comments or concerns to the partnership.

Mr Cannon was present at the meeting and summarised the report. Members welcomed this report and acknowledged the ongoing preventative work with Essex Police and other partners in tackling crime.

#### **76. LDP 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 Members with an update on the most recent meetings of the working group.

Members were asked to note the update provided in the report together with appendices.

#### **77. Scrutiny Work Programme 2021/22**

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 and is set out in Appendix A.

In addition to this there were a number of matters to be considered by the committee as follows.

- Attached at appendix B was a request from Cllr Tim Barrett regarding a report on the progress of Motions made at Ordinary Council.
- Review of member representation on outside organisations.
- Members were 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. Members now need to be nominated to the working group so the meetings can be arranged.

Mr Summers presented the report.

Cllr Naylor **MOVED** and Cllr Haigh **SECONDED** a motion to add a further recommendation to the report:

**“That the Minutes of the Brentwood Leisure Trust Working Group be reported at the following Audit & Scrutiny meetings”**

A vote was taken by a show of hands it was **APPROVED UNANIMOUSLY** to add the recommendation to the report.

Cllr Barratt, not a member of this Committee, thanked Members for accepting his report on the progress of Motions made at Ordinary Council.

Cllr Fulcher confirmed her attendance to form part of the Access Working Group alongside Cllrs Nolan and Tanner.

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

A vote was taken by a show of hands and Members **APPROVED UNANIMOUSLY:**

1. That the Committee considers and agrees the 2021/22 Scrutiny work programme as set out in Appendix A with the following additions:
  - A regular report on the progress of Motions presented at Ordinary Council.
  - A report on the review of member representation on outside organisations.
2. That the Minutes of the Brentwood Leisure Trust Working Group be reported at the following Audit & Scrutiny meetings.

### **Reason for Recommendation**

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

### **78. Urgent Business**

There were no items of urgent business.

The meeting concluded at 20:30

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<b>Committee:</b> Audit & Scrutiny Committee	<b>Date:</b> 28 September 2021
<b>Subject:</b> Certification of Housing Benefit Subsidy Claim 2019/20	<b>Wards Affected:</b> All
<b>Report of:</b> Jacqueline Van Mellaerts, Corporate Director (Finance & Resources)	<b>Public</b>
<b>Report Author:</b> Name: Alistair Greer, Principal Accountant Telephone: 01277 312500 E-mail: alistair.greer@brentwood.gov.uk	<b>For Information</b>

## Summary

This report presents the External Auditor's annual report in respect of the Certification of the Housing Benefit Subsidy Claim for the financial year 2019/20.

## Main Report

### **Introduction and Background**

1. The Council, being responsible for managing housing benefits, is able to claim subsidy toward the costs of these benefits from the Department of Work & Pensions (DWP). The claim is subject to certification.
2. The Council has engaged BDO LLP to undertake the certification of its housing benefit subsidy claim for the financial year ending 31 March 2020.
3. The deadline for the submission of the certified claim for 2019/20 would normally have been 30 November 2020. Due to the ongoing impact of the COVID-19 pandemic, the Council has obtained a deadline extension to 31 May 2021. BDO completed their work and certified the claim on 27 May 2021.

### **Issue, Options and Analysis of Options**

4. The total value of the housing benefit subsidy claim for 2019/20 was £10,410,541.
5. The work carried out by BDO includes verifying that the Council is using the correct version of its benefits software and that this software has been updated with the correct parameters.
6. It also involves agreeing the entries in the claim to the underlying records and testing a sample of cases from each benefit type to confirm that benefit has been awarded in accordance with the relevant legislation and is shown in the correct cell on the claim form.

7. BDO did not make any amendments to the claim form following their work. They did identify some minor errors in the assessment of claims which, if extrapolated by DWP across the entire claim, could result in a reduction in subsidy of £8,428. Any such reduction is at the discretion of DWP, as they do provide an allowance within the subsidy system to recover local authority errors. DWP will make a final determination regarding the amount of subsidy to be paid later in the year.
8. The report produced by BDO following the conclusion of their work is attached as Appendix A. Pages 3-4 sets out an executive summary, with details provided on the following pages.

### **Consultation**

9. None

### **References to Corporate Plan**

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

### **Implications**

#### **Financial Implications**

**Name/Title: Jacqueline Van Mellaerts, Corporate Director (Finance & Resources)**  
**Tel/Email: 01277 312500/jacqueline.vanmellaerts@brentwood.gov.uk**

11. Administration costs and Housing Benefit Payments as well as subsidy income are all forecasted within the Medium term financial strategy. Audit fees are included within the executive summary which were £14,850.

#### **Legal Implications**

**Name & Title: Amanda Julian, Corporate Director (Law & Governance) and Monitoring Officer**  
**Tel & Email: 01277 312500/amanda.julian@brentwood.gov.uk**

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

#### **Economic Implications**

**Name/Title: Phil Drane, Corporate Director (Planning and Economy)**  
**Tel/Email: 01277 312610/philip.drane@brentwood.gov.uk**

13. There are no direct economic implications. Ensuring housing benefit claims are audited confirms that the Council and local residents receive value for money and that performance of the service is accurate.

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

None

**Background Papers**

None

**Appendices to this report**

Appendix A: BDO Grants & Returns Report

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Report to the Audit and Scrutiny Committee  
**BRENTWOOD BOROUGH COUNCIL**  
**GRANTS AND RETURNS**

Audit Completion: year ended 31 March 2020

# INTRODUCTION

## Grant Certification Work

This report summarises the main issues arising from our certification of grant claims and returns for the financial year ended 31 March 2020.

Grant claims and returns are not within the scope of our appointment by PSAA, but Departments may still seek external assurance over the accuracy of the claim or return. These assurance reviews are covered by tripartite agreements between the Council, sponsoring Department and the auditor.

The Council has engaged us to carry out the following for the year ended 31 March 2020:

- ‘Agreed-upon procedures’, based on the instructions and guidance provided by the Department for Work and Pensions (DWP), of the form MPF720A - Statement of Authority claimed entitlement to Housing Benefit.

We recognise the value of your co-operation and support and would like to take this opportunity to express our appreciation for the assistance and co-operation provided during our certification work.

**David Eagles, Partner**  
for and on behalf of **BDO LLP**  
29 June 2021

The contents of this report relate only to those matters which came to our attention during the conduct of our agreed procedures which are designed primarily for the purpose of expressing a conclusion or reporting the results of our work on the grants and returns subject to certification. This report has been prepared solely for the use of the Audit Committee and Those Charged with Governance and should not be shown to any other person without our express permission in writing. In preparing this report we do not accept or assume responsibility for any other purpose or to any other person. For more information on our respective responsibilities please see the appendices.

# OVERVIEW

## Executive summary

This table shows the details of the grant claim and return subject to certification by us for the financial year ended 31 March 2020.

Where our work identified issues which resulted in either an amendment and / or a qualification or reported exception, further information is provided on the following pages.

Claim or return	Value of return	Qualification / exceptions	Amended	Submission date	Impact of amendments
Housing benefit subsidy	£10,410,541	Yes	No	27 May 2021	No amendments were made to the claim form.  <i>NB: May be subject to further adjustments by DWP of £8,428 as a result of extrapolated errors.</i>



# FEES

## Executive summary

The fees for this work are shown below:

Claim or return	2018/19 Actual fee	2019/20 Planned fee	2019/20 Actual fee
Housing benefit subsidy	£20,350	£14,850	£14,850



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# HOUSING BENEFITS SUBSIDY

## Scheme requirements

Local authorities responsible for managing housing benefit are able to claim subsidies towards the cost of these benefits from central government. The final value of subsidy to be claimed by the Council for the financial year is submitted to central government on form MPF720A, which is subject to certification.

Our work on this claim includes verifying that the Council is using the correct version of its benefits software and that this software has been updated with the correct parameters. We also agree the entries in the claim to underlying records and test a sample of cases from each benefit type to confirm that benefit has been awarded in accordance with the relevant legislation and is shown in the correct cell on form MPF720A.

The draft subsidy return provided for audit recorded amounts claimed as subsidy of £10,410,541.

The final return was not amended.

## Findings

Our audit of 40 individual claimant files highlighted errors the Council made in administering benefit and calculating subsidy entitlement.

The guidance requires that auditors undertake extended testing of 40 additional cases with similar characteristics ('40+ testing') if initial testing identified errors in the benefit entitlement calculation or in the classification of expenditure. Such testing is also undertaken as part of our follow-up of prior year issues reported ('CAKE' testing). The results of this testing are extrapolated across the population to estimate a potential error amount. Where the error can be isolated to a small population, the whole population can be tested and the claim form amended if appropriate. Where there is no impact on the subsidy claim, for example where the error always results in an underpayment of benefit, we are required to report this as an observation in our qualification letter.

Initial testing identified one new area of testing (HRA rent liability).

Initial testing identified one further error where additional testing was already performed as part of CAKE (Rent Allowance rent liability).

Initial testing identified one error of a type that would always result in an underpayment of benefit, and therefore no further testing was required

8 other areas were tested as a result of being reported as prior year issues (Rent Allowance rent liability, Rent Allowance earned income, Non-HRA Rent liability and Non-HRA LHA rate, Non-HRA earned income, HRA earned income, Non-HRA child tax credits, HRA tax credits).

A summary of our findings can be found on the following pages.

The final claim did not require any amendments.

However, the potential impact resulting from the extrapolated errors, if DWP was minded to finalise the subsidy based on these findings, would impact the claim form by £8,428 (Rent Allowance earned income: £349 projected understatement of local authority overpayments, Rent Allowance rent liability: £8,079 projected understatement of local authority overpayments).

Our work was completed and the claim was certified on 27 May 2021. This was before the 31 May 2021 extension obtained by the Council.

# HOUSING BENEFITS SUBSIDY

## Rent Allowances: Incorrect Cell 102 Rent Liability

Reporting matter	
Adjusted	
Unadjusted error	

### Errors

In 2018/19, testing identified errors in the rental liability used in the assessment of claims, resulting in overpayments of benefit.

Initial sample testing of Rent Allowance claims, also found one error of this nature, where incorrect input of the rent liability resulted in Cell 102 being overstated by £62.75.

### Additional testing

Due to the errors reported in the previous year, and the error found in the initial testing, the council were required to undertake 40+ testing on Rent Allowance cases in Cell 102.

This additional testing identified one case where the rent liability had not been updated following a rent review, resulting in an overpayment of £775.32.

### Impact

Based on our extrapolation of the overpayment error identified, we estimated the Council incorrectly recognised £8,079 (0.29% error rate on population of £2,785,897) in cells attracting full subsidy that should have been recognised in nil subsidy cells.

If DWP decide to adjust for the extrapolated error reported subsidy would be reduced by £8,079. However, DWP does provide an allowance within the subsidy system to recover local authority errors.

# HOUSING BENEFITS SUBSIDY

## Rent Allowances: Earned Income

Reporting matter

Adjusted

Unadjusted error

### Errors

In 2018/19 it was identified that the Council had incorrectly assessed earned income elements, resulting in an underpayment of benefit.

No errors of this nature were identified in the initial testing of Rent Allowance cases.

### Additional testing

Due to the errors reported in the previous year, the council were required to undertake additional 40+ testing on Rent Allowance earned income calculations.

One error was identified that resulted in benefit being underpaid by £11.68.

Two errors were identified that resulted in benefit being overpaid. Cell 099 is overstated by £33.55 and Cell 103 is overstated by £1.03. Cell 114 is understated by £1.03 due to an eligible overpayment being incurred in the same period.

### Impact

As there is no eligibility to subsidy for benefit which has not been paid, the underpayment identified does not affect subsidy and has not, therefore, been classified as an error for subsidy extrapolation purposes.

Based on our extrapolation of the overpayment error identified, we estimated the Council incorrectly recognised £349 (0.02% error rate on population of £1,746,682) in cells attracting full subsidy that should have been recognised in nil subsidy cells.

# HOUSING BENEFITS SUBSIDY

## Non-HRA Rent Rebates: Rent Liability

Reporting matter

Adjusted

Unadjusted error

### Errors

In 2018/19 it was identified that the Council had applied the incorrect rental liability, resulting in overpayments of benefit.

No errors of this nature were identified in the initial testing of non-HRA rent rebate cases.

### Additional testing

The Local Authority were required to test an additional sample of 40 cases from Cell 011 to ensure the rent liability was correct.

This additional testing identified two cases where the rent liability has been input incorrectly and this has led to a total underpayment of £165.82.

### Impact

As there is no eligibility to subsidy for benefit which has not been paid, the underpayments identified do not affect subsidy and have not, therefore, been classified as an error for subsidy purposes.

However, as errors of this nature could result in overpaid benefit, Cell 011 Rent Liability will require testing as part of CAKE in the 2020/21 year.



# HOUSING BENEFITS SUBSIDY

## HRA Rent Rebates: Rent Liability

Reporting matter

Adjusted

Unadjusted error

### Errors

Testing of our initial sample of HRA rent rebate cases identified one case where the incorrect eligible rent figure was used in the calculation. This resulted in benefit being underpaid by £0.82.

### Additional testing

As errors of this nature could result in overpayments, the Local Authority was required to undertake additional testing on 40 cases in Cell 055 to ensure the rent liability figure was correct.

This additional testing identified no errors.

### Impact

As there is no eligibility to subsidy for benefit which has not been paid, the underpayments identified do not affect subsidy and have not, therefore, been classified as an error for subsidy purposes.

However, as errors of this nature could result in overpaid benefit, Cell 055 Rent Liability will require testing as part of CAKE in the 2020/21 year.

# HOUSING BENEFITS SUBSIDY

## HRA Rent Rebates: Earned Income

Reporting matter

Adjusted

Unadjusted error

### Errors

In 2018/19 it was identified that the Council had incorrectly assessed earned income elements, resulting in underpayments of benefit.

No errors of this nature were identified in the initial testing of HRA rent rebate cases.

### Additional testing

Due to the errors reported in the previous year, the council were required to undertake additional 40+ testing on HRA earned income calculations.

This additional testing identified one case where the earned income had been calculated incorrectly and this has led to a total understatement of £0.22 in the overpayment Cell 067 and in the headline cell 055.

### Impact

As there is no eligibility to subsidy for benefit which has not been paid, the underpayments that have been identified do not affect subsidy.

However, as there continues to be errors in the assessment of earned income, 40+ testing will be required in 2020/21.

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## HOUSING BENEFITS SUBSIDY



The following CAKE tests have returned no errors and are considered as closed:

- Non HRA Rent Rebates - Incorrect Child Tax Credits
- Non HRA Rent Rebates - Earned Income Error
- Non HRA Rent Rebates - Incorrect LHA rate used in calculation
- HRA Rent Rebates - Incorrect Child and Working Tax Credits.

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# RECOMMENDATIONS AND ACTION PLAN

Area / observation	Recommendation	Management response
<b>Housing benefits subsidy</b>		
<p>As a result of the additional testing on Cell 94 Earned Income, we discovered that in one claim, child benefit had not been treated correctly leading to an overstatement in Cell 103 of £76.12.</p> <p>As this error was unrelated to the earnings attribute being tested, it was not treated as an error and no further work was performed.</p>	<p>Although no testing is required on this issue, we recommend that the Council look at the nature of the error, and take appropriate steps to avoid further errors being identified in the treatment of child benefit amounts in the benefit assessment.</p>	



FOR MORE INFORMATION:

**DAVID EAGLES**

t: 07967 203431

e: david.eagles@bdo.co.uk

The matters raised in our report prepared in connection with the review of grants claims and returns are those we believe should be brought to your attention. They do not purport to be a complete record of all matters arising. This report is prepared solely for the use of the organisation and may not be quoted nor copied without our prior written consent. No responsibility to any third party is accepted.

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<b>Committee:</b> Audit and Scrutiny	<b>Date:</b> 28 September 2021
<b>Subject:</b> Internal Audit Progress Report 2021/22	<b>Wards Affected:</b> All
<b>Report of:</b> Jacqueline Van Mellaerts, Corporate Director (Finance & Resources) and Section 151 Officer	<b>Public</b>
<b>Report Author/s:</b> Jacqueline Van Mellaerts, Corporate Director (Finance and Resources) and Section 151 Officer Telephone: 01277 312500 E-mail: Jacqueline.vanmellaerts@brentwood.gov.uk	<b>For Information</b>

## Summary

This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2021/22 internal audit plan.

The following reports have been finalised since the last Committee:

- Covid-19 grants expenditure (Substantial/Moderate)
- Local development plan (Substantial/Substantial)
- IT Data Breaches (Substantial/Moderate)

## Main Report

### **Introduction and Background**

1. This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2021/22 internal audit plan. It summarises the work internal audit have done, together with their assessment of the systems reviewed and the recommendations they have raised.
2. Their work complies with Public Sector Internal Audit Standards. As part of their audit approach, they 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 them to give assurance on the risk management and internal control processes in place to mitigate the risks identified.
3. The Audit Committee approved the 2021/22 annual audit plan in March 2021. The progress against plan is reported at every Audit and Scrutiny Committee during 2021/22.

### **Issue, Options and Analysis of Options**

4. The following reports have been finalised since the last Committee:

- Covid-19 grants expenditure (Substantial/Moderate)
- Local development plan (Substantial/Substantial)
- IT Data Breaches (Substantial/Moderate)

The conclusion of each audit is as follows:

Covid-19 grants expenditure (Substantial/Moderate)

5. Overall, we provide substantial assurance on design and moderate assurance on the effectiveness of the key controls.

Our substantive reperformance testing on a sample of Restart grant claims did not identify any inappropriate awards. However, improvements are required with the evidencing of key controls, particularly in relation to clearly documenting the due diligence performed, any queries and resolutions to queries arising from due diligence checks, and who performed the due diligence, final check and approval for payment.

We have raised two medium priority recommendations to improve the audit trail.

Local Development Plan (Substantial/Substantial)

6. Overall, we provide substantial assurance on both the design and operational effectiveness of the key controls.

There is robust oversight and monitoring of the LDP development by the Project Board and through the meetings of the LDP Member Working Group. A number of policies have been included in the LDP to address strategic priorities which are compatible with the Council's Corporate Plan.

Overall, we provide substantial assurance on both the design and operational effectiveness of the key controls.

We have raised two low priority recommendations

IT Data Breaches (Substantial/Moderate)

7. We conclude there is a substantial assurance over the design and moderate assurance for the operational effectiveness of the controls in place at the Council in relation to IT/Data Breach management.

Our review identified a robust framework in place for management of Information Governance incidents and breaches by the Council. However we found several weaknesses relating to the management of Cyber/IT incidents and breaches under the HyTec contract such as the absence of formal KPIs and targeted service level performance metrics and informal monitoring of the contract which could lead to inadequate performance not being identified.



Improvements could also be made to training, monitoring and keeping policies updated.

We have raised four medium priority findings.

10. A Summary of outstanding Recommendations from previous audits are included in Appendix B – Follow up report.
11. 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 30 October 2021.

### **Consultation**

Not applicable.

### **Reasons for Recommendation**

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

### **References to Corporate Strategy**

To ensure the Council is effective and efficient by delivering services that are value for money and meet the needs of our residents.

### **Implications**

#### **Financial Implications**

**Name/Title: Jacqueline Van Mellaerts, Corporate Director (Finance & Resources) and Section 151 Officer.**

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

There are no direct financial implications arising from this report.

#### **Legal Implications**

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

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

There are no legal implications arising from this report.

#### **Economic Implications**

**Name/Title: Phil Drane, Corporate Director (Planning & Economy)**

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

There are no direct economic implications arising from this report.

### **Background Papers**

None

**Appendices to this report**

Appendix A: Internal Audit Progress Report  
Appendix B: Internal Audit Follow Up Report

# INTERNAL AUDIT PROGRESS REPORT

BRENTWOOD BOROUGH COUNCIL

September 2021

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# SUMMARY OF 2021/22 WORK

## Internal Audit

This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2021/22 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.

For audits with a substantial or moderate assurance opinions, the executive summaries from the final report are included in the Internal Audit Progress Report. For audits with a limited or no assurance opinion, the full report will be included with the papers.

## 2020/21 Internal Audit Plan

The following reports have been finalised since our last progress report to the Audit and Scrutiny Committee, and the executive summaries are included in this report:







- Covid-19 Grants Expenditure
- Local Development Plan
- IT Data Breaches.

## Changes to the Plan

We agreed changes to the timings of the audit below, at the request of officers:

- Covid-19 Grants Expenditure - moved from Q1 to Q2 - completed in Q2.

# REVIEW OF 2021/22 WORK

Audit	Exec Lead	Start Date	Planning	Fieldwork	Reporting	Design	Effectiveness	
<b>Affordable Housing</b> (carried forward from 2020/21)	Tracey Lilley	Q3						
<b>Risk Management</b>	Jacqui Van Mellaerts	Q4						
<b>Main Financial Systems</b>	Jacqui Van Mellaerts	Q4						
<b>Covid-19 Grants Expenditure</b>	Jacqui Van Mellaerts	Q1	✓	✓	✓ Final			
<b>Financial Planning and Monitoring</b>	Jacqui Van Mellaerts	Q4						
<b>Capital projects</b>	Jacqui Van Mellaerts	Q3						
<b>Partnerships</b>	Greg Campbell	Q3						
<b>Local Development Plan</b>	Phil Drane	Q2	✓	✓	✓ Final			
<b>IT Data Breaches</b>	Sarah Bennett	Q2	✓	✓	✓ Final			
<b>Building Control</b>	Phil Drane	Q2	✓					
<b>Planning</b>	Phil Drane	Q2	✓					
<b>Housing - Homelessness</b>	Tracey Lilley	Q3						
<b>Democratic Services</b>	Amanda Julian	Q3						
<b>Follow Up</b>	Jacqui Van Mellaerts	Ongoing	-----Separate follow up report-----					

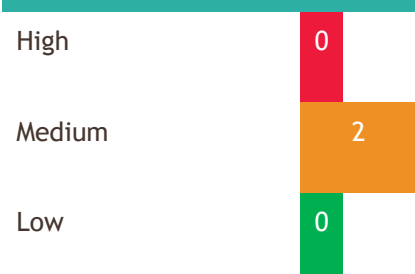
# EXECUTIVE SUMMARY – COVID-19 GRANTS EXPENDITURE

## EXECUTIVE SUMMARY

### LEVEL OF ASSURANCE:

Design	Substantial	There is a sound system of internal control designed to achieve system objectives.
Effectiveness	Moderate	Evidence of non-compliance with some controls that may put some of the system objectives at risk.

### SUMMARY OF RECOMMENDATIONS:



TOTAL NUMBER OF RECOMMENDATIONS: 2

### BACKGROUND:

The Chancellor of the Exchequer announced ‘Restart’ business support grants in his Budget on 3 March 2021. Applications closed on 30 June 2021. One-off Restart grants were made available to eligible businesses occupying properties on 1 April 2021 which have a rateable value. The Restart grant is intended to support businesses to re-open safely as coronavirus restrictions are eased.

Non-essential retail businesses may be eligible for the following amounts, if they are occupying a property with a rateable value:

Business Rateable Value	One-off Grant Amount
Up to £15,000	£2,667
From £15,001 to £50,099	£4,000
From £51,000 and above	£6,000

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Hospitality, accommodation, leisure, personal care and gym businesses may be eligible for the following amounts, if they are occupying a property with a rateable value:

Business Rateable Value	One-off Grant Amount
Up to £15,000	£8,000
From £15,001 to £50,099	£12,000
From £51,000 and above	£18,000

Businesses need to complete an application form to claim their Restart grant. All applicants are required to provide satisfactory evidence and satisfy state aid rules. Applicants must also include a list of all Covid grants previously received. Any grant award received by businesses is subject to HMRC tax conditions.

All applications received are processed by Basildon Council (the provider of the Revenues and Benefits shared service), who perform due diligence checks to confirm eligibility. The onus of paying applicants sits with Brentwood Borough Council, after the application and due diligence has been completed by Basildon Council.

Our audit in 2021/22 has involved testing a sample of grant applications to confirm whether appropriate eligibility due diligence was carried out on applications received for Restart grants, re-performing some of the due diligence checks ourselves, and checking if the grant funding was appropriately awarded based on the rateable value of the business.

#### GOOD PRACTICE:

We identified the following good practice areas from our fieldwork:

- Grant application forms: All applicants are required to complete the 'Restart Grant Application,' which sets out eligibility requirements and funding available, and to provide a bank statement. Our testing of a sample of 20 Restart grant payments confirmed that in all cases, there was a completed application form and supporting bank statements (either attached to the form or previously provided to the Council), and the bank details (account number and sort code) from the attached documentation matched the bank details stated in the application form.
- Checks against Civica (NNDR system): Our sample testing of 20 Restart grants awarded to businesses confirmed that the applicant and business details are held in the Civica system and that the applicant details either matched to the system details or valid reasons were provided for variances.
- Companies House and Experian checks: We performed our own checks against Companies House and Experian for the sample of 20 Restart grants tested. In 13/20 instances, we confirmed that the business name, director and owner reflected in the application and NNDR system. In 3/7 cases, we confirmed in Experian that the applicant was a non-registered business. In the remaining 4/7 cases, management provided satisfactory explanations for why the applicant could not be found in the Companies House or Experian search.
- Payment of grants according to Rateable Value (RV): Our sample testing of 20 Restart grants paid to businesses between April to July 2021, which consisted of 10 hospitality related businesses and 10 non-essential businesses, confirmed that the grant amount awarded was in line with the rateable value and type of business.



## KEY FINDINGS:

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

- Due diligence checks: Whilst we were advised that due diligence checks were performed before the grants were awarded, and our sample reperformance checks did not identify any inappropriate claimants, there is no documented record of the due diligence checks that were carried out by officers, what specifically was checked (such as business name, address and directors) and any queries arising - **Finding 1 - Medium**
- Approval of grant claims: From our sample testing of Restart grants awarded and review of notes held in Civica, we found that in all instances there was no indication of (i) who completed the initial due diligence (ii) who completed the final check and (iii) who approved the application for payment - **Finding 2 - Medium**

## DATA ANALYTICS:

Overall, Restart grants were awarded to 432 businesses and totalled £3.666 million.

This comprised:

- 71% (307) to businesses in the Hospitality, Accommodation and Leisure sectors (£3.206 million)
- 29% (125) to non-essential businesses (£427,000).

## CONCLUSION:

Overall, we provide substantial assurance on design and moderate assurance on the effectiveness of the key controls.

Our substantive reperformance testing on a sample of Restart grant claims did not identify any inappropriate awards. However, improvements are required with the evidencing of key controls, particularly in relation to clearly documenting the due diligence performed, any queries and resolutions to queries arising from due diligence checks, and who performed the due diligence, final check and approval for payment. We have raised two medium priority recommendations to improve the audit trail.

## MANAGEMENT ACTION PLAN:

Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
<b>1. Record of due diligence checks</b> Where Covid-19 grant applications are received, confirmation of what due diligence has been carried out should be explicitly stated within the notes section of Civica. This should clearly state whether (i) business name matches application and system (ii) business or personal address matches and (iii) whether the director name matches the applicant name where applicable. Where there are any	Medium	A further element of the process map has now been added to include a word document checklist. This document outlines all the relevant due diligent checks that are to be carried out. The relevant officer will complete the document to confirm the checks	Craig Stack, Business rates manager  (Immediately)

Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
differences, this should also be clearly stated within the notes, including any further action taken to address the differences.		have been undertaken and refence the document onto the account accordingly.	
<p><b>2. Record of approvals</b></p> <p>Once details of the due diligence performed have been documented in the Civica notes, including the officer completing the due diligence (see recommendation 1), the initials of the officer completing the final check and approval for payment should also be included with the notes, in addition to any queries and resolutions that have arisen as a result of the final checks.</p>	Medium	<p>Independent checks are carried out by a second senior officer, as per the procedure map. The agreement note to confirm checks have been carried out and the grant is okay to pay are made on the payment spreadsheet.</p> <p>Additional process has been added to include that a note be made on the Civica system along with the spreadsheet on the relevant account to state that the final check has been made.</p>	<p>Craig Stack, Business rates manager (Immediately)</p>

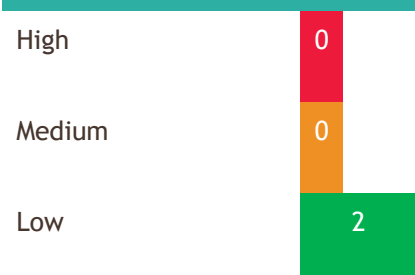
# EXECUTIVE SUMMARY – LOCAL DEVELOPMENT PLAN

## EXECUTIVE SUMMARY

### LEVEL OF ASSURANCE:

Design	Substantial	There is a sound system of internal control designed to achieve system objectives.
Effectiveness	Substantial	The controls that are in place are being consistently applied.

### SUMMARY OF RECOMMENDATIONS:



TOTAL NUMBER OF RECOMMENDATIONS: 2

### BACKGROUND:

The Local Development Plan (LDP) is the Council's strategy for future growth within the borough over 17 years. It sets out a spatial vision, strategic planning policies, development management policies, policies map and site specific land use allocations. The responsibility for compiling the plan is with the Director of Strategic Planning and the Leader of the Council is held responsible by the Secretary of State for Communities and Local Government (CLG). Before submission of the plan to the Secretary of State and the final adoption of it, there is a requirement that the Ordinary Council approve it.

The LDP was first published in 2009 and a preferred options consultation was undertaken in 2013. The Draft Local Plan Consultation was completed in 2016.

In 2017, the Secretary of State issued a letter to the Council outlining concerns that the Council had yet to adopt the 2004 Act Local Plan. Local planning authorities are required to publish a Local Development Scheme setting out when an authority expects to reach key milestones in the plan making process, and the timetable for producing documents to maintain an up to date plan. In the years since the 2004 Act was introduced, the Council had failed to meet such deadlines set out in the timetable.

The Government's 2017 Housing White paper outlined what would be prioritised leading to intervention. In response to the Secretary of State's request that the Council explain its position and what action it would take to avoid intervention, the Council submitted a clear timetable in January 2018 for the key actions to be completed. In March 2018, the Secretary of State wrote again outlining that some progress had been made but still no up to date plan was in place and the

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situation would continue to be monitored and if the timetable failed to be met then the full range of powers given by the Parliament would be used.

The Council held an extraordinary Council meeting in November 2018 and approved the Pre-submission LDP (Regulation 19) and the Revised LDP, including a new timetable.

The LDP was submitted to the Secretary of State in February 2020 for independent examination. In June 2020, the Council received a letter with initial questions on the Plan from the Inspectors who were appointed by the Secretary of State to conduct the examination of the LDP. The Inspectors' role was to assess whether the Plan has been prepared in accordance with legal and procedural requirements and assess whether it is sound.

The Council had then agreed to produce a timetable for providing its response to the Inspectors by the end of August 2020. This was completed in October 2020 and the Council then received documents from the Inspectors relating to the Examination Hearing Sessions. These sessions were scheduled in six phases, from December 2020 to July 2021. The purpose of the hearings was to focus on the main issues for discussion, to enable the Inspectors to obtain the information they needed to make necessary conclusions on the Plan.

Following the completion of hearing sessions in July 2021, the process of finalising the Main Modifications is now underway. Public consultation is expected to commence in September 2021. Once responses have been assessed by the Inspectors, they will then issue their report to confirm if the Plan is sound and capable of adoption. The current estimate is that the Council will be able to adopt the Plan by the end of January 2022.

As at the end of August 2021, the Council was preparing to re-send the draft schedule of potential Main Modifications to the Inspectors for approval. The Council is aiming to finalise the sustainability appraisal by 17 September 2021 and start the six-week consultation period by 23 September 2021. In January 2022, the Council expects to hold an extraordinary Council meeting for approval of the updated LDP and adopt the plan.

Our audit included comparing the LDP to the Council's Corporate Plan; reviewing the oversight arrangements in place for the Project board and the LDP Member Working Group; reviewing liaison with Highways England; and making enquiries about the Council's readiness to adopt the LDP by the revised deadline.

#### GOOD PRACTICE:

We identified the following good practice areas from our fieldwork:

- The proposals included within the LDP are compatible with the Council's Corporate Strategy 2020-25. There are a number of policies included within the LDP to reflect how the Council's strategic priorities will be addressed. These policies are included in sufficient detail explaining what the Council's priorities are and how they will be achieved.
- The Project Board is provided with regular updates on the LDP through Project Highlight Reports. These reports include the purpose of the report, achievements since the last report, and financial and resource related variances (if any). The reports are sufficiently detailed and are provided every month. This indicates that there is adequate oversight from the Project Board for the development of the LDP.
- There is a Local Development Plan Member Working Group (LDP MWG) in place and the Terms of Reference 2021/22 include the roles and responsibilities of the working group, membership structure, frequency of the meetings and quorum requirements.
- We reviewed the minutes of the five LDP MWG meetings held between September 2020 and July 2021 and noted that meetings were held every two months, per the requirements of the LDP MWG Terms of Reference, except in May 2021 due to the election schedule. We noted that all the meetings were quorate and actions recorded were sufficiently detailed.

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- We obtained minutes from the weekly meetings held in June and July 2021 with Highways England. These meetings were held to discuss the outstanding tasks around A12 Junction 12, M25 Junction 28 and M25 Junction 29, as identified in the Statement of Common Grounds. We noted that the meeting minutes were sufficiently detailed, with actions recorded, and that these actions were discussed and resolved in the subsequent meetings.
  - A schedule of potential Main Modifications was created and submitted to the Inspectors on 5 August 2021. The comments from the Inspectors have now been received and the Council is aiming to start the six-week consultation period by 23 September 2021. The Corporate Manager - Strategic Planning has advised that the Council is on track to meet the revised January 2022 adoption deadline.

#### KEY FINDINGS:

Our audit did not identify any significant exceptions.

#### CONCLUSION:

Overall, we provide substantial assurance on both the design and operational effectiveness of the key controls.

There is robust oversight and monitoring of the LDP development by the Project Board and through the meetings of the LDP Member Working Group. A number of policies have been included in the LDP to address strategic priorities which are compatible with the Council's Corporate Plan.

We have raised two low priority recommendations.

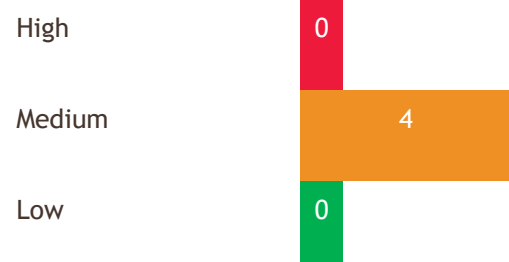
# EXECUTIVE SUMMARY – IT DATA BREACHES

## EXECUTIVE SUMMARY

### LEVEL OF ASSURANCE:

Design	Substantial	There is a sound system of internal control designed to achieve system objectives.
Effectiveness	Moderate	Evidence of non-compliance with some controls that may put some of the system objectives at risk.

### SUMMARY OF RECOMMENDATIONS:



TOTAL NUMBER OF RECOMMENDATIONS: 4

### BACKGROUND:

The Information Commissioner’s Office (ICO) defines a personal data breach as: A security incident that has affected the confidentiality, integrity or availability of personal data. In short, there will be a personal data breach whenever any personal data is lost, destroyed, corrupted or disclosed; if someone accesses the data or passes it on without proper authorisation; or if the data is made unavailable, for example, when it has been encrypted by ransomware, or accidentally lost or destroyed.

The UK General Data Protection Regulation (the GDPR) introduces a duty on all organisations to report certain types of personal data breach to the relevant supervisory authority. This must be done no later than 72 hours after the organisation becomes aware of the breach. Where the breach is likely to result in a high risk of adversely affecting individuals’ rights and freedoms, the organisation must also inform those individuals without undue delay. Regardless of whether the breaches are reported or not, organisations should be able to justify this decision and therefore, document it.

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Failing to notify the regulator (ICO) of a breach, when required to do so, can result in a significant fine up to 10 million euros, or 2 per cent of global turnover, with whatever sanction the ICO deems appropriate as a result of the breach i.e. the fine can be combined with the ICO's other corrective powers under Article 58. There is also the additional factor of a requirement to compensate individual data subjects for due harm suffered through the data breach. The impact of a breach therefore has potentially significant financial and reputational consequences.

The Council has engaged Evalian Limited, a third party service provider, as an additional resource to support the Data Protection Officer (DPO) in handling and managing data breaches.

Prior to June 2019, a full Data Protection service, including a Data Protection Officer (DPO), was provided to the Council by Thurrock Council at a cost of £39k per year. In July 2019, the Council made a decision to appoint an internal DPO, replacing the DPO services provided by Thurrock Council. The Council's remaining support contract with Thurrock was subsequently ceased.

The Council's data breaches management operations are split into two working categories ie Cyber/IT breaches and Information Governance (IG) breaches. The Council has contracted a third party provider, HyTec, for the management of the IT network, which filters traffic from all external connections, including to the internet. HyTec manages the Council's IT network firewalls, LAN and security operations centre including all Cyber/IT breaches management.

The purpose of the audit was to appraise the design and effectiveness of the Council's arrangements for handling of data security breaches.

#### GOOD PRACTICE:

We identified the following good practice areas from our fieldwork:

- The Council's Information Governance (IG) team is headed by the DPO, who is supported by two other members of staff. All three members of the IG team have attended the Cyber Incident Planning & Response (CIPR) training. The Council has also been using Evalian, a third party data protection service provider, as an additional resource to provide specialist support in handling and managing IG data breaches.
- There are defined protocols in place by which all suspected information governance breaches are reported promptly to the DPO as the primary point of contact via phone or email.
- The Council has identified the need to have a more permanent solution for Data Protection services and the statutory DPO duty. Therefore, the Council's Senior Leadership Team (SLT) approved on 11 August 2021, to outsource the complete DPO services to Evalian on a one-year contract, which includes a more comprehensive service including gap analysis work and access to a training portal.
- An Information Governance Group (IGG) has recently been established which will report to the SLT. The terms of reference have been approved in June 2021 and IGG held their first meeting in August 2021. The members of this Group includes the Senior Information Risk officer (SIRO), Deputy Monitoring officer, Human Resources, ICT Manager and DPO.
- The Council's IG department maintains an IG Breach register which highlights the type of breach, details of the incident, date of occurrence, risk assessment, mitigations and reporting. An incident report is completed for each identified and reported IG incident/breach. Our review of five incident reports highlighted that these include all the details of the breach/incident, risk assessment, recommendation/mitigations and formal signoff.
- A Council-wide "Guidance for identifying and managing risks" is in place to help staff members engaged in planning and risk management activities, to understand the difference between controls and treatments, how to evaluate controls and how to treat risks.

- A risk assessment is conducted for each IG incident identified or reported based on the likelihood and impact. A risk score is allocated to each incident based on the formal risk maturity and assessment matrix, to identify the mitigating actions. Our review of five IG incidents confirmed that the risk assessments were completed as part of the incident review, the root cause identified and appropriate mitigations had been identified and implemented.

#### KEY FINDINGS:

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

- The Council’s Data Protection and Data Breach policies have not been reviewed since their inception in March 2018. Furthermore, the policies still make references to EU GDPR which has been replaced by UK GDPR since Brexit - **Finding 1- Medium**
- Reporting lines for the management of breaches and incidents are not clear. The reporting ends with the DPO and there is no further reporting of the incidents or breaches to senior management or the SIRO who has the overall responsibility of all information risk across the Council - **Finding 2- Medium**
- No formal performance reports have been presented to the Council by HyTec and the meetings between the DPO and HyTec are not formally documented. Instead, a rolling actions tracker is maintained which only documents the key decisions made for relevant actions during the meetings - **Finding 3- Medium**
- Council staff are not provided with annual refresher training on information governance and cyber security. Furthermore, the Council’s IG department have not conducted a training needs analysis (TNA) in the last 12 months - **Finding 4- Medium**

#### CONCLUSION:

Our review identified a robust framework in place for management of Information Governance incidents and breaches by the Council. However we found several weaknesses relating to the management of Cyber/IT incidents and breaches under the HyTec contract such as the absence of formal KPIs and targeted service level performance metrics and informal monitoring of the contract which could lead to inadequate performance not being identified. Improvements could also be made to training, monitoring and keeping policies updated.

We have raised four medium priority findings. We conclude there is a substantial assurance over the design and moderate assurance for the operational effectiveness of the controls in place at the Council in relation to IT/Data Breach management.

#### MANAGEMENT ACTION PLAN:

Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
<p><b>1. Policy and procedures</b></p> <p>1.1. Management should review and update the Council’s Data Protection policy and Data Breach policy to ensure that it remains in compliance with the UK GDPR requirements and they are relevant to the Council’s needs</p>	Medium	Brentwood Council has gone into partnership with Evalian to support the Councils statutory requirements for Data Protection. As part of this a full gap analysis will be conducted for Data Protection including but not limited	Tim Huggins, IT & Service Improvement Manager  (31 January 2022)



Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
<p>and in line with the Council's strategic objectives.</p> <p>1.2. The Data Breach policy should include detailed procedures for reporting a data breach. This should include but not be limited to:</p> <ul style="list-style-type: none"> <li>• Defining roles and responsibilities</li> <li>• Description of type of personal data breach</li> <li>• Steps taken in case of a breach</li> <li>• Risk assessments and escalations</li> <li>• Containment and recovery</li> <li>• Contact details of the DPO, or other point of contact</li> <li>• Measures taken to evaluate and mitigate any possible breaches</li> <li>• Breach notifications to the ICO</li> <li>• Training and awareness</li> <li>• Monitoring and reporting compliance</li> </ul> <p>1.3. The revised policies should be approved and communicated to members of staff and arrangements should be put in place for reviewing the policies on an annual basis.</p>		<p>to Policies, Processes for Data Protection and Data Breaches. Following this a formal remediation action plan will be developed and actions implemented. This work will support the newly formed Information Governance (IG) Group in their role around information Governance, and the contract will be monitored by the Corporate Manager - IT &amp; Service Improvement.</p> <p>1.1. Reviewing of Information Governance policies is part of the role for the IG group and therefore this action will be co-ordinated by the group working with appropriate officers and partners.</p> <p>1.2. In addition to above - the group will review the recommendations as part of its action plan. Once the suggestions have been reviewed the agreed ones will be included.</p> <p>1.3. Agreed this is normal practice and will be published in document library and formal communication will be shared with all staff, and also including other IG activities such as training and awareness.</p>	

Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
		Regular reviewing of IG policies is part of the roles and responsibilities of the newly formed IG group and will be undertaken.	
<p><b>2. Monitoring and reporting</b></p> <p>2.1 The IGG should ensure that the governance of data breaches and incidents including both IG and IT/Cyber, are discussed as a standing agenda item during their meetings.</p> <p>2.2 The SLT should review the formal minutes from IGG's bi-monthly meetings, during their quarterly meetings to review the Council's information handling activities and to gain assurance on management and accountability arrangements for Information Governance and compliance with law.</p>	Medium	<p>2.1 A standing Item will be added to the IG groups agenda for data breaches and incidents, and Cyber incidents. The appropriate officers will be informed to supply regular timely updates for IGG meetings.</p> <p>2.2 A formal Terms of Reference (ToR) has already been developed and approved by the Senior Leadership Team (SLT). The action for the IG group to regularly update SLT is stated within the ToR.</p>	<p>Tim Huggins, IT &amp; Service Improvement Manager  (31 October 2021)</p>
<p><b>3. HyTec contract management and monitoring</b></p> <p>3.1 The Council should liaise with HyTec to discuss and develop target service levels, appropriate KPIs and monthly performance reports for the purpose of reporting and performance monitoring. These should be formally agreed and approved by the IGG.</p> <p>3.2 The Council should ensure that the monthly meetings with HyTec are formally documented. A set meeting agenda along with the monthly performance reports</p>	Medium	<p>3.1 Initial KPI's have been discussed and agreed in principle by email and will be raised at the next account meeting (Sept 2021) to review with the action to formalise and agree at the following meeting.</p> <p>3.2 This is already being done and evidence has been shared with auditors with the exception of</p>	<p>Tim Huggins, IT &amp; Service Improvement Manager  (1 November 2021)</p>

Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
<p>should be presented by HyTec to the Council prior to the meeting to ensure all the elements of service provision agreed are discussed and reviewed during the meeting.</p>		<p>performance manage reports at each meeting. Current statistics are shared separately.</p> <p>Following on from completion of item 3.1 the KPI's will be added.</p>	
<p><b>4. Training and awareness</b></p> <p>4.1 The Council should develop an IG training programme, which includes basic IG training for everyone, including new starters, annual refresher training and additional training for key staff groups or roles. Furthermore, training completion should be monitored and there should be a record of all the training that has been provided and completed.</p> <p>4.2 A comprehensive training needs analysis should be completed and approved by IGG. The training needs analysis should then be annually reviewed and updated against the continuously evolving industry regulations and best practices to ascertain if staff have been appropriately trained.</p>	<p>Medium</p>	<p>4.1 The Council already has embedded processes for new starters to carry out information governance training before they start. The elearning platform course was developed with another local authority and requires the passing of a short test. If this is not passed access to systems are stopped. Due to the enormous impact of the pandemic within the last year the provision of annual “refresher” training wasn’t enforced. We will work with Evalian to carry out regular training, building on current processes. This will also be supplemented by “cyber awareness training” using a variety of cyber scenarios.</p> <p>4.2 Brentwood has gone into partnership with Evalian to support the statutory requirements for Data Protection. Part of this is regular training. Evalian will provide a</p>	<p>Tim Huggins, IT &amp; Service Improvement Manager (31 December 2021)</p>


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Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
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training portal to allow Brentwood to train, monitor and analyse and the IG Group will work with Evailian to continue to update the training in line with industry regulations.

# KEY PERFORMANCE INDICATORS 2021/22

Quality Assurance as per the Internal Audit Charter	KPI Results	RAG Rating
1. Annual Audit Plan delivered in line with timetable.	One audits has been 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.	Survey responses received to date have been very positive.	
4. Annual survey to Audit Committee to achieve score of at least 70%.	2021/22 survey in progress.	
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 3 out of 3 audits (see table below).	
7. Finalise internal audit report 1 week after management responses to report are received.	This KPI has been met for 3 out of 3 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 3 out of 13 audits (see table below). The KPI regarding draft report has been met for 3 out of 3 audits (see table below).	
10. Audit sponsor to implement audit recommendations within the agreed timeframe.	Of the 6 recommendations raised in 2020/21, none are 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 (2021/22 AUDITS)**





Audit	Draft TOR issued	Management response to TOR received	Closing meeting	Draft report issued	Management response to draft report received	Final report issued
Affordable Housing (carried forward from 2020/21)						
Risk Management						
Main Financial Systems						
Covid-19 Grants Expenditure	28/07/21	02/08/21 (KPI 9 met)	02/09/21	10/09/21 (KPI 6 met)	15/09/21 (KPI 9 met)	20/09/21 (KPI 7 met)
Financial Planning and Monitoring						
Capital projects						
Partnerships						
Local Development Plan	13/08/21	18/08/21 (KPI 9 met)	31/08/21	10/09/21 (KPI 6 met)	13/09/21 (KPI 9 met)	20/09/21 (KPI 7 met)
IT Data Breaches	11/08/21	17/08/21 (KPI 9 met)	24/08/21	03/09/21 (KPI 6 met)	15/09/21 (KPI 9 met)	20/09/21 (KPI 7 met)
Building Control						
Planning						
Housing - Homelessness						
Democratic Services						

**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
<b>Substantial</b> 	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.
<b>Moderate</b> 	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.
<b>Limited</b> 	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.
<b>No</b> 	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.

**FOR MORE INFORMATION:**

**GREG RUBINS**

[greg.rubins@bdo.co.uk](mailto:greg.rubins@bdo.co.uk)

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**INTERNAL AUDIT FOLLOW UP OF  
RECOMMENDATIONS REPORT**

Brentwood Borough Council

September 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 August 2021. The position as at 20 September 2021 is summarised below:

	Total	Complete		In Progress		Overdue		Superseded		Not Due		% H & M Recs Completed / Superseded
	H & M	H	M	H	M	H	M	H	M	H	M	
	Recs											
<b>2021/22</b>												
IT Data Breaches	4	-	-	-	-	-	-	-	-	-	4	0%
Local Development Plan	-	-	-	-	-	-	-	-	-	-	-	n/a
C-19 Grants Expenditure	2	-	-	-	-	-	-	-	-	-	2	0%
<b>2020/21</b>												
Risk Management	2	-	-	-	-	-	-	-	-	-	2	0%
Main Financial Systems	5	-	1	-	3	-	-	-	-	-	1	20%
Licensing	6	-	-	-	-	-	-	-	-	2	4	0%
Procurement & Contract Management	4	-	-	-	-	-	-	-	-	-	4	0%
Cyber security	3	-	-	-	2	-	-	-	-	-	1	0%
Street cleaning, Fly Tipping & Enforcement	6	-	-	-	-	-	-	-	-	2	4	0%
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	13	1	5	-	6	-	1	-	-	-	-	46%
<b>2019/20</b>												
Risk Management	3	-	3	-	-	-	-	-	-	-	-	100%
Main Financial Systems	3	-	3	-	-	-	-	-	-	-	-	100%
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%
<b>2018/19</b>												
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%
<b>2017/18 and c/f from 2016/17</b>												
All audits	80	14	66	-	-	-	-	-	-	-	-	100%
	178	18	106	1	20	-	5	-	-	4	24	

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### **Total BDO Recommendations**

Of the total 178 recommendations (relating to 2017/18 to 2021/22), 150 were due to be implemented by 31 August 2021. We have confirmed with reference to evidence that 124 have been completed/closed. Five high priority recommendations are outstanding and four are not yet due.

### **2021/22 Recommendations**

Of the 6 recommendations raised in 2020/21, all are not yet due.

### **2020/21 Recommendations**

Of the 49 recommendations raised in 2020/21 (13 of which relate to a fraud risk assessment), 7 have been completed, 20 are in progress, 1 is overdue and 21 are not yet due.

### **2019/20 Recommendations**

Of the 17 recommendations raised in 2019/20, 15 have been completed, 1 is in progress and 1 is overdue.

### **2018/19 Recommendations**

Of the 26 recommendations raised in 2018/19, 22 have been completed, 3 are 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, all have been completed except for 1 that was closed as it will be covered by our 2021/22 audit.

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.

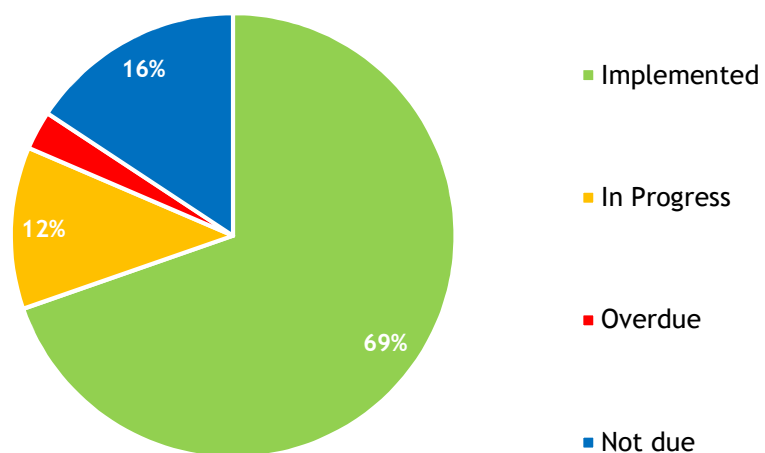
We are disappointed to report that we have not received responses from officers to 3 of the recommendations and we urge the Committee to emphasise to officers the importance of responding to audit requests and implementing recommendations when they become due.

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. No recommendations that have been closed since our last follow-up report to the Audit and Scrutiny Committee.

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### Status of 2017/18 to 2020/21 Recommendations



## Recommendations: Overdue

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
<b>2018/19 - PCI/DSS Compliance</b>				
<p><b>18/19 PCI/DSS rec 2:</b></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><del>September 2019</del></p> <p><del>June 2020</del></p> <p><del>September 2020</del></p> <p><del>December 2020</del></p> <p><del>March 2021</del></p> <p><del>August 2021</del></p> <p>October 2021</p>	<p><u>Previous management update:</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>This is still yet to be undertaken.</p> <p><u>Internal audit comment:</u></p> <p><i>Internal Audit satisfied from review of evidence provided that all elements complete except for annual self-assessment questionnaire.</i></p>
<p><b>18/19 PCI/DSS rec 5:</b></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> <ul style="list-style-type: none"> <li>• Assignment of roles and responsibilities for ensuring that the Council is PCI DSS complaint have been assigned</li> <li>• Procedures for staff that are responsible for taking card payments</li> <li>• The Council's security strategy in relation to the storage, processing and transmission of credit card data</li> <li>• A set of instructions for detecting, responding to and limiting the effects of an</li> </ul>	Medium	Tim Huggins (ICT Manager)	<p><del>September 2019</del></p> <p><del>June 2020</del></p> <p><del>September 2020</del></p> <p><del>October 2020</del></p> <p><del>December 2020</del></p> <p><del>March 2021</del></p> <p><del>August 2021</del></p> <p>October 2021</p>	<p><u>Previous management update:</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> <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>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</p>

## Recommendations: Overdue

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
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>as there are now limited staff dealing with card payments.</p> <p>This is still yet to be completed.</p> <p><i>Internal audit comment:</i></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>
<b>2018/19 - Workforce Strategy</b>				
<p><b>2018/19 Workforce Strategy rec 1:</b></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><del>February 2020</del></p> <p><del>December 2020</del></p> <p><del>March 2021</del></p> <p><del>August 2021</del></p> <p>October 2021</p>	<p><u>Management update:</u></p> <p>A review of the entire strategy will take place in 2021-22 alongside the Councils agreed new Corporate Values and behaviours.</p> <p><u>Internal audit comment:</u></p> <p><i>Remains open.</i></p>
<b>2019/20 - Housing Repairs and Maintenance</b>				
<p><b>19/20 Housing R&amp;M rec 1:</b></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</p>	Medium	Nicola Marsh (Housing Manager)	<p>a) <del>August 2020</del></p> <p><del>December 2020</del></p> <p><del>March 2021</del></p> <p><del>August 2021</del></p> <p>October 2021</p> <p>b) <del>July 2020</del></p> <p><del>December 2020</del></p> <p><del>March 2021</del></p>	<p><u>Previous management update:</u></p> <p>a) This action has been completed. Authorisation levels are documented.</p> <p>b) This action has been completed. The Voids Supervisor authorises the voids works and variations in line with their authorisation levels, with payments escalated as needed.</p> <p>c) This action has been completed. The variations are authorised by the appropriate person in</p>

## Recommendations: Overdue

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
email), that this is formally documented, and a record kept on file of who approved the variation.			<del>August 2021</del> <del>October 2021</del> c) <del>Sept 2020</del> <del>December 2020</del> <del>March 2021</del> <del>August 2021</del> <del>October 2021</del>	line with the authorisation levels. The contract has been amended.  <i>Internal audit comment:</i> Recommendation has been kept open as no evidence has been received to support the actions taken.
2020/21- Fraud Risk Assessment				
<b>20/21 FRA rec 3.1:</b> 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.	Medium	Tim Huggins (DPO Officer)	<del>December 2020</del> <del>March 2021</del> <del>August 2021</del> October 2021	<u>Previous management update:</u> A Privacy Notice has been put together which will be checked by DPO Officer.  The DPO officer is awaiting the privacy notice.  <i>Internal audit comment:</i> Remains open.

## Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
<b>2019/20 - Trade Waste</b>				
<p><b>19/20 Trade Waste rec 1:</b></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) <del>March 2020</del> March 2021 March 2022</p> <p>b) <del>October 2019</del> February 2020 Closed</p> <p>c) <del>October 2019</del> February 2020 Closed</p> <p>d) <del>Ongoing</del> <del>31 March 2021</del> March 2022</p>	<p><u>Previous management update:</u></p> <p>a) Staff issues and the impact of coronavirus have adversely affected progress.  We have now employed a Compliance &amp; Performance Manager who is proactively seeking solutions to the challenges facing the Business Waste services.  We have circulated information on the new recycling service to all our clients by email, which has generated</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>c) The Food Safety Team do refer to the waste services that the Council can offer.</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><u>Internal audit comment:</u></p> <p><i>Part b was previously closed following receipt of the leaflet.</i></p> <p><i>Part c was previously closed following confirmation received from the service.</i></p> <p><i>Parts (a) and (d) remain open.</i></p>



## Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
<b>2020/21 - Fraud Risk Assessment</b>				
<p><b>20/21 FRA rec 1.3:</b></p> <p>The Senior Procurement Officer to review best practice regarding independent and/or senior tender panel members and incorporate these into procurement and tendering documentation.</p>	Medium	Jane Mitchell (Senior Procurement Officer)	<p><del>March 2021</del></p> <p>August 2021</p> <p>October 2021</p>	<p><u>Previous management update:</u></p> <p>Best practice currently under review as part of developing new Procurement Strategy.</p> <p><u>Internal audit comment:</u></p> <p>Remains open.</p>
<p><b>20/21 FRA rec 1.6:</b></p> <p>The Finance Business Partners to ensure that they review actual contract spend against contract with the Contract Manager and report this to the contract management board or Head of Service on a periodic basis.</p>	Medium	Jane Mitchell (Senior Procurement Officer) & Phoebe Barnes (Corporate Finance Manager)	<p><del>March 2021</del></p> <p>August 2021</p> <p>October 2021</p>	<p><u>Previous management update:</u></p> <p>Diagnostic Survey sent to all contract managers to obtain their views of current practice. Includes questions on how well contracts are managed. Plan is to provide contract management training. This point can be covered in the training and then best practice developed.</p> <p><u>Internal audit comment:</u></p> <p>Remains open.</p>
<p><b>20/21 FRA rec 1.7:</b></p> <p>The Senior Procurement Officer to refer to The Government's guidance "Review into the risks of fraud and corruption in local government procurement" and incorporate this awareness into the Council's procurement processes.</p>	Medium	Jane Mitchell (Senior Procurement Officer) & Victoria Banerji (Corporate Fraud Manager)	<p><del>June 2021</del></p> <p>August 2021</p> <p>October 2021</p>	<p><u>Previous management update:</u></p> <p>Procurement processes to be re-written as part of rewriting Procurement Strategy and re-drafting Standing Orders.</p> <p><u>Internal audit comment:</u></p> <p>Remains open.</p>
<p><b>20/21 FRA rec 1.8:</b></p> <p>The Senior Procurement Officer to refer to the Procurement Fraud and Corruption Risk matrix in the Government's guidance "Review into the risks of fraud and corruption in local government procurement" and incorporate into the Council's procurement processes.</p>	Medium	Jane Mitchell (Senior Procurement Officer) & Victoria Banerji (Corporate Fraud Manager)	<p><del>June 2021</del></p> <p>August 2021</p> <p>October 2021</p>	<p><u>Previous management update:</u></p> <p>Procurement processes to be re-written as part of rewriting Procurement Strategy and re-drafting Standing Orders.</p> <p><u>Internal audit comment:</u></p> <p>Remains open.</p>

## Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
<p><b>20/21 FRA rec 2a.1:</b></p> <p>HR Manager to ensure that the Home Office's "Right to Work Checklist" is used for all employee identity checks.</p>	Medium	Nichola Mann (HR Manager)	<p><del>March 2021</del></p> <p>August 2021</p> <p>October 2021</p>	<p><u>Previous management update:</u></p> <p>Due to Covid the process on checking 'right to work' has been amended until the 31 August 2021. We have been following the government guidelines in respect of this and will continue to do so until the 31 August 2021 or whenever the guidelines change. We continually check for any updates to ensure we are following the correct process.</p> <p><u>Internal audit comment:</u></p> <p><i>Remains open.</i></p>
<p><b>20/21 FRA rec 3.2:</b></p> <p>Senior Procurement Officer to consider procurement best practice for the use of existing DFG contractors and the sole Technical Surveyor, to ensure that the Council's best interests are protected.</p>	Medium	Jane Mitchell (Senior Procurement Officer) &  Environmental Health Manager	March 2021	<p><u>Previous management update:</u></p> <p>Clients do not have to use one of the Council contractors and contract is priced against other competitors. However, Officers can review best practice.</p> <p>This action remains ongoing.</p> <p><u>Internal audit comment:</u></p> <p><i>Remains open as no update received.</i></p>
<b>2020/21 - Performance Management and Formal Complaints</b>				
<p><b>20/21 PM rec 2:</b></p> <p>a) The Council should formally consider whether it is appropriate to extend the response deadlines set out in the Complaints Policy during the Covid-19 pandemic.</p> <p>b) Management should ensure that response dates are correctly recorded in the complaints register, based on the dates in the response letters, so that there is an accurate record of actual response times against the required times.</p>	Medium	<p>Sarah Bennett (Manager of Customers and Performance)</p> <p> </p> <p>Sarah Bennett (Manager of Customers and Performance) &amp; Stephanie Meek (Customer Contact Supervisor)</p>	<p><del>February 2021</del></p> <p>Complete</p> <p> </p> <p>January 2021</p> <p>Complete</p> <p> </p> <p>July 2021</p>	<p><u>Previous management update:</u></p> <p>a) It is not envisaged that response deadlines will be further affected due to ongoing COVID stability.</p> <p>b) Complete - human error will remain a risk, however, complaints administrators have been made aware of the importance of accurately recording the response date on</p>

## Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
c) Management should consider including complaints response times in the quarterly performance and complaints report, to allow adequate monitoring.		Sarah Bennett (Manager of Customers and Performance)	<del>August 2021</del> October 2021	the case management document. c) In progress - this will be included in the first Member Working Group for 2021/22 (due to be held August 2021).  <i>Internal audit comment:</i> <i>Recommendation held open until all elements complete and evidenced.</i>
<b>2020/21 - Corporate Strategy</b>				
<b>20/21 CS rec 2:</b>	Medium			<u>Previous management update:</u>
a) Management should review the projects underpinning the Business and Recovery Plan, and assess whether any projects need to be set up to ensure the delivery of the outstanding or ongoing 2020/21 strategic objectives.		Tim Huggins (ICT Manager)	<del>April 2021</del> <del>August 2021</del> October 2021	a) The project framework is still embedding, and projects are being registered frequently. Directors are undertaking reviews of their objectives with the Project Team to ensure that all of these objectives are captured and monitored.
b) Management should ensure that the Business and Recovery Plan register is updated to include a status rating for the six strategic objectives that do not have a rating in the October 2020 register.		Tim Huggins (ICT Manager)	Complete but to be evidenced	b) The finer details of the Business and Recovery Plan are still being updated with Directors. A mechanism for monthly review is in place where relevant updates, including status, will be made.  <i>Internal audit comment:</i> <i>Remains open as no update received.</i>
<b>20/21 CS rec 3:</b>	Medium			<u>Previous management update:</u>
a) Management should ensure that the service plans for Corporate Finance, Risk & Insurance and Communications are completed and made available to staff.		Jacqui Van Mellaerts (Director of Corporate Resources)& Steve Summers (Chief Operating officer)	<del>December 2020</del> <del>August 2021</del> October 2021	a) Outstanding service plans have been delayed due to other high priority commitments, however, are expected imminently.

## Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
b) The focus areas and annual targets in service plans should clearly identify and reference to each of the strategic objectives for the year, as relevant to each service.		Tim Huggins (ICT Manager)	<del>January 2021</del> <del>August 2021</del> October 2021	b) The task of matching projects and service plans was undertaken. A new Business plan for this year is being developed and a projects and programmes board has been formally setup.  <i>Internal audit comment:</i>  <i>Remains open until fully complete and evidenced.</i>
<b>20/21 CS rec 4:</b>	Medium			<u>Previous management update:</u>
a) Management should ensure that appropriate time lines are set for completion and publication of all strategies that are being developed or updated to support the Corporate Strategy.		Steve Summers (Chief Operating Officer)  Steve Summers (Chief Operating Officer)	<del>March 2021</del> <del>July 2021</del> October 2021	a) This will be picked up by the Council's Information Governance Group which is just being revamped. A report will be made to SLT within the next few weeks. As part of their new ToR, the group will monitor the Council's strategies timelines as appropriate.
b) Other published strategies should also be reviewed to check if they remain valid or are in need of updating.			Closed	b) Evidence provided of the review undertaken of the document library (and associated web publications) as part of the preliminary work undertaken for the Council's new website.  <i>Internal audit comment:</i>  <i>Part (b) closed by Internal Audit following receipt of evidence of the document library review carried out for the new website.</i>
<b>2020/21 - Sickness Absence</b>				
<b>20/21 SA rec 1:</b>	High	Darren Laver (Operations Manager) & Nichola Mann (HR Manager)	<del>February 2021</del> <del>August 2021</del> October 2021	<u>Previous management update:</u>  Self-certification forms are not completed and on reviewing are not required. If an absence goes beyond 7 calendar days fit notes are supplied

## Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
days, and that this documentation is retained.				and the Managers have been receiving these and emailing to the HR inbox to be filed on the employee file. The Absence Management Policy will be reviewed and updated to reflect this.  <i>Internal audit comment:</i>  <i>Remains open until the policy is updated.</i>
<b>20/21 SA rec 2:</b>  Depot management should ensure that line managers are maintaining regular contact with employees who have been off sick for more than four weeks and that a central confirmation of this contact is made by the line manager to evidence that it is being done.	Medium	Darren Laver (Operations Manager) & Nichola Mann (HR Manager)	February 2021  August 2021  October 2021	<u>Previous management update:</u>  The HR Manager has undertaken a spot check of a couple of long term absences and the Managers have shared messages that they have had with the employee in order to maintain contact.  <i>Internal audit comment:</i>  <i>Remains open until evidenced.</i>
<b>20/21 SA rec 3:</b>  Depot management should ensure that line managers carry out return to work interviews and retain a record of it.	Medium	Darren Laver (Operations Manager) & Nichola Mann (HR Manager)	February 2021  August 2021  October 2021	<u>Previous management update:</u>  The HR Manager has undertaken a spot check on return to works and can confirm that these are being undertaken and forwarded to the HR inbox for filing on the employees' files.  <i>Internal audit comment:</i>  <i>Remains open until evidenced.</i>
<b>20/21 SA rec 4:</b>  a) Line managers should be reminded to look out for short term sickness trigger events and ensure that the stages of absence management process within the Council's Absence Management Policy is followed.  b) Depot management should ensure that stage 1 and stage 2 interviews are carried out for	Medium	Nichola Mann (HR Manager) supported by Extended Leadership Team  Extended Leadership Team &	February 2021  August 2021  October 2021  February 2021	<u>Previous management update:</u>  On reviewing the HR Manager has noted that there is still disparity. She has liaised with the Corporate Director - Environment & Communities to discuss this and it has been agreed that a number of bitesize training sessions will be arranged to ensure

## Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
all long term sickness in accordance with the Council's policy.		Nichola Mann (HR Manager)	August 2021 October 2021	managers are clear of what their roles and responsibilities are in terms of absence management.
c) Line managers should inform the HR Manager when trigger events occur and seek HR support when carrying out the second stage of the absence management stage process.		Darren Laver (Operations Manager) & Nichola Mann (HR Manager)	February 2021 August 2021 October 2021	<i>Internal audit comment:</i> <i>Remains open until the training has been carried out.</i>
<b>20/21 SA rec 5:</b>	Medium			<u>Previous management update:</u>
a) Line managers should be reminded of the importance of entering the correct number of sickness days in DASH.		Extended Leadership Team & Nichola Mann (HR Manager)	February 2021 August 2021 October 2021	Period checks were undertaken and dates were correct on Dash. Dash and the Depot absence recording spreadsheet is no longer used to record absence as this is done on the iTrent system, however return to works are still undertaken via Dash and so we will continue to periodically check the information to ensure consistent data is held on the RTWs and the iTrent system.
b) Management should periodically carry out spot checks on the number of sickness days entered into DASH, back to the signed return to work forms.		Nichola Mann (HR Manager) supported by Extended Leadership Team	February 2021 August 2021 October 2021	
c) Management should periodically carry out spot checks on the number of sickness days entered into the payroll system for both DASH and Depot absences, back to the DASH system or the Depot's Waste and Grounds absences recording spreadsheet.		Nichola Mann (HR Manager) supported by Extended Leadership Team	February 2021 August 2021 October 2021	<i>Internal audit comment:</i> <i>Remains open until it is evidenced.</i>
<b>2020/21 - Cyber Security</b>				
<b>20/21 CS rec 1:</b>	Medium	Tim Huggins (ICT Manager)	July 2021 October 2021	<u>Management previous response:</u>
a) The Council should establish a cyber security awareness programme for all staff and implement the approach that is planned to raise awareness for Members and senior management.				Awareness training for Extended Leadership has been carried out (5th Feb 2021). The Senior leadership Training is booked in for 9th March 2021 and Member training to be arranged.
b) Training completion should be monitored and there should be				

## Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
a record of all the training that has been provided and completed.				<p>Training for all staff will be through our GDPR e-learning course which should be undertaken yearly.</p> <p><i>Internal audit comment:</i> Recommendation remains open.</p>
<p><b>20/21 CS rec 2:</b></p> <p>The draft Cyber Incident Response Plan should be finalised and approved and made available to all relevant members of staff.</p>	Medium	Tim Huggins (ICT Manager)	<p><del>May 2021</del></p> <p>August 2021</p> <p>October 2021</p>	<p><u>Management update:</u></p> <p>A draft Cyber Incident Response Plan has been developed with some of the supporting documentation - i.e. playbooks and treat actor library. There was a delay in the setting up IG group but that has now been agreed so will take plan to the group for sign off.</p> <p><i>Internal audit comment:</i> Remains open until fully complete and evidenced.</p>
<b>2020/21 - Main Financial Systems</b>				
<p><b>20/21 MFS rec 1:</b></p> <p>Officers preparing and approving the housing rent control account reconciliation should ensure that unreconciled items are carefully reviewed and resolved on a monthly basis.</p>	Medium	Connie Wallis (Link accountant)	<p><del>June 2021</del></p> <p>October 2021</p>	<p><u>Previous management response:</u></p> <p>The balances on these accounts are the amounts that need to be journalled for that month to bring the reconciliation back to zero. Demonstrating that a reconciliation has taken place, there are reconciliation items that need to be rectified. However, once the items are journalled, the reconciliation can be refreshed to demonstrate the journal has ensured the reconciliation has reverted to zero. Officers do ensure the unreconciled items are reviewed as these items relate to the journal and the journal resolves them.</p> <p><i>Internal audit comment:</i> Remains open until fully complete and evidenced.</p>

## Recommendations: In progress

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
<p><b>20/21 MFS rec 3:</b></p> <p>Officers should review the Council's policies and guidance for the creation of new client accounts and consider including a requirement for independent review and approval within departments, as well as further guidelines for the retention of supporting documentation.</p>	Medium	Alex Webber (Systems accountant)	July 2021  October 2021	<p><u>Previous management response:</u></p> <p>Adding a layer of authorisation to customer account could cause further delays in invoicing new customers due to the small teams that operate. As the creation of customers and invoices are done departmentally and not centrally, this could have a knock-on effect with collection of income within a timely manner, therefore unless the process was taken centrally, the recommendation would not be advantageous to the council. On the point of retention of supporting documentation of new customers, this can be communicated to all departments to remind them of the responsibility of holding this information.</p> <p><u>Internal audit comment:</u></p> <p><i>No updated response received.</i></p>
<p><b>20/21 MFS rec 5:</b></p> <p>a) The debt recovery and write off policy should be reviewed and management should consider amending the due dates if current dates are not considered realistic in the current climate.</p> <p>b) Staff should be reminded to take recovery actions in line with the policy.</p>	Medium	<p>Alex Webber (Systems accountant) and Phoebe Barnes (Corporate Finance Manager)</p> <p>Alex Webber (Systems accountant)</p>	<p>Closed</p> <p>November 2021</p>	<p><u>Management response:</u></p> <p>The policy has been reviewed and updated.</p> <p>Refresher to officers regarding corporate debt recovery will be conducted. This will be done via 1-2-1s with staff.</p> <p><u>Internal audit comment:</u></p> <p><i>Part (a) closed following receipt of updated policy.</i></p>



## Recommendations: Closed in Quarter

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
<b>2017/18 - Partnerships</b>				
<p><b>17/18 Partnerships rec 3:</b></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)	<del>March 2018</del> <del>January 2019</del> <del>March 2019</del> <del>February 2020</del> <del>September 2020</del> <del>December 2020</del> <del>March 2021</del> August 2021	<p><u>Previous management 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><u>Internal audit comment:</u></p> <p>Recommendation closed as it will be covered by our audit of partnerships in 2020/21.</p>
<b>2020/21 - Main Financial Systems</b>				
<p><b>20/21 MFS rec 4:</b></p> <p>a) Officers should consider implementing a policy whereby invoices over a certain value are required to be independently reviewed.</p> <p>b) Backing documentation for invoices raised should be stored in a centralised folder so that it can be easily accessed.</p> <p>c) Staff should be reminded to raise invoices within a reasonable period after the provision of goods or services, ideally within a set number of days.</p>	Medium	Alex Webber (Systems accountant)	N/A   July 2021   July 2021	<p><u>Management response:</u></p> <p>Invoice limits can be added, although this would prevent officers from raising invoices over a certain limit, this would require certain users to go in and authorise invoice batches, which can in turn, delay income and the timely raising of invoices, due to the size of the teams that currently raise the invoices.</p> <p>Officers have been reminded to save the supporting documentation when raising invoices.</p> <p>Invoice raisers have been reminded of the correct time frames for when they need to raise invoices.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation closed following receipt of the e-mail reminders.</p>

# Recommendations: Closed in Quarter

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
<b>2020/21 - Fraud Risk Assessment</b>				
<p><b>20/21 FRA rec 1.2:</b></p> <p>The Director of Corporate Resources to review the benefits of fully implementing the Procurement to Pay (P2P) process to increase the percentage of expenditure that requires an authorised purchase order to be raised before the invoice is paid.</p>	Medium	Jacqueline Van Mellaerts (Director of Corporate Resources)	<p><del>March 2021</del></p> <p>August 2021</p> <p>October 2021</p>	<p><u>Management update:</u></p> <p>This has been signed off for approval by the Programme Board.</p> <p>Officers are aiming to have a soft launch of this in three departments in September or October 2021. After that it will be slowly progressed to the other three directorates. The aim is that from 1 April 2022, there will be a strictly No PO no Pay policy, apart from some exemptions which will be listed and circulated, with all relevant suppliers notified in February or March 2022.</p> <p><u>Internal audit comment:</u></p> <p><i>Recommendation closed by Internal Audit following receipt of evidence of approval by the Programme Board.</i></p>
<p><b>20/21 FRA rec 2b. 1:</b></p> <p>The Director of Corporate of Resources to review the level of scrutiny and checks being carried out in respect of housing benefit claimant identity and the resourcing available at the shared service to carry out these checks, taking account of the Council's risk appetite.</p>	High	Jacqueline Van Mellaerts (Director of Corporate Resources) & Revenue and Benefits Manager (Samantha Stanley)	<p><del>June 2021</del></p> <p>August 2021</p> <p>October 2021</p>	<p><u>Management update:</u></p> <p>All Rev &amp; Bens staff have had awareness training in the past; however, the shred service is in the process of arranging a fraud awareness refresher training session in the next few months.</p> <p>E-learning fraud awareness training is carried out annually. There is a compliance team that scrutinises claims and refers cases to the DWP Fraud teams where there are inconsistencies in benefit claims. Regular Housing Benefit reviews are carried out to mitigate fraud and error.</p>

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## Recommendations: Closed in Quarter

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
				<p><i>Internal audit comment: Recommendation closed by Internal Audit as e-mail evidence provided that the Director of Corporate of Resources has reviewed the level of scrutiny and checks being carried out by the shared service.</i></p>



**FOR MORE INFORMATION:**

**GREG RUBINS**

Partner, Public Sector  
[greg.rubins@bdo.co.uk](mailto:greg.rubins@bdo.co.uk)

**JANINE COMBRINCK**

Director / Public Sector Assurance  
[janine.combrinck@bdo.co.uk](mailto:janine.combrinck@bdo.co.uk)

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<b>Committee:</b> Audit and Scrutiny Committee	<b>Date:</b> 28 September 2021
<b>Subject:</b> Risk Management	<b>Wards Affected:</b> All
<b>Report of:</b> Jacqueline Van Mellaerts, Corporate Director – Finance & Resources	<b>Public</b>
<b>Report Author/s:</b> Name: Sue White, Risk & Insurance Officer Telephone: 01277 312500 E-mail: sue.white@brentwood.gov.uk	<b>For Information</b>

## Summary

The report updates members of the Audit & Scrutiny Committee on the status of the Council's 2021/22 Strategic Risk Register and high-level operational risks.

The Risk Registers are currently under review to align them to the Corporate Strategy, as well as presenting them in a more appropriate format.

## Main Report

### **Introduction and Background**

1. The governance arrangements set out in the 'Insurance & Risk Management Strategy' and terms of reference of committees from our constitution require the Audit and Scrutiny Committee to review the strategic and operational risks every quarter.
2. The strategic and operational risk registers are monitored by Senior Leadership Team (SLT) and the Extended Leadership Team (ELT) who consider the risks, the mitigations and agrees the content. It is the responsibility of the Audit & Scrutiny Committee to review the strategic risks and confirm they are confident that the risks associated within this register are those which are strategic and relevant to the organisation at this point in time and the considered future.
3. Work continues to embed Risk Management within the Council. It is important that all staff become involved in the risk management process and become aware of their responsibilities in identifying and managing risk. A Risk Management Fund of £5k was allocated within the insurance tender, which is deducted from the annual premium, for use on Risk Management improvements for the Council. The remainder of the fund for 2020-2021 has been allocated for an Accident Investigations and Claims Defensibility Review which will be carried out in November. £1,900 of the fund for 2021-22 has been allocated for two Accident Investigation and Claims Defensibility training sessions to be held in December.

## Issue, Options and Analysis of Options

4. The risk register is currently under review, and a new template to record risks has been developed and enhanced to now include risk categorisation and target scores. These scores are based on the successful completion of actions in the 'Further Actions/Comments' column as seen in Appendix A. The tables demonstrate the movement of risk scores from Original to Current and also detail the anticipated Target score, with any outstanding or further actions for each risk.
5. There is still work to be done to identify or rewrite risk descriptions to align the Strategic Risks to the Corporate Strategy. Work to progress this will continue over the coming months.
6. 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.
7. 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.

### Strategic Risks

8. In accordance with the Council's Insurance and Risk Management Strategy, risk owners have reviewed their risks and updated them. These were discussed and agreed by the Senior Leadership Team on Wednesday, 15 October.
9. Attached to this report at Appendix A is a summary showing the current status of each risk.
10. As a result of the current risk review one score has increased and two scores reduced. The remaining scores have remained unchanged.
11. The risk where the risk scores have increased is as follows:

- Red Risk RSK10 – Income Projections not met (row 53) L4 x I5 = 20

The risk score has been increased for this particular risk due to certain savings targets and baseline income due to COVID-19 not yet achieved in Medium Term Financial Strategy and at this stage are not likely to be met.

- Green Risk RSK5 – Lack of Strategic Direction (row 28) L2 x I2 = 4  
The risk score has been increased due to the Collaboration between Brentwood Borough Council & Rochford District Council currently in its interim stage.

12. The risks where the risk score has reduced are as follows:

- Green Risk RSK6 – Corporate Strategy (row 33) L2 x I2 = 4  
The risk has been reduced due to the Senior Leadership team reviewing the Business plan of the Corporate Strategy and aligning this with the risk ranking table.

### Risk Matrix

13. The twelve risks are plotted on the risk matrix in Table 1. The current assessment identifies that two risks are categorised as very high in the red area of the risk matrix.

**Table 1 – Risk Matrix**

Likelihood / Probability	Definite	Low (5)	Medium (10)	High (15)	V. High (20)	V. High (25)
	Very Likely	Low (4)	Medium (8)	High (12)	V. High (16) RSK2	V. High (20) RSK10
	Likely	Low (3)	Medium (6)	Medium (9)	High (12) RSK9; RSK11	V. High (15) RSK1
	Unlikely	Low (2)	Low (4) RSK5 RSK6	Medium (6) RSK8	Medium (8) RSK3; RSK4; RSK12	High (10) RSK7
	Highly Unlikely	Low (1)	Low (2)	Low (3)	Medium (4)	Medium (5)
		Negligible	Minor	Moderate	Significant	Major
		Negative Impact / Severity				

Likelihood x Impact = Risk Score

No.	Risk	No.	Risk
1	Failure to adopt a local plan in line with national policy	7	General Fund budgets could fall below the minimum level of reserves
2	Failure to develop an environmental strategy and action plan	8	Unable to react to major incident.
3	Failure to deliver a clear Leisure Strategy	9	Lack of Organisational Capacity
4	Failure to deliver Strategic Housing Development Plan	10	Unable to meet income projections
5	Lack of Strategic Direction	11	Not compliant with data protection legislation
6	Failure to deliver objectives within Corporate Strategy	12	Contract/Partnership Failure within organisation



## Operational Risks

14. The Operational Risk Registers have now been grouped under each Directorate and work has been ongoing to identify any new risks or rewrite existing risks for each Directorate in line with the Corporate Strategy.
15. Attached to this report at Appendix B is the operational risk summary sheet showing the very high and high-level risks. The risk references are shown in brackets in the table below which match to Appendix B.
16. The table below shows the total number of risks identified in operational risk registers across the Council

Directorate	Open risks on register	Very High Risks	High Risks	Medium Risks	Low Risks
Finance & Resources	9		1 F&R3	5	3
Digital & Customer	4		3 D&C1, D&C2, D&C3	1	
Law & Governance	14			3	11
Housing & Community Safety	10	2 H&C2, H&C9	2 H&C3, H&C7	5	1
Planning & Economy	3			3	
Environment & Communities	12	2 E&C1, E&C5	1 E&C2	3	6

## **Consultation**

17. None

## **References to Corporate Strategy**

18. Effective risk management arrangements will enable the Council to achieve its corporate priorities. The process will allow identification of risks and issues, enabling informed decision making to remove or reduce them, in order for the priorities to be achieved.

## **Implications**

### **Financial Implications**

**Name/Title: Jacqueline Van Mellaerts, Corporate Director (Finance & Resources) and Section 151 Officer**

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

19. None arising specifically from this report, but control measures identified in risk registers could have financial or resource implications.

### **Legal Implications**

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

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

20. Effective risk management provides a means of identifying, managing and reducing the likelihood of legal claims or regulatory challenges against the Council.

### **Economic Implications**

**Name/Title: Phil Drane, Corporate Director (Planning & Economy)**

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

21. Economic implications are contained within the report and identified in risk registers.

## **Background Papers**

- Insurance & Risk Management Strategy

## **Appendices to this report**

- Appendix A: Strategic Risk Register
- Appendix B: Operational Risk Register
- Appendix C: Risk Ranking Table

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER

Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores (After any mitigations Sept 2021)			Direction of travel from previous quarter	Further Actions / Comments	Planned Completion Date(s)	Target Scores (following completion of all further actions)		
				L	I	S		L	I	S				L	I	S
Corporate Strategy: Growing our Economy - A thriving borough that welcomes a wealth of business and culture																
Risk 1	<b>Cause:</b> Lack of local planning policies to plan and manage development	Director (Planning & Economy)	Reputation			V High 25	Meeting targets set out in the Local Plan timetable (Local Development Scheme, approved September 2019). Ongoing discussion with neighbouring Local Planning Authorities and key stakeholders (Duty to Cooperate). Partnership in Association of South Essex Local Authorities (ASELA). Preparation of Community Infrastructure Levy (CIL). Delivery of Dunton Hills Garden Village (DHGV). Retention of permanent staff and recruitment of temporary staff to meet short-term needs when required.			V High 15	↔	Examination hearing sessions complete. Next stage is to undertake consultation on main modifications required to make the plan sound, which will take place for six weeks from mid-September 2021. Anticipated adoption of plan early 2022, which would bring strategic risk to target score.	20/03/2022	1	5	Low 5
	<b>Uncertain Event (Risk):</b> Failure to adopt a <u>Local Plan</u> in line with national policy		Legal/Compliance	5	5			3	5							
	<b>Consequence(s):</b> Planning applications being judged solely against national policy "in favour of sustainable development" and/or unplanned development		Effect on Project objectives													
Corporate Strategy: Protecting our Environment - Developing a clean and green environment for everyone to enjoy																
Risk 2	<b>Cause:</b> Lack of engagement with communities and businesses; non delivery of our plans for waste management services	Director (Environment & Communities)	Effects on Service			V High 20	Strategy and action plan are in progress Introduction of new recycling scheme Co Wheel Scheme implemented Electric charging pilots implemented			V High 16	↔	Continue to develop plans to plant more trees Working to use recycled electricity in Council buildings Develop the Carbon Neutral Strategy	These woodlands and tree planting are long term over many years however expect Hutton Country Park to be complete by April 2025 Develop Strategy by March 2022	1	5	Low 5
	<b>Uncertain Event (Risk):</b> Failure to develop an <u>Environmental strategy</u> and action plan		Reputation	5	4			4	4							
	<b>Consequence(s):</b> Council would be actively contributing to climate decline															

Corporate Strategy: Developing our Communities - Safe and strong communities where residents live happy, healthy and independent lives

Risk 3	<b>Cause:</b> Unable to identify risk and liabilities for Brentwood Centre, Copmunity Halls and Hartswood Golf Course, Play Areas and recommend options for the future	Director (Environment & Communities)	Effects on Service			High 12	Leisure Strategy reviewed and updated Feasibility/business plan in progress for King George's Playing Fields. Budget agreed for KGPF and 5-year Play Area Improvement programme Workstream established for transition of Brentwood Centre to Council.			Med 8	↔	Review, update and develop the Voluntary, Faith and Communities Sector Support Strategy and take to September committee			Med 8
	<b>Uncertain Event (Risk):</b> Failure to deliver a clear <b>Leisure Strategy</b> for the future of leisure facilities in Brentwood		Reputation	3	4			2	4				2	4	
	<b>Consequence(s):</b> Reduced leisure provision within the Borough, health and well being of residents affected, less desirable place to live or visit with poor offering of leisure facilities. Financial failure of the leisure facilities provided causing issues with the overall budget		People												

Corporate Strategy: Improving Housing - Access to a range of decent homes that meet local needs

Risk 4	<b>Cause:</b> Resources not adequetly in place to deliver plan	Director (Housing & Community Safety)	Effects on Service			V High 15	Strategic Housing Delivery Plan 21-26 now developed to meet objectives within the Housing Strategy HRA busines plan			Med 8	↔	Continue Implementation of project plan			Low 4
	<b>Uncertain Event (Risk):</b> Failure to deliver the Council's <b>Strategic Housing Development Plan</b>		Reputation	3	5			2	4				1	4	
	<b>Consequence(s):</b> Fewer new homes are built within the borough		Legal/Compliance												

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 5	<b>Cause:</b> No Strategic direction provided	Chief Executive	Effects on Service			Med 9	Corporate Strategy Training and Development for Officers and Members Code of Conduct. Consultation / surveys. Project and performance Management Framework. Business recovery plans in place and monitored with senior management & members.			Low 4	↑	Collaboration between Brentwood Borough Council & Rochford District Council is currently in its interim stage.	Feb-22	1	2	Low 2
	<b>Uncertain Event (Risk):</b> Lack of <b>Strategic Direction</b>		Reputation	3	3			2	2							
	<b>Consequence(s):</b> Projects and programmes not delivered Community benefits not delivered		Effect on Project objectives													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 6	<b>Cause:</b> Unable to deliver projects as set out in the Corporate Plan.	Strategic Director	Effect on Project objectives			V High 20	PRED Committee appointed as Programme Board. Continued communication on Corporate Strategy within organisation Ownership of delivery of projects identified at all levels within the Council. Business Plan is monitored by the Senior Leadership Team and the Leader regularly through project management techniques i.e RAG ratings			Low 4	↓	A few projects on hold or not yet started, but considered minor against ranking table	Ongoing	1	1	Low 1
	<b>Uncertain Event (Risk):</b> Failure to deliver objectives within the <b>Corporate Strategy</b>		Effects on Service	4	5			2	2							
	<b>Consequence(s):</b> Community benefits not delivered		Reputation													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 7	<b>Cause:</b> Finances are not adequately managed	Director (Finance & Resources)	Financial & Resources			V High 25	Medium Term Financial Strategic (MTFS) is undertaken on an annual basis, with monthly budget monitoring and half year reports to Committee. Budget Challenge meeting are in place for Senior Officers to review and challenge Budget Managers as well as regular reporting to SLT and Committee chairs A Funding Volatility Reserve has been created to specifically address the uncertainty of Government funding levels. Risk Assessment of Minimum level of reserves is carried out yearly.			High 10	↔	Budget monitoring of Period 5 will be reported to PRED on 30th September with a breakeven forecast for General Fund position, therefore reporting an overspend of £240k. The Council reserves still remain within the minimum levels. Regular monitoring of saving targets within the MTFS is still underway.	Ongoing	1	5	Med 5
	<b>Uncertain Event (Risk):</b> General Fund budget forecasts could fall below the Minimum Level of Reserves		Reputation	5	5											
	<b>Consequence(s):</b> Council will be unable to deliver statutory services.															

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 8	<b>Cause:</b> If we don't have in place adequate plans and procedures, understood, tested and reviewed	Director (Finance & Resources)	People			V High 20	All services areas have Business Continuity Plans in place. Support and ongoing embedding of Emergency Planning & Business Continuity Plans within service departments			Med 6	↔	Explore further testing on emergency planning & Business Continuity Plans.	Ongoing	2	3	Med 6
	<b>Uncertain Event (Risk):</b> We will be unable to react to a major incident leading to a breach of our statutory duties under the Civil Contingencies Act		Effects on Service	4	5											
	<b>Consequence(s):</b> Ineffective response to an incident leading to greater inconvenience and hardship and a longer timescale for return to normal		Reputation													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 9	<b>Cause:</b> If recruitment processes are not effective and resources are adequately in place.	Director (Finance & Resources)	Effects on Service			High 12	Monitor vacancy factor within Medium Term Financial Strategy (MTFS) Communications Protocol & Strategy Workforce Strategy Regular meetings between senior members & officers. Review options for alternative service delivery model Recruitment service brought in house Establishment Control Team between Finance & HR			High 12	↔	Workforce Strategy needs reviewing and updating Some services are struggling to recruit to specific posts due to national shortages. Targetted recruitment plans underway Vacancy factor approximately 6%	Ongoing	2	5	Med 10
	<b>Uncertain Event (Risk):</b> Lack of capacity to effectively govern the organisation will result in delay in delivery of business objectives		Reputation	3	4			3	4							
	<b>Consequence(s):</b> Key projects not delivered. Reputation severely damaged Services not delivered		Effect on Project objectives													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 10	<b>Cause:</b> If the commercial income target from the Joint Venture and other activities are not achieved	Director (Finance & Resources)	Financial & Resources			V High 16	Consultants have been engaged to advise and assist in delivery of projects Appropriate governance arrangements have been set up for the Council's Wholly owned company - Seven Arches Investment Ltd Progress reports to Committee. Robust business modeling and financial projections. Monthly SLT & Leader meetings to monitor finances			V High 20	↑	SAIL has draw down the balance of their £60m loan facility, which ensures the Council is now on target to meet its Commercial Activity Income target within the Medium Term Financial Strategy. Certain other saving targets and baseline income due to COVID-19 are not yet achieved in Medium Term Financial Strategy and at this stage are not likely to be met.	Mar-22	1	4	Low 4
	<b>Uncertain Event (Risk):</b> We may be unable to meet the income projections for the Council			4	4			4	5							
	<b>Consequence(s):</b> Council unable to meet budget requirements Spending/service cutbacks Greater use of reserves															

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 11	<b>Cause:</b> If we do not have good information governance strategies and controls	Director (Law & Governance)	Legal/Compliance			V High 20	Information Governance Group set up to ensure that the Council has the correct controls in place to ensure good governance in all decision making Data Protection Policies Training Data Protection Officer in post			High 12	↔	Good governance is about all the policies and procedures in place to ensure that decisions are made in a transparent and lawful manner. Work required by information Governance Group to any identify weaknesses in policies and processes.	Ongoing	2	4	Med 8
	<b>Uncertain Event (Risk):</b> We may not be compliant with <u>data protection legislation</u>		Reputation	5	4			3	4							
	<b>Consequence(s):</b> Fine from the Information Commissioner's Office (ICO) Risk of litigation challenges to decisions made		Financial & Resources													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 12	<b>Cause:</b> Contract and procurement management not in place	Director (Law & Governance)	Legal/Compliance			High 12	Service Level Agreements embedded within contract and penalties in place for non performance. Regular reporting on contract performance. Escalation and governance in place Contract management diagnostic survey underway Procurement and contract manager meetings in place			Med 8	↔	Contracts management diagnostic survey has been started. Will receive a report on how effective the Council is at contract management. SLA's review will ensure that the correct governance is in place regarding partnership working. Review of procurement strategy and contracts register	Ongoing	2	4	Med 8
	<b>Uncertain Event (Risk):</b> Contract/Partnership failure within organisation			3	4			2	4							
	<b>Consequence(s):</b> Negative impact on Council finances Reduction in Community benefits															



Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores September 2021			Position from previous quarter	Further Actions / Comments	Planned Completion Date(s)	Target Scores (following completion of all further actions)		
				L	I	S		L	I	S				L	I	S
<b>Corporate Strategy: Protecting our Environment - Developing a clean and green environment for everyone to enjoy</b>																
Risk E&C1	<b>Cause:</b> If we fail to protect our employees and other persons to whom we owe a duty of care	Health & Safety Officer	Legal/Compliance			V High 25	All areas have received training and ongoing support in risk assessment and Health and Safety management. Regular monthly meetings are undertaken for compliance across Corporate and Housing Directorates, to ensure arrangements and systems are inbedded and robust, or if not, then adjustments and improvements are made. Separate operational compliance risks have been identified for Corporate and Housing Directorates respectively. The Council's H&S Microsite provides information and respective forms for risk assessment and Safe Systems Of Work. H&S Standards and Policies and reviewed and updated as legislation or organisational changes develop.	4	5	V High 20	Stayed the same	Reviews of existing systems and arrangements are being undertaken to improve implementation and more effective systems of working to improve risk management. Risks will reduce over time for service delivery as known risks are improved and managed. Investment will be key to manage on going maintenance of systems and capital investment to support improved risk reduction and management.	Dec-23	3	4	High 12
	<b>Uncertain Event (Risk):</b> The safety, health, welfare and wellbeing of individuals may be compromised		People	5	5											
	<b>Consequence(s):</b> Injury or harm to employees, tenants or visitors. Fines from the HSE. Insurance claims. Reputational impact to the Council		Financial & Resources													
Risk E&C2	<b>Cause:</b> Lack of inspection and maintenance regime to manage trees	Arboricultural Officer	People			V High 20	Woodland management plans that have been negotiated over the last 4 years have now been approved and are beginning to be implemented to manage woodland edge trees over a 10-year period. However, a risk remains for non-woodland trees for which there is no proactive system	3	4	High 12	Stayed the same	Recruiting of survey officer is being reviewed to source finances for a new post. lack of survey data may result in identifiable defect causing tree failure resulting in death ,injury or damage , this may in turn result in prosecution , even corporate manslaughter.	Ongoing	2	3	Med 6
	<b>Uncertain Event (Risk):</b> Risk of unmaintained trees wholly or partly falling on persons/property and other infrastructure		Reputation	4	5											
	<b>Consequence(s):</b> Increased likelihood of prosecution by HSE and claims against the Council		Financial & Resources													
Risk E&C4	<b>Cause:</b> Challenges with staff recruitment	Environmental Health Manager	Legal/Compliance			V High 16	Environmental Health Technician acting up in EHO role confirmed position, agency officer covering one other role until 2/7/21 Two additional newly qualified staff from Thurrock covering two EH roles part time plus EH Manager covering four districts in Brentwood	3	3	Med 9	decreased	No further recruitment undertaken level of team maintained at four officers two employed by BBC and 2 part-time officers from Thurrock DC, looking to recruit apprentice officer but no current plans to recruit qualified officers	December	2	2	Low 4
	<b>Uncertain Event (Risk):</b> Capacity of Environmental Health Pollution & Private Sector Housing Team		Reputation	4	4											
	<b>Consequence(s):</b> Unable to respond to service requests, resulting in further formal complaints and unable to meet statutory duties															
Risk E&C5	<b>Cause:</b> National shortage of drivers and ageing workforce	Waste and recycling Manager	Reputation			High 12	Nationally there is a shortage of HGV drivers and this has been evident in recruitment at Brentwood and many other local authorities. Staff are reaching retirement age or leaving for higher paid jobs. Attempts to up skill loaders to drivers has been advertised but not had any impact due to salary difference	4	4	V High 16	Increased	National shortage has created private sector to offer greater pay and rewards. This has produced a greater pay disparity amongst private sector and local government pay. Advert produced by HR to highlight benefits for working for LG. pension, life balance etc.	Ongoing	2	4	Med 8
	<b>Uncertain Event (Risk):</b> Unable to recruit LGV waste drivers		Financial & Resources	3	4											
	<b>Consequence(s):</b> Unable to deliver Waste and recycling collections															

BRENTWOOD BOROUGH COUNCIL OPERATIONAL RISK REGISTER 2021

Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores September 2021			Position from previous quarter	Further Actions / Comments	Planned Completion Date(s)	Target Scores (following completion of all further actions)		
				L	I	S		L	I	S				L	I	S
Corporate Strategy: Improving Housing - Access to a range of decent homes that meet local needs																
Compliance - the risk is that the Council will not achieve the plans to deliver compliance for the key areas and the delivery of the compliance project plan.																
Risk H&C2	<b>Cause:</b> Not achieving the plans to improve compliance by the required timescale.	Compliance Manager	Legal/Compliance			V High 25	A specific compliance risk register has been produced with detail on the risks. A new performance reporting template has been produced which identifies the areas of non-compliance and the gap to compliance. Actions are in place to reduce the gaps in the known compliance issues. Regular meetings are in place to address the concerns.	4	5	V High 20	Stayed the same	Risk has stayed the same as there is ongoing works to all compliant areas. More surveys have been completed, which has uncovered more works to be completed. Housing stock has not been touched for over 20 years and there are lots of works to be completed to bring the properties up to compliance standards	Mar-22	1	5	Med 5
	<b>Uncertain Event (Risk):</b> The management of compliance is not effective.		Reputation	5	5											
	<b>Consequence(s):</b> Compliance is not achieved by March 2022.		Effects on Service													
Decisions on HRA stock - the risk is that the Council does not make timely decisions on the retention and investment in the HRA stock.																
Risk H&C3	<b>Cause:</b> Decisions on the HRA stock not taken, leading to additional expenditure.	Corporate Manager	Financial & Resources			High 12	Sheltered housing review has started, with a review of the garage sites and the sites for potential regeneration to be identified.	4	3	High 12	Stayed the same	Decisions are required on a number of sites, to identify the approach (i.e. retain as is, regenerate, sale/dispose). This will help with identifying the investment required in the long-term and provide clarity for the HRA's business plan.	Mar-22	1	4	Low 4
	<b>Uncertain Event (Risk):</b> The assets have not been reviewed to identify long-term use of the sites.		Effects on Service	4	3											
	<b>Consequence(s):</b> That resources are used on properties that the Council does not wish to retain in the long-term.		Reputation													
Drake House - the risk is that the building will need to be evacuated before the planned fire safety works are completed.																
Risk H&C7	<b>Cause:</b> The lack of an agreed solution for the second phase of works Drakes House.	Contract Manager	Legal/Compliance			V High 15	The Fire Brigade is aware of the situation and attends regular meetings. The solution will be designed by a third party, with the solution signed off by the installers and building control.	2	5	High 10	decreased	Phase 1 near to completion, 24/7 onsite watch still in place, fire service agreed to a sprinkler system that is being designed and funding requested to help with costs, once the sprinkler system is in place this will mitigate risks in line with FRA assessment criteria and fire service protocols, still high risk until fitted due to the nature of the block being high rise	TBC	1	5	Med 5
	<b>Uncertain Event (Risk):</b> The risk is that the proposed solution cannot achieve the required sign off.		Reputation	3	5											
	<b>Consequence(s):</b> That residents have to be decanted until a permanent solution is achieved.		Financial & Resources													
Training - the risk is that the housing team do not receive the right level of training and personal development to support the current plans for the service.																
Risk H&C9	<b>Cause:</b> The level and type of training does not meet the needs of the service.	Corporate Manager	Effects on Service			V High 16	A review of the existing training plan will take place and a revised training plan developed.	4	4	V High 16	Stayed the same	The review of the current training plan arrangements is currently underway with external consultants. Currently liaising with HR for a central matrix document to record all training requirements for staff	Mar-22	1	1	Low 1
	<b>Uncertain Event (Risk):</b> That the service is not delivered effectively (e.g. compliance).		Reputation	4	4											
	<b>Consequence(s):</b> A mistake occurs due to a lack of awareness or training		People													

Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores September 2021			Position from previous quarter	Further Actions / Comments	Planned Completion Date(s)	Target Scores (following completion of all further actions)		
				L	I	S		L	I	S				L	I	S
<b>Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services</b>																
Risk F&R3	<b>Cause:</b> Lack of robust and resourced regime for addressing failures in Corporate property compliance	Facilities Manager	Financial & Resources			V High 25	Undertaking routine compliance and remedial actions when identified. Retain appropriate documentation for evidence			High 12	decreased	Continue to reinforce response to compliance issues Develop document retention processes Explore utilisation of assets database	Dec 2021	2	3	Med 6
	<b>Uncertain Event (Risk):</b> Risks to the Council, its staff and its residents where key compliance checks have not been satisfactorily completed for corporate buildings, etc. and any issues address (e.g. fire, water, gas, etc)		Legal/Compliance	5	5			4	3							
	<b>Consequences:</b> Risk of closure of buildings, damage to buildings, reputation risk to Council, loss of earnings and life and prosecution from HSE		People													
Page 91 Risk D&C1	<b>Cause:</b> If we do not have the appropriate cyber security or cyber incident response plan	I.C.T. Manager	Effects on Service			V High 20	Manages Security Service has been running for second year, now with an introduction of a monthly review. Azure Security services are being expanded. IT staff attended Cyber Incident Response Planning Course.			High 15	Stayed the same	We now have 3 certified staff for Cyber Incident Response Planning and have ongoing work to update the Cyber incident plan and the support documentation.  Working with Partners we are implementing further technology to strengthen our security posture.  Additional resourcings to fill vacant posts	TBC	3	4	Med 12
	<b>Uncertain Event (Risk):</b> The Council may be at risk of loss of data or service delivery through cyber attack		Financial & Resources	4	5			3	5							
	<b>Consequence(s):</b> Loss of key systems/inability to provide key services Loss or corruption of data Financial Loss Cost/time spent to recover		Reputation													
Risk D&C2	<b>Cause:</b> If we don't have the level of resourcing to provide an effective service or deliver Corporate Objectives and the Digital Strategy	I.C.T Manager	Effects on Service			V High 20	We have several vacant posts across IT, Digital and projects and if we loose any further resources or have any sickness we will struggle to provide an effective service. We have relationships to leverage to help provide services and potential use of agencies if required. Permanant staff is a preferred option			High 15	Stayed the same	Discussions with Digital Director are progressing to build a resourcing plan within budget. Recruiting permanent staff is the preferrend option to manage costs and build a high performing team that will work towards the coporate objectives and Digital strategy delivery	TBC	2	5	Med 10
	<b>Uncertain Event (Risk):</b> The Council may be at risk of delivering an effective service		Reputation	4	5			3	5							
	<b>Consequence(s):</b> It will result in service delivery failure affecting many services across the council		Legal/Compliance													
Risk D&C3	<b>Cause:</b> Loss of availability of Business applications and access data	I.C.T. Manager	Effects on Service			V High 15	Using the principle "High Availability by design" we have invested in technology and built a digital plattform for officers the "Cloud Desktop". This has taken advantage of cloud technologies this has made the availability of business applications and access to data.			High 15	Stayed the same	We have launched a project to upgrade the Cloud desktop using the latest technologies to enure the continued availability to business applications and access to data.  Pilot projects have started and the roll out to all staff will continue through the Summer/Atumn/Winter  dependancies Risk 2	Jan-22	2	5	Med 10
	<b>Uncertain Event (Risk):</b> The Council may be at risk of delivering an effective service		Reputation	3	5			3	5							
	<b>Consequence(s):</b> Failure of providing services to customers and vulnerable people		Legal/Compliance													

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# Appendix C

## Risk Ranking Table

Brentwood Council has introduced a best practice five stage approach to Risk Management.

<b>Likelihood</b>	(5) Definite/very high	<b>Low (5)</b>	<b>Medium (10)</b>	<b>High (15)</b>	<b>Very High (20)</b>	<b>Very High (25)</b>
	(4) Very likely	<b>Low (4)</b>	<b>Medium (8)</b>	<b>High (12)</b>	<b>Very High (16)</b>	<b>Very High (20)</b>
	(3) Likely	<b>Low (3)</b>	<b>Medium (6)</b>	<b>Medium (9)</b>	<b>High (12)</b>	<b>Very High (15)</b>
	(2) Unlikely	<b>Low (2)</b>	<b>Low (4)</b>	<b>Medium (6)</b>	<b>Medium (8)</b>	<b>High (10)</b>
	(1) Highly unlikely	<b>Low (1)</b>	<b>Low (2)</b>	<b>Low (3)</b>	<b>Medium (4)</b>	<b>Medium (5)</b>
		Negligible (1)	Minor (2)	Moderate (3)	Significant (4)	Major (5)
		<b>Impact</b>				

Likelihood x Impact = Risk Score

Level of Risk	Level of Concern	Recommended review pattern
Very High 15-25	Very concerned	1-2 months
High Risk 10-15	Concerned	2-3 months
Medium Risk 4-10	Quite Concerned Risk can be tolerated at this time	3-4 months
Low Risk 1-5	Not concerned Risk accepted at this time	4-6 months

Score	Likelihood	Description
1	Highly Unlikely/ rarely happens	5% likely to happen or hasn't happened within the last 5 years
2	Unlikely/moderate	20% likely to happen or has happened once or twice in the last 5 years
3	Likely/possible	50% likely to happen or has happened once or twice in the last 24 months
4	Very likely/high	75% likely to happen or has happened at least once or twice in the last 12 months
5	Definite/very high	99% likely to happen or has happened on a regular basis over the last 12 months

Score	Impact	Effect on Service	Financial & Resources	Reputation	Legal	People	Effect on project objectives
1	Negligible	<ul style="list-style-type: none"> <li>• Small impact on customer service which may result in complaints</li> <li>• Nuisance</li> </ul>	<ul style="list-style-type: none"> <li>• Small financial loss; less than £10K</li> <li>• Negligible property damage</li> </ul>	No adverse effect on perception	No legal implication	No injury	<ul style="list-style-type: none"> <li>• Minimal impact to project</li> <li>• Minor slippage</li> </ul>
2	Minor	<ul style="list-style-type: none"> <li>• Small setback</li> <li>• Disruptive impact on service</li> <li>• Localised disgruntlement</li> </ul>	<ul style="list-style-type: none"> <li>• Noticeable financial loss; £10-£100K</li> <li>• Slight damage to one property</li> </ul>	Minimal effect to perception (e.g. minor criticism of the Council)	Breach of statutory process, duty or law resulting in possibility of legal action	Minor Injury	<ul style="list-style-type: none"> <li>• Adverse effect to project.</li> <li>• Slippage requires review finances / short term programme</li> </ul>
3	Moderate	<ul style="list-style-type: none"> <li>• Widespread disgruntlement</li> <li>• Disrupted service delivery from one service area for up to 3 days</li> <li>• Can handle but with difficulty</li> </ul>	<ul style="list-style-type: none"> <li>• Moderate financial loss £100-300K</li> <li>• Inability to deliver popular policies due to budgetary constrictions</li> <li>• Substantial damage to one part of a building</li> </ul>	Negative effect on perception, e.g. <ul style="list-style-type: none"> <li>• Criticism of the council</li> <li>• Local bad press</li> </ul>	Breach of major statutory duty or law resulting in probably legal action	RIDDOR (Reporting of Injuries, Diseases & Dangerous Occurrences Regulations (1995) Reportable major injury to an individual	<ul style="list-style-type: none"> <li>• Important impact on project or most of expected benefits.</li> <li>• Considerable slippage</li> <li>• Possible impact on overall finances / programme</li> </ul>
4	Significant	<ul style="list-style-type: none"> <li>• Intervention in a key service</li> <li>• Disruption to service delivery for one or more service areas for 3-5 days</li> <li>• Failure of an operational partnership</li> </ul>	<ul style="list-style-type: none"> <li>• Sizeable financial loss up to 50% of budget or between £300K-1M</li> <li>• Extensive damage to a critical building or considerable damage to several properties from one source</li> </ul>	<ul style="list-style-type: none"> <li>• Criticism of key process</li> <li>• Large scandal</li> <li>• High level of complaints at corporate level across several service areas</li> <li>• Adverse national media coverage</li> </ul>	Breach of law resulting in legal action against the Council which would be difficult to defend	Reportable major injuries to several people or death of an individual	<ul style="list-style-type: none"> <li>• Extreme delay</li> </ul>

Score	Impact	Effect of Service	Financial & Resources	Reputation	Legal	People	Effect on project objectives
5	Major	<ul style="list-style-type: none"> <li>• Complete breakdown in service delivery with severe, prolonged impact on customer service affecting the whole organisation</li> <li>• Failure of a strategic partnership</li> </ul>	<ul style="list-style-type: none"> <li>• A substantial failure in accountability or integrity</li> <li>• A large financial loss over 50% of budget or greater than £1M</li> <li>• Total loss of a critical building</li> </ul>	<ul style="list-style-type: none"> <li>• A vote of no confidence in one service area</li> <li>• Officer(s) &amp;/or Members forced to resign &amp;/or Audit Commission enquiry</li> <li>• Substantial adverse &amp; persistent national media coverage</li> </ul>	Breach of law resulting in legal action against the Council which would be very difficult / impossible to defend	Death of several people	<ul style="list-style-type: none"> <li>• Complete failure of project</li> </ul>

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<b>Committee(s):</b> Audit & Scrutiny Committee	<b>Date:</b> 28 September 2021
<b>Subject:</b> Formal Complaints & Performance Indicator Working Group	<b>Wards Affected:</b> All
<b>Report of:</b> Steve Summers, Strategic Director	<b>Public</b>
<b>Report Author:</b> Name: Sarah Bennett, Corporate Director – Digital & Customer Engagement Telephone: 01277 312500 E-mail: sarah.bennett@brentwood.gov.uk	<b>For Decision</b>

## 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**

**Jacqueline Van Mellaerts, Corporate Director – Finance & Resources**

**01277 312829/jacqueline.vanmellaerts@brentwood.gov.uk**

4. There are no direct financial implications from this report.

### **Legal Implications**

**Amanda Julian, Corporate Director – Law & Governance**

**01277 312705/amanda.julian@brentwood.gov.uk**

5. 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**

**Phil Drane, Corporate Director – Planning & Economy**

**01277 312610/philip.drane@brentwood.gov.uk**

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

## **Background Papers**

None

## **Appendices to this report**

Appendix A: Formal Complaints and Performance Indicator Working Group Report

Appendix B: LGO Annual Review Letter 2020/21

**Date: 28 September 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 – Corporate Director – Digital & Customer Engagement

#### **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**

4<sup>th</sup> August 2021

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 the remainder of 2021/22.

R.2 - That the working group continue to monitor the outcomes of the Performance Indicators for the remainder of 2021/22.

## **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**

<b>Recommendation 1</b>
That the working group continue to monitor the outcomes of the Formal Complaints for the remainder of 2021/22.
<b>Explanation</b>
To continue to monitor formal complaints quarterly to identify common themes, trends or concerns.
<b>Recommendation 2</b>
That the working group continue to monitor the outcomes of the Performance Indicators for the remainder of 2021/22.
<b>Explanation</b>
To monitor associated annual or quarterly trends and identify areas of performance concern.

**Performance Indicators and Formal Complaints Working Group  
Minutes of Meeting 4<sup>th</sup> August 2021 18:30  
Virtual via Microsoft Teams**

**Present:** Cllr Charles Nolan (CN), Cllr D Naylor (DN), Cllr Dr T Barrett (TB)

**Also present:** Steve Summers (SS) – Strategic Director  
Sarah Bennett (SB) – Director of Digital & Customer Engagement

**Apologies:** Cllr Roger Hirst (RH), Cllr Sandy Tanner (ST), Greg Campbell, Phil Drane, Amanda Julian, Tracey Lilley, Jacqui Van Mellaerts

**1. Welcome**

The Chair welcomed all present to the meeting, which was the first of the financial year.

**2. Terms of Reference**

These are attached to these minutes.

**4.1 Formal Complaints**

A presentation on formal complaints received for Q4 2020/21 was provided to the working group (Addendum 3) by SS.

Overall number of complaints for 2021/22 were compared with previous years and an overall increase in Streetscene complaints was noted. This can be attributed to implementation of the new recycling scheme and an increase in complaints related to missed bins. It was noted that Revenues & Benefits complaints have decreased significantly.

A trend of no or delayed response was noted amongst Environmental Health complaints. SS explained resource issues in this area and how these are being overcome.

CN noted a theme of missed appointments by the repairs contractor amongst the Housing complaints and would be interested in comparing this to the performance reported at E, E & H committee, where KPI's suggest good performance in this area.

DN asked how we make amends for undue distress identified within complaints, specifically in relation to financial pressure. SS explained that these are dealt with on an individual basis; often an apology is issued if there is fault found and, if necessary, a compensation policy can be implemented.

A presentation on formal complaints received for Q1 2021/22 was then provided to the working group (Addendum 3a) by SS.

Further complaints in relation to missed repairs appointments was noted and CN requested further understanding on the process for missed appointments

**Action:** TL to address at future working group

An improvement in street scene complaints was noted by the group.

The working group then reviewed outstanding Local Government Ombudsman (LGO) and Housing Ombudsman complaints, as well as the LGO's Annual Review letter for 2020/21 (Appendix B). Outcomes of outstanding investigations will continue to be reported to the working group as 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 Q4 2020/21 and Q1 2021/22 (Addendum 4).

A review of PI's was conducted in June 2021 and, as a result, some revised PI's have been included for 2021/22. Some targets have also been refreshed.

In GC's absence, separate tonnages for each waste stream could not be provided with the waste and recycling PI's (as requested at previous working groups).

**Action:** GC will report these for Q1 and Q2 at the next Working Group.

In relation to PI HR03 (sickness absence), CN queried whether the Council has been affected by the national increase in COVID-19 self-isolation. SS explained that, to date, the impact has been relatively small, helped by the majority of the workforce continuing to work from home. CN also noted that it was an improvement to see a breakdown of long-term sickness in the commentary.

In relation to PI P02 (% of appeals allowed) CN requested that the number of applications also be included, as well as the percentage.

**Action:** To include in the commentary for future quarters.

**Working Group Action:**

1. For the working group to continue to review progress of the quarterly Performance Indicators.

**5. Any Other Business**

None

**6. Date of next meeting**

Tuesday 9<sup>th</sup> November 2021 – 18:30

**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.





**BRENTWOOD  
BOROUGH COUNCIL**

# **Members Working Group Formal Complaints Q4 2020/21**

**Jan-Mar 2021**

# Formal Complaints received annually

Department	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
Assets	0	2	0	1	1	2	3	0
Building Control	0	0	0	0	0	0	1	0
Community Safety	0	0	0	0	0	1	1	7
Community Services	0	0	0	2	1	0	2	0
Customer Service	0	0	0	1	1	4	5	7
Democratic Services	0	0	1	1	0	0	2	1
Housing	10	11	32	30	38	47	75	66
Env Health & Licensing	0	1	1	0	1	3	4	10
Finance	0	0	0	0	0	2	0	0
Legal	3	0	2	1	0	0	0	0
Licensing	0	0	0	0	0	0	0	2
Parking	0	0	0	0	1	1	3	1
Planning	10	4	23	13	10	10	16	15
Revs & Bens	9	2	12	9	31	33	28	8
Streetscene	1	3	5	3	5	15	44	63
<b>Total</b>	<b>33</b>	<b>23</b>	<b>76</b>	<b>61</b>	<b>89</b>	<b>118</b>	<b>184</b>	<b>180</b>

# 2020/21 Formal Complaints received

Jan to Mar 2020

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Q4			
Department	Total	Upheld	%
Community Safety	3	0	0%
Customer Service	1	1	100%
Environmental Health	4	3	75%
Housing	15	5	33%
Licensing	1	1	100%
Planning	8	4	50%
Revenues & Benefits	1	1	100%
Streetscene	11	6	55%
<b>Total</b>	<b>44</b>	<b>21</b>	<b>48%</b>

YTD			
Department	Total	Upheld	%
Community Safety	7	0	0%
Customer Service	7	4	57%
Environmental Health	10	6	60%
Housing	66	26	39%
Democratic Services	1	1	100%
Licensing	2	1	50%
Parking	1	1	100%
Planning	15	5	33%
Revenues & Benefits	8	5	63%
Streetscene	63	33	52%
<b>Total</b>	<b>180</b>	<b>82</b>	<b>46%</b>

# Channel received

	Q1	Q2	Q3	Q4
Online form	50%	48%	53%	34%
Email	32%	41%	37%	39%
Website enquiry	9%	7%	5%	18%
Via LGO	4%	0%	0%	2%
Telephone	4%	0%	5%	0%
Letter	0%	4%	0%	7%

# Upheld Formal Complaints – Jan to Mar 2021

## Customer Service



No	Complaint	Stage
1	Poor line connection and handling of call by Customer Services Advisor	Stage 1 – part upheld

# Upheld Formal Complaints – Jan to Mar 2021

## Environmental Health



No	Complaint	Stage
1	No action regarding pest issues at neighbouring property despite multiple reports being made	Stage 1
2	Lack of action taken in regards to case against neighbour	Stage 2 (part upheld)
3	Officer not responding to emails	Stage 2

# Upheld Formal Complaints – Jan to Mar 2021

## Housing



**BRENTWOOD**  
BOROUGH COUNCIL

No	Complaint	Stage
1	1. Issues discovered when viewed void property were not fixed before moving in 2. Lack of communication and delays in regard to appointments 3. Outstanding issues still not resolved at time of complaint	Stage 2 – compensation offered
2	Not satisfied with service received and the delay in heating being repaired	Stage 1
3	Ongoing heating issue not fixed	Stage 2 – missed appt compensation offered
4	After bidding on 3 bedroom properties, was informed by Housing Needs team that this was incorrect and it has been changed to 2 bedroom need	Stage 1 – part upheld
5	Unprofessional conduct in emails sent from Officer	Stage 1 – part upheld

# Upheld Formal Complaints – Jan to Mar 2021

## Planning



No	Complaint	Stage
1	Enforcement breaches regarding development and ongoing maintenance at site	Ongoing
2	Handling of prior approval application	Upheld and compensation offered
3	Enforcement breaches regarding development and ongoing maintenance at site	Ongoing
4	Enforcement breaches regarding development and ongoing maintenance at site	Ongoing



# Upheld Formal Complaints – Jan to Mar 2021

## Revenues and Benefits



No	Complaint	Stage
1	Allegations of overpayment of Housing Benefit	Stage 1

# Upheld Formal Complaints – Jan to Mar 2021

## Streetscene



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No	Complaint	Stage
1	Repeated missed collection of white sacks	Stage 1
2	Repeated missed collections	Stage 1
3	No response regarding dissatisfaction with new recycling scheme	Stage 1
4	Repeated missed collections and no response to follow up questions	Stage 2
5	No response to escalating concerns regarding missed bins	Stage 2
6	No response to tree enquiry	Stage 1

# Ombudsman



	Service	LGO/HO	Complaint	Council's decision	Ombudsman outcome
1	Housing	LGO	Information provided to tenants facing eviction	Not upheld	Fault found – apology issued
2	Env Health/Planning	LGO	Handling of an alleged planning breach and contamination of land	Not upheld	No fault found
3	Streetscene	LGO	Repeat missed collections	Not upheld	Under investigation
4	Env Health	LGO	No response regarding ongoing loud music from neighbours property	Not upheld	Under investigation
5	Planning	LGO	Illegal advertising and failure to enforce	Not upheld	Decision not to investigate – insufficient injustice
6	Planning	LGO	Handling of planning application	Not upheld	Decision not to investigate – out of jurisdiction



# Members Working Group Formal Complaints Q1 2021/22

**Apr-Jun 2021**

# Formal Complaints received annually

Department	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
Assets	0	2	0	1	1	2	3	0
Building Control	0	0	0	0	0	0	1	0
Community Safety	0	0	0	0	0	1	1	7
Community Services	0	0	0	2	1	0	2	0
Customer Service	0	0	0	1	1	4	5	7
Democratic Services	0	0	1	1	0	0	2	1
Housing	10	11	32	30	38	47	75	66
Env Health & Licensing	0	1	1	0	1	3	4	10
Finance	0	0	0	0	0	2	0	0
Legal	3	0	2	1	0	0	0	0
Licensing	0	0	0	0	0	0	0	2
Parking	0	0	0	0	1	1	3	1
Planning	10	4	23	13	10	10	16	15
Revs & Bens	9	2	12	9	31	33	28	8
Streetscene	1	3	5	3	5	15	44	63
<b>Total</b>	<b>33</b>	<b>23</b>	<b>76</b>	<b>61</b>	<b>89</b>	<b>118</b>	<b>184</b>	<b>180</b>

# 2021/22 Formal Complaints received

Apr to Jun 2021

Q1			
Department	Total	Upheld	%
Assets	1	N/A	N/A
Community Services	1	N/A	N/A
Electoral Services	1	0	0%
Environmental Health	3	2	67%
Housing	21	9	43%
Planning	4	2	50%
Revenues & Benefits	2	1	50%
Streetscene	5	2	40%
<b>Total</b>	<b>38</b>	<b>16</b>	<b>42%</b>

YTD			
Department	Total	Upheld	%
Assets	1	N/A	N/A
Community Services	1	N/A	N/A
Electoral Services	1	0	0%
Environmental Health	3	2	67%
Housing	21	9	43%
Planning	4	2	50%
Revenues & Benefits	2	1	50%
Streetscene	5	2	40%
<b>Total</b>	<b>38</b>	<b>16</b>	<b>42%</b>

# 2021/22 Formal Complaints responded to within agreed timeframe Apr to Jun 2021

Q1	
Department	%
Electoral Services	100%
Environmental Health	100%
Housing	76%
Planning	50%
Revenues & Benefits	100%
Streetscene	40%
<b>Total</b>	<b>72%</b>

YTD	
Department	%
Electoral Services	100%
Environmental Health	100%
Housing	76%
Planning	50%
Revenues & Benefits	100%
Streetscene	40%
<b>Total</b>	<b>72%</b>

# Channel received

	Q1	Q2	Q3	Q4
Online form	41%			
Email	43%			
Website enquiry	11%			
Via LGO/HO	3%			
Telephone	0%			
Letter	2%			



# Upheld Formal Complaints – Apr to Jun 2021

## Assets



No	Complaint	Stage
1	No response to query requesting details of your lease agreement and rent payments	Stage 1 - ongoing

# Upheld Formal Complaints – Apr to Jun 2021

## Community Services



No	Complaint	Stage
1	Service provided by Brentwood Centre	Stage 1 - ongoing

# Upheld Formal Complaints – Apr to Jun 2021

## Environmental Health



No	Complaint	Stage
1	Mishandling of complaint regarding living in a dangerous property	Stage 2
2	No response received from multiple emails	Stage 1

# Upheld Formal Complaints – Apr to Jun 2021

## Housing



No	Complaint	Stage
1	Delay in further refund of rent overpayments	Stage 1 – £200 Compensation offered
2	Lost garage application	Stage 2 – Part upheld
3	Report of fungi in property not followed up	Stage 1
4	Delay in fixing leak in property above and repairing damage caused	Stage 1
5	Refusal to remove summer house left by previous tenant	Stage 2

# Upheld Formal Complaints – Apr to Jun 2021 Housing



No	Complaint	Stage
6	Rent refund not received	Stage 1
7	Poor customer service from contractor	Stage 1
8	Missed gas servicing appointments	Stage 1 – part upheld Stage 2 - ongoing
9	Boiler repair delays	Stage 1 – part upheld Stage 2 - ongoing

# Upheld Formal Complaints – Apr to Jun 2021 Planning



No	Complaint	Stage
1	Correspondence sent to multiple addresses with no response	Stage 1
2	Delay in contact from Officer	Stage 1 - Upheld and pre-app fee refunded

# Upheld Formal Complaints – Apr to Jun 2021

## Revenues and Benefits



No	Complaint	Stage
1	Receiving a Council Tax bill for a property no longer lived in	Stage 1

# Upheld Formal Complaints – Apr to Jun 2021

## Streetscene



No	Complaint	Stage
1	Repeated missed collections	Stage 2 (part upheld)
2	Unable to set up recycling collection	Stage 1



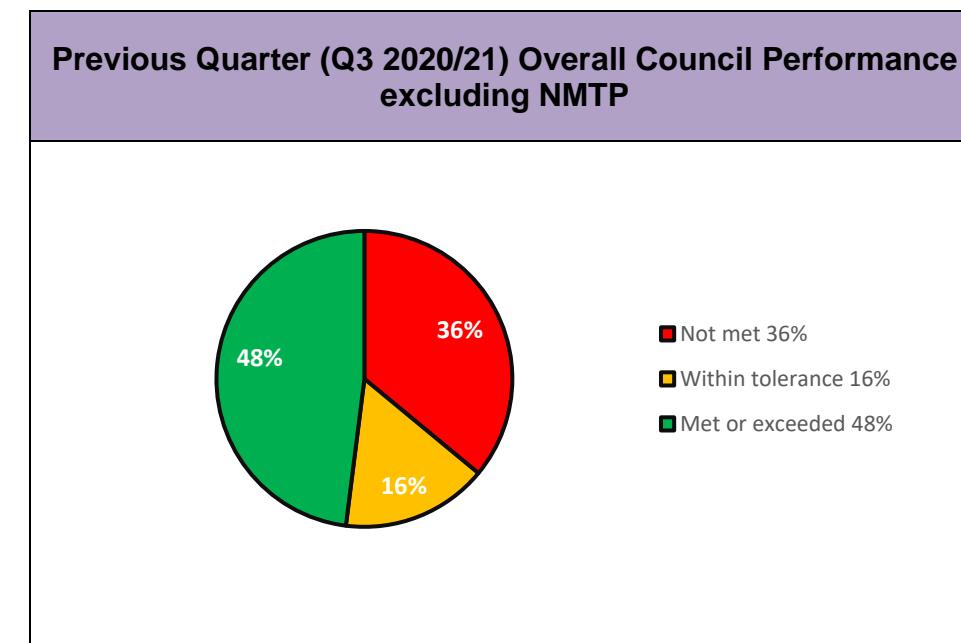
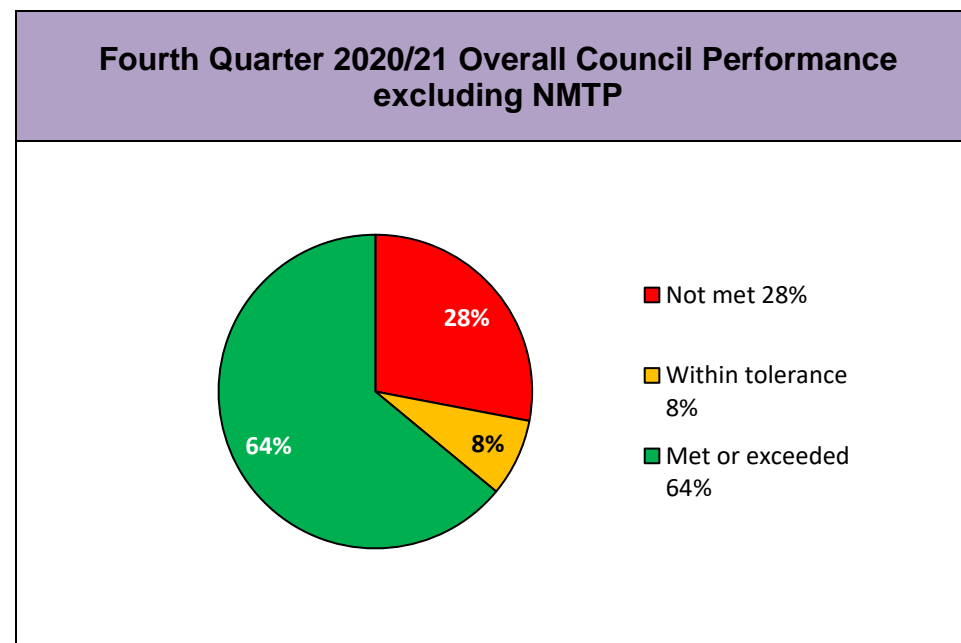
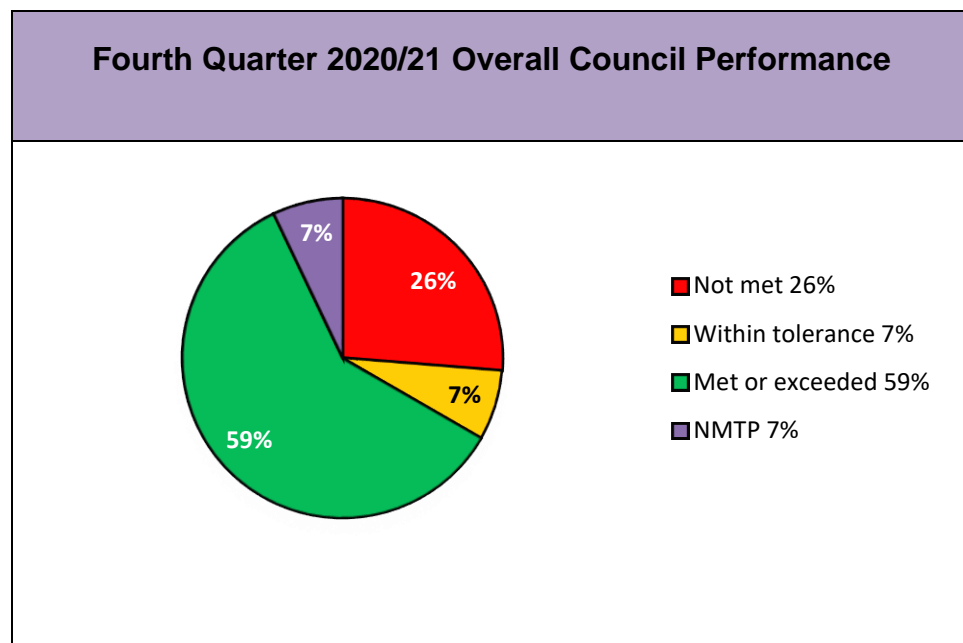
# Ombudsman



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	Service	LGO/HO	Complaint	Council's decision	Ombudsman outcome
1	Housing	HO	No action taken regarding mould and water in property	Not upheld	Under investigation
2	Planning	LGO	Breach of conditions regarding brick colour on neighboring property	Not upheld	Decision not to investigate – insufficient injustice
3	Housing	LGO	Told by housing 3-bedroom need was incorrect and should have been 2-bedroom need	Part upheld (wording in policy)	Under investigation
4	Env Health	LGO	No action taken regarding noise nuisance at neighbouring property	Part upheld	Under investigation
5	Planning/Env Health	LGO	Biased behaviour and actions from EH and Planning Enforcement	Not upheld	Decision not to investigate – unlikely to find fault

Performance Dashboard – Fourth Quarter 2020/21



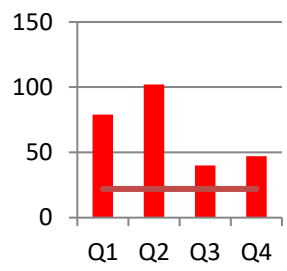




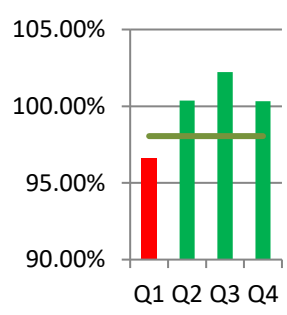




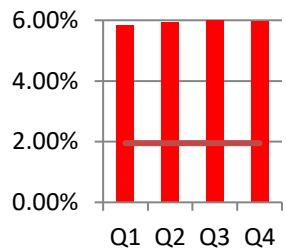




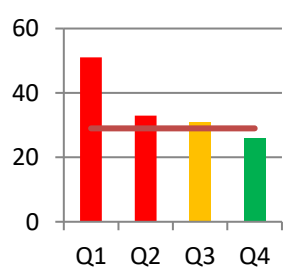




**Fourth Quarter 2020/21 Performance by Department**

Dept.							NMTP		Total
	No	%	No	%	No	%	No	%	
Contact Centre	0	0%	0	0%	4	100%	0	0%	4
Environmental Health	0	0%	0	0%	0	0%	1	100%	1
Finance	2	100%	0	0%	0	0%	0	0%	2
Housing	2	33%	0	0%	4	67%	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	1	20%	0	0%	3	60%	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
<b>Total</b>	<b>7</b>	<b>26%</b>	<b>2</b>	<b>7%</b>	<b>16</b>	<b>59%</b>	<b>2</b>	<b>7%</b>	<b>27</b>
<i>Previous Quarter Total</i>	<i>9</i>	<i>33%</i>	<i>4</i>	<i>15%</i>	<i>12</i>	<i>44%</i>	<i>2</i>	<i>7%</i>	<i>27</i>

**Key**



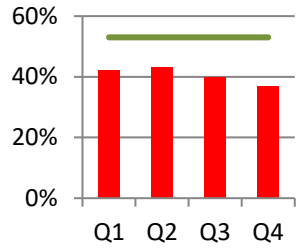


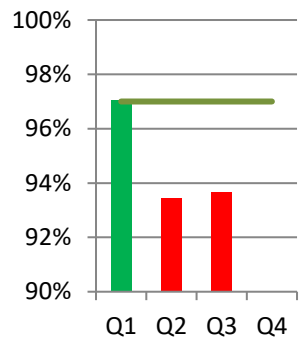


	Current performance is below target by more than the specified target deviation.
	Current performance is below target but is within tolerance.
	Current target has been met or exceeded.
NMTP	Not measured this period.
	Performance for the quarter or year to date is improving (up) or deteriorating (down) 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
			Q1 Result	Q2 Result	Q3 Result	Q4 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	79 Days (60 Days GN, 98 Days SH, 105 TA)	102 Days (81 Days GN, 109 Days SH, 121 Days TA)	40 Days (38.5 Days GN, 38.5 Days SH, 66 Days TA)	47 days (41.6 Days GN, 54.7 Days SH)	22 days	 		67 days (average)	22 days	 	Void turnaround remains good considering our current circumstances. There has recently been a small review of the letting and sign-up process, which should see us with better results as we move through the new fiscal year. We are due to have a larger review of the entire termination process later this year as we believe we can greatly reduce void days by putting better pre-termination guidance in place.
Housing H02	% Rent collected from current tenants only as a percentage of rent due	Monthly	96.63%	100.36%	102.22%	100.32%	98.05%	 		99.8%	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	5.83%	5.93%	6.02%	5.96%	1.95%	 		5.9%	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	51	33	31	26	29	 		35	29	 	TA figures have continued to reduce however we have experienced an increase in the demand for temporary accommodation towards the end of March. We anticipate a large influx of applicants once courts resume and our homeless team have identified multiple applicants who have section 21 notices awaiting court dates. We will continue to focus on current cases in TA to ensure move on continues at a steady pace to ensure resources are available once demand inevitably increases.

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q1 Result	Q2 Result	Q3 Result	Q4 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Housing H05	Gas servicing in Council homes	Quarterly	97.58%	99.63%	99.63%	100%	100%	✔		99.21%	100%	⚠	During lockdown we had the opportunity to scrutinise accounts regularly to keep frequent contact with tenants. This, coupled with the fact a lot more tenants were available from home has meant our performance has been particularly good.
Housing H06	Level of Arrears at the end of quarter	Quarterly	£760,560	£749,775	£759,199	£709,551	Reduction from previous quarter	✔		£709,551	Reduction from previous quarter	✔	We continue to see decreases in the arrears for accounts without welfare support, but we are starting to see increases in the debt attributed to newer Universal Credit applications. This is also being compounded by the increase in the amount of re-let's that we have managed to process within the last quarter. Despite us trying to intervene early, in a lot of cases an assessment period is causing delays in payments to accounts. In addition to this, all of our higher arrears cases are still pending court action and applications evictions have now been suspended until the end of July.



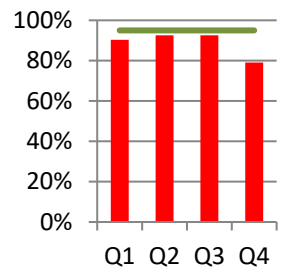




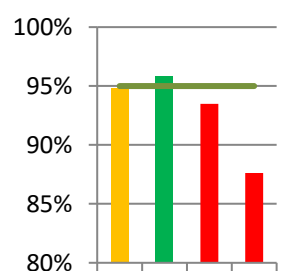




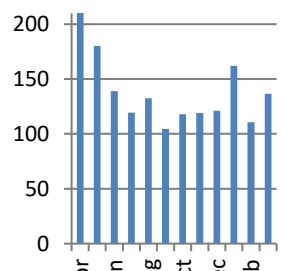


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Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q1 Result	Q2 Result	Q3 Result	Q4 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Street Scene and Environment E01	Residual household waste per household	Quarterly	149.25kg	137.41kg	139.09kg	137.81kg	109kg	⚠		562.85 kg cumulative	109kg	⚠	<p>Estimated as statistics to be verified by ECC.</p> <p>2019/20 actuals – - 469kg per household (ECC -33,834 households, estimated 488kg)</p> <p>Residual waste has risen nationally in response to COVID-19 and more people being at home, ecommerce etc</p> <p>Q1 over estimated – actual 136.10 kg</p>

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q1 Result	Q2 Result	Q3 Result	Q4 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	42.10%	43.16%	39.96%	37.0%	53.00%	 		40.65% average	53.00%	 	Estimated as statistics to be verified by ECC 2019/20 actuals – 42.9% (estimated 41.8%)
Environmental Health EH01	Food safety/hygiene standards in food premises	% of broadly compliant food premises - Quarterly	97.05%	93.44%	93.68%	See commentary	97%			94.7%	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 Q3 20-21 we are inspecting food businesses starting the highest risk premises, including new premises. We are beginning to catch up on inspections of previously registered new businesses. However the number of new premises registering with us is still higher than in previous years (pre-COVID).</p> <p>I am unable to report for Q4 as the report we have always used is no longer accessible. We are discussing with our managers and IT support in Thurrock as to whether a new report can be created to give the same indicators.</p>



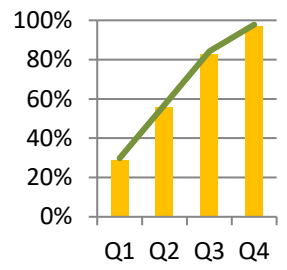




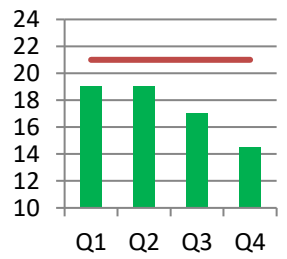




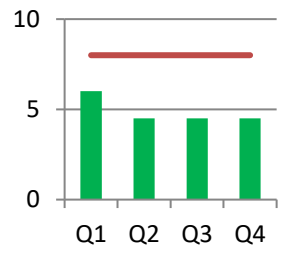


# Brentwood Borough Council - Performance Indicator Dashboard

# Addendum 4

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q1 Result	Q2 Result	Q3 Result	Q4 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	90.42%	92.61%	92.54%	79.09%	95%	 		88.7%	95%	 	Very poor results in January and March caused the issues in the low scores. Particular officers were highlighted to management that caused the disparity in the scores and were advised to take to SLT to help improve future scores
Finance F02	% of invoices from all suppliers paid within 30 days	Monthly	94.85%	95.85%	93.48%	87.61%	95%	 		92.9%	95%	 	As above, very poor results in January and March caused the issues in the low scores. Particular officers were highlighted to management that caused the disparity in the scores and were advised to take to SLT to help improve future scores
Human Resources HR03	Number of days sickness lost per month	Monthly	Apr 213 May 180 Jun 139	Jul 119.5 Aug 132.5 Sep 104.5	Oct 118 Nov 119 Dec 121	Jan 162 Feb 110.5 Mar 136.5	No target.	 		1655.5 days	No target.	 	This PI reflects the number of working days lost to sickness each month.



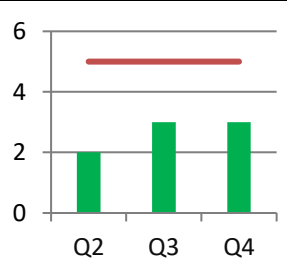




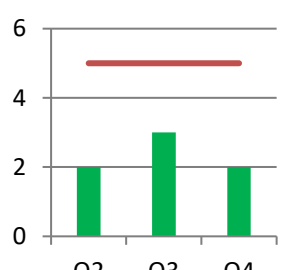




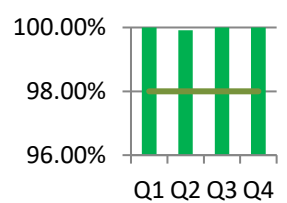




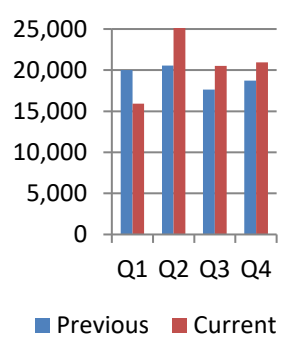


# Brentwood Borough Council - Performance Indicator Dashboard

# Addendum 4



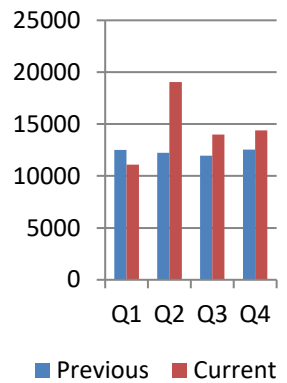




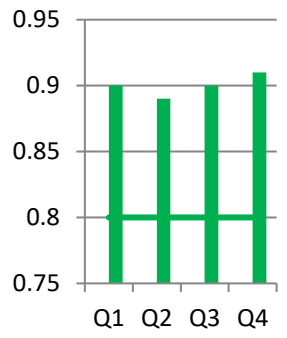




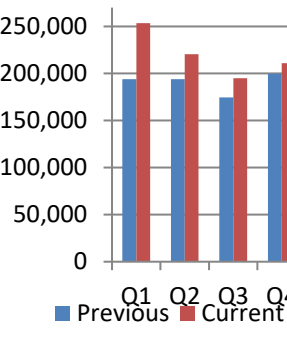


Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q1 Result	Q2 Result	Q3 Result	Q4 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Revs & Bens CT01	Council Tax collection	Monthly	28.6%	55.6%	82.9%	97%	97.8%	 		97%	97.8%	 	We continue to be under target and in comparison to the same period last year. There has been a huge influx in Test & Trace applications for those having to comply with the NHS self isolate process. During February SMS text messages were sent as well as formal Reminder Notices. The back office team are still receiving comments from customers saying they believed they didn't have to pay their council tax this year or had a payment holiday. Together with some complaints as to why a Reminder Notice was not issued earlier. We have already seen payments being made for the new 2021/22 charge.
Revs & Bens CT03	Housing Benefit and Pensioner Council Tax Support - time taken to process <b>new</b> claims	Quarterly	19 days	19 days	17 days	14.5 days	21 days	 		17.5 days	21 days	 	We have dedicated officers working on new claims to ensure these are processed in a timely manner and 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	6 days	4.5 days	4.5 days	4.5 days	8 days	 		5 days	8 days	 	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

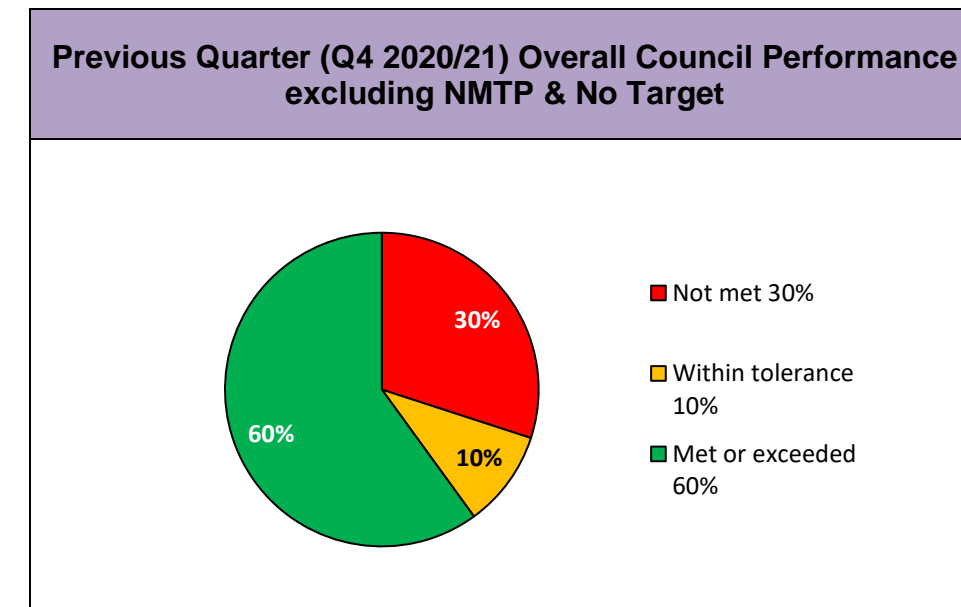
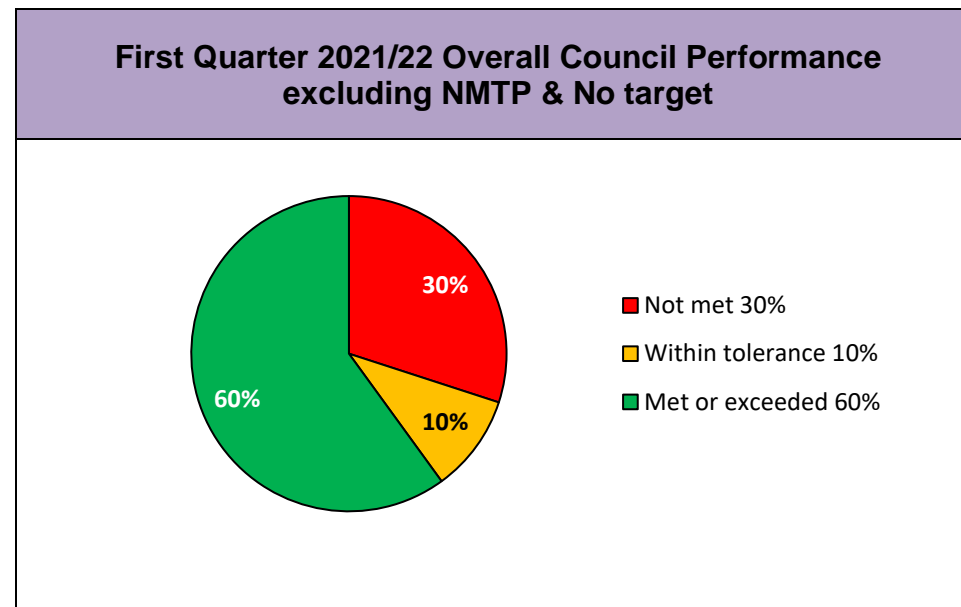
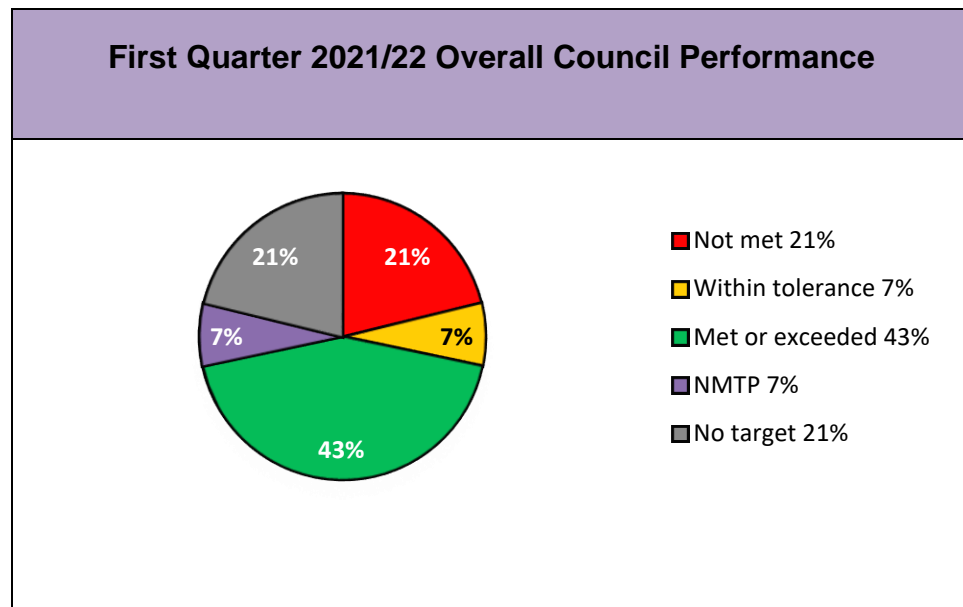
Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q1 Result	Q2 Result	Q3 Result	Q4 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Revs & Bens CT07	Council Tax Reduction scheme for working age persons - time taken to process <b>new</b> applications	Quarterly	2 days	2 days	3 days	3 days	5 days	 		2.5 days	5 days	 	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.
Revs & Bens CT08	Council Tax Reduction scheme for working age persons - time taken to process change of circumstances	Quarterly	3 days	2 days	3 days	2 days	5 days	 		2.5 days	5 days	 	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.
IT CT01	Website uptime	Quarterly	100%	99.91%	100%	100%	98%	 		99.75%	98%	 	Web service availability has been consistently stable throughout 2020/21
Contact Centre CC01	Telephone calls received via auto attendant	Quarterly	15,921	25,203	20,318	20,949	No target.	 		82,250	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>Calls have remained higher than 19/20 for the third quarter running. The YTD result is 7% higher.</p>



Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q1 Result	Q2 Result	Q3 Result	Q4 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	11,096	19,061	13,996	14,385	No target.	 		58,538	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	90%	89%	90%	91%	80%	 		90%	80%	 	Consistent performance throughout 20/21.  Monthly meetings are held with the service areas to identify areas of improvement and training needs.
Contact Centre CC04	Website sessions	Quarterly	253,398	220,531	194,879	211,054	No target.	 		879,862	No target.	 	<p>Website sessions are defined as:</p> <p>A session is the period time a user is actively engaged with your website. All usage data (Screen Views, Events, Ecommerce etc) is associated with a session. By default, if a user is inactive for 30 minutes or more, any future activity is attributed to a new session. Users that leave your site and return within 30 minutes are counted as part of the original session.</p> <p>Website sessions remain significantly higher than the previous year (23% increase). 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. The 3rd quarter sees an increase of 11.60% compared to the same period last year.</p>

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2020/21 Year to Date			Commentary
			Q1 Result	Q2 Result	Q3 Result	Q4 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	NMTP	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 the 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	25%	38.3%	41.2%	39.9%	31%		35.8%	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. An 'Appeals Update' is presented to Planning Committee which started on Feb 2021 to provide more detail on appeals.	
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%	98%	98%	97.3%	70%		97%	70%		Consistently high performance. Processes/performance are 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	98%	99.7%	95.8%	99.1%	80%		99.7%	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.	

Performance Dashboard – First Quarter 2021/22





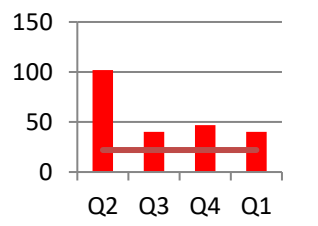




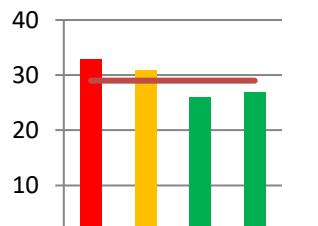




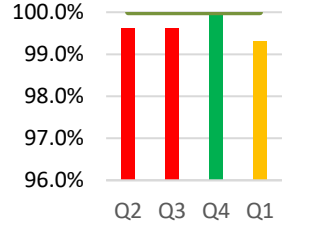



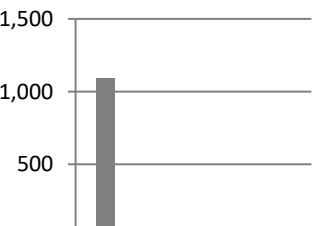

First Quarter 2021/22 Performance by Department



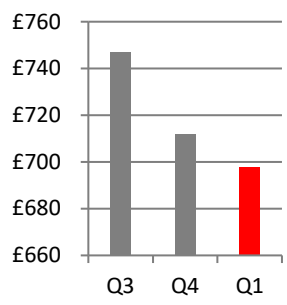


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									NMTP		Total
	No	%	No	%	No	%	No	%	No	%	No
Contact Centre	0	0%	0	0%	1	33%	2	67%	0	0%	3
Environmental Health	0	0%	1	50%	0	0%	0	0%	1	50%	2
Finance	1	33%	0	0%	1	33%	1	33%	0	0%	3
Housing	2	40%	1	20%	1	20%	1	20%	1	20%	6
Human Resources	0	0%	0	0%	0	0%	1	100%	0	0%	1
Planning	1	17%	0	0%	4	66%	1	17%	0	0%	6
Revenues and Benefits	0	0%	0	0%	5	100%	0	0%	0	0%	5
Street Scene and Environment	2	100%	0	0%	0	0%	0	0%	0	0%	2
<b>Total</b>	<b>6</b>	<b>21%</b>	<b>2</b>	<b>7%</b>	<b>12</b>	<b>43%</b>	<b>6</b>	<b>21%</b>	<b>2</b>	<b>7%</b>	<b>28</b>
Previous Quarter Total	7	26%	2	7%	16	59%	0	0%	2	7%	27



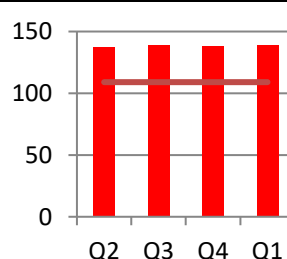




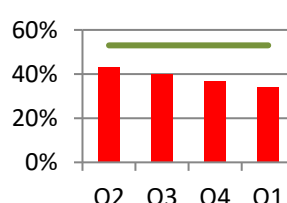


Key

	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.
	No target
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				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 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	Quarterly	102 Days (81 Days GN, 109 Days SH, 121 Days TA)	40 Days (38.5 Days GN, 38.5 Days SH, 66 Days TA)	47 Days (41.6 Days GN, 54.7 Days SH)	40 Days (34.5 Days GN, 34.5 Days SH, 58 Days TA)	22 days	 		40 Days	22 days	 	Void turnaround remains good considering our current circumstances. There has recently been a small review of the letting and sign-up process, which should see us with better results as we move through the new fiscal year.
Housing H04	Households living in temporary accommodation	Quarterly	33	31	26	27	29	 		35	29	 	We have experienced an increase in placements in the last quarter partially due to COVID restrictions being relaxed and evictions starting to resume. We have also seen an increase in care leaver approached and hospital discharges during this period. We are currently forecasting an increase in placements as courts begin to process the backlog in housing cases and more households begin to approach with possession orders.
Housing H05	Gas servicing in Council homes	Quarterly	99.63%	99.63%	100%	99.31%	100%	 		99.31%	100%	 	LGSR (Landlord Gas Safety Record) compliance remains high and we continue to prioritise access to properties outstanding.
Housing H07	No. of applicants on the waiting list for Local Authority housing	Quarterly	NMTP	NMTP	NMTP	1,091	No target			1,091	No target		This is a new PI for 2021/22.  Housing register : 736 Transfer register : 345  We are introducing a new allocations policy from 1st September 2021 and, as part of the implementation of the new policy, applicants will be required to re-register to confirm they remain eligible for the housing register. The most significant amendment to the policy is to the local connection criteria and we anticipate that this will result in a reduction to the waiting list to approximately 506 applicants (subj to assessment).



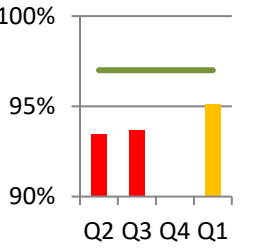


Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Housing H08	Average Rent Arrears Total (Current Tenants, Garages)	Quarterly	NMTP	£746,953	£712,342	£698,450	£650,000	 			£650,000	 	<p>Previously H06 Level of Arrears at end of quarter</p> <p>New PI - Average collection of rent for the last year has been high in comparison to former years. There has been a gradual decrease in the total average rent arrears and there is a direct correlation between actions on accounts and collection.</p> <p>We have experienced resourcing issues last quarter which has meant we have had to reduce the number of staff processing cases to fortnightly rather than weekly. We are already seeing a plateau in collection, and I expect there will be a slight increase in arrears next quarter.</p>



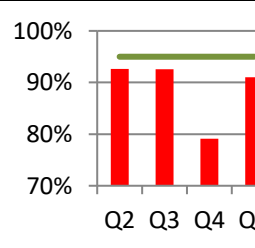


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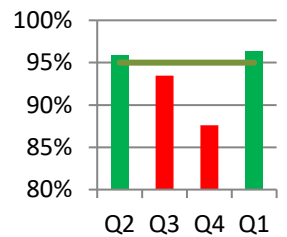



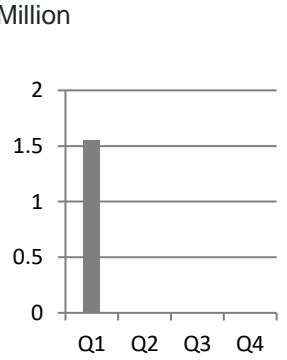



Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Street Scene and Environment E01	Residual household waste per household	Quarterly	137.41kg	139.09kg	137.81kg	139.11kg	109kg	 		139.11kg	109kg	 	<p>Estimated as statistics to be verified by ECC.</p> <p>2019/20 actuals – 469kg per household (ECC -33,834 households, estimated 488kg)</p> <p>Residual waste has risen nationally in response to COVID-19 and more people being at home, ecommerce etc</p> <p>Q1 over estimated – actual 136.10 kg</p>
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	43.16%	39.96%	37.0%	34.19%	53.00%	 		34.19%	53.00%	 	<p>Estimated as statistics to be verified by ECC</p> <p>2019/20 actuals – 42.9% (estimated 41.8%)</p>

# Brentwood Borough Council - Performance Indicator Dashboard

# Addendum 4

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Environmental Health EH01	Food safety/hygiene standards in food premises - % of broadly compliant food premises	Quarterly	93.44%	93.68%	See commentary	95.1%	97%	 		95.1%	97%	 	Our Q1 result falls slightly short of our target of 97%. This is due to a large number of new premises registering with us during COVID-19 (well over double that we would get in a year pre-COVID) and a delay in us inspecting premises due to being engaged in COVID-19 work. In addition, the Food Standards Agency suspended inspections for six months during the initial stages of the Pandemic. We are therefore carrying an outstanding inspection list, which to my knowledge has never been the case at Brentwood Borough Council.
Environmental Health EH02	Service requests investigated within target time	Quarterly	NMTP	NMTP	NMTP	See commentary	5 days	NMTP	N/A	NMTP	5 days	NMTP	This is a new PI for 2021/22 and will be reported from Q2.

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 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	Quarterly	92.61%	92.54%	79.09%	91.02%	95%	 		88.7%	95%	 	Huge improvement from Q4 20/21 to Q1 21/22. Invoice numbers were decreased however we have found invoices are now being spread across to more officers, alleviating the pressure on some officers who had high numbers of invoices to process.

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Finance F02	% of invoices from all suppliers paid within 30 days	Quarterly	95.85%	93.48%	87.61%	96.38%	95%	 		92.9%	95%	 	Good improvement from Q4 20/21 to Q1 21/22. Invoice numbers were decreased however we have found invoices are now being spread across to more officers, alleviating the pressure on some officers who had high numbers of invoices to process.
Finance F03	Value of corporate debt	Quarterly	NMTP	NMTP	NMTP	£1.547m	Reduction from previous quarter				Reduction from previous quarter		<p>This is a new PI for 2021/22.</p> <p>Value of Corp Debt was relatively high due to £848k value being akin to invoices with SAIL that were not repaid at 1<sup>st</sup> July 2021. These invoices have since been repaid and the Corp Debt level has dropped below £1m – this will be reflected in the Q2 result.</p>
Human Resources HR03	Number of days sickness lost per month	Monthly	Jul 119.5 Aug 132.5	Oct 118 Nov 119	Jan 162 Feb 110.5	Apr 104 May 184	No target.			364 days	No target.		<p>This PI reflects the number of working days lost to sickness each month.</p> <p>62% of absence figures are attributed to long term absences (28 days or more) for Q1. With the main reason for long term</p>

# Brentwood Borough Council - Performance Indicator Dashboard



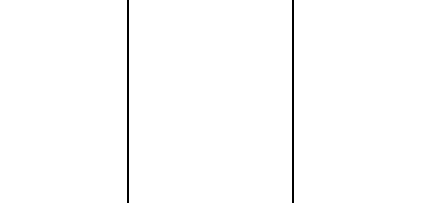




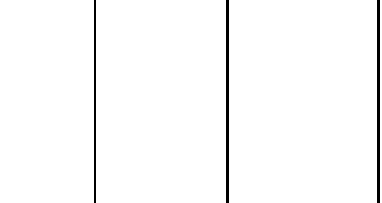




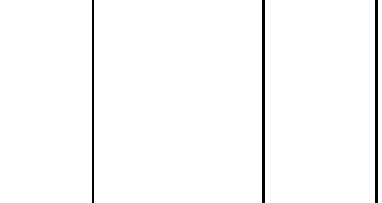


# Addendum 4



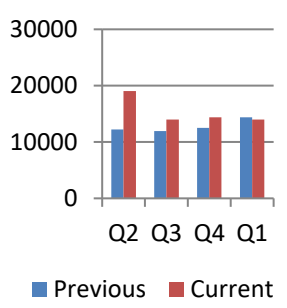




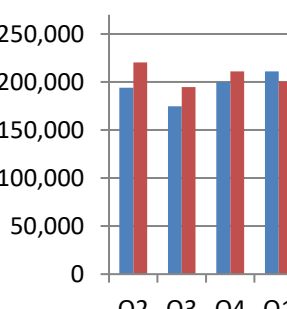



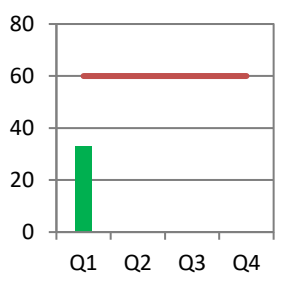

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
			Sep 104.5	Dec 121	Mar 136.5	Jun 176		↑				↑	absence being Anxiety/Depression. Over the coming months we will be targeting support to manager's in order to proactively manage absences, to explore if this will see a reduction in long term absences. A review of the Absence Management Policy will also be undertaken. In terms of short term absences the main reasons for short term absences for Q1 was Covid, Operation, Musculoskeletal as well as Mental Health conditions. We continue to offer support to all employees around their wellbeing by way of wellbeing check ins, employee assistance programme, regular 1:1s and Team meetings, Mental Health First Aiders, wellbeing teams channel, wellbeing sway site, weekly relax and stretch classes. We are also currently setting out a wellbeing action plan for the coming year.
Revs & Bens CT01	Council Tax collection	Quarterly	55.6%	82.9%	97%	29.2%	28.5%	✓		29.2%	28.5%	✓	We saw some early payments being made for the new 2021/22 charge and overall collection is above target for Q1.
								↑				↑	
Revs & Bens CT03	Housing Benefit and Pensioner Council Tax Support - time taken to process new claims	Quarterly	19 days	17 days	14.5 days	16 days	18 days	✓		16 days	18 days	✓	The target has been reduced from 21 days to 18 days for 2021/22. We have dedicated officers working on new claims to ensure these are processed in a timely manner and to ensure payments are made as quickly as possible to alleviate financial hardship.
								↓				↓	




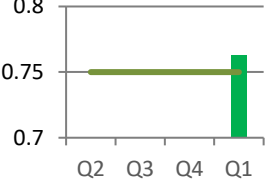

# Brentwood Borough Council - Performance Indicator Dashboard

# Addendum 4

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 Result	Q Target	Q Status/Trend	Q Graphic	YTD Result	YTD Target	YTD Status/Trend	
Revs & Bens CT05	Housing Benefit and Pensioner Council Tax Support - time taken to process Change of Circumstances	Quarterly	4.5 days	4.5 days	4.5 days	5 days	6 days	 		6 days	8 days	 	The target has been reduced from 8 days to 6 days for 2021/22, and achievement is below target for Q1.
Revs & Bens CT07	Council Tax Reduction scheme for working age persons - time taken to process <b>new</b> applications	Quarterly	2 days	3 days	3 days	3 days	3 days	 		3 days	3 days	 	The target has been reduced from 5 days to 3 days for 2021/22. We have dedicated officers working on CTR applications 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.
Revs & Bens CT08	Council Tax Reduction scheme for working age persons - time taken to process change of circumstances	Quarterly	2 days	3 days	2 days	2 days	3 days	 		2 days	3 days	 	The target has been reduced from 5 days to 3 days for 2021/22. 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.

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 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	19,061	13,996	14,385	13,969	No target.	 		13,969	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 CC04	Website sessions	Quarterly	220,531	194,879	211,054	200,356	No target.	 		200,356	No target.	 	Website sessions are defined as:  A session is the period time a user is actively engaged with your website. By default, if a user is inactive for 30 minutes or more, any future activity is attributed to a new session. Users that leave your site and return within 30 minutes are counted as part of the original session.  A new corporate website was launched in June 2021, which now includes Cookie consent. We will carefully monitor trends associated with this across 2021/22.
Contact Centre CC05	% calls answered within SLA	Quarterly	NMTP	NMTP	NMTP	33 seconds	60 seconds			33 seconds	60 seconds		This is a new PI for 2021/22. Benchmarking across Essex reports varying targets for time to answer. We have set our target relatively low in recognition of the important of maintaining a good level of customer service.

Dept. & PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results				2021/22 Year to Date			Commentary
			Q2 Result	Q3 Result	Q4 Result	Q1 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	NMTP	NMTP	61	No target		 2016/17: 471, 2017/18: 492, 2018/19: 291, 2019/20: 541, 2020/21: 61	61	No target		The gross number of new homes approved to be built in the Borough. Approvals for new homes help towards the Borough's supply of homes, specifically the required five-year housing supply (published annually). The total for 2020/21 is lower than previous years. This is likely due to an increase in extensions to existing dwelling since the pandemic, lack of available land (we need the Local Plan to be adopted to unlock green belt sites) and people turning their focus to home renovations.  In 2019/20 a total of 541 new dwellings were approved, compared to 291 in 2018/19.
Planning P02	% of appeals allowed against the authority's decision to refuse planning applications	Quarterly	38.3%	41.2%	39.9%	53.3%	31%	 	 Q2: 38.3%, Q3: 41.2%, Q4: 39.9%, Q1: 53.3%	53.3%	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. An 'Appeals Update' is presented to Planning Committee which started on Feb 2021 to provide more detail on appeals.
Planning P03	Processing of planning applications as measured against targets for 'Major' application types	Quarterly	100%	100%	100%	100%	50%	 	 Q2: 100%, Q3: 100%, Q4: 100%, Q1: 100%	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%	98%	97.3%	95.9%	70%	 	 Q2: 98%, Q3: 98%, Q4: 97.3%, Q1: 95.9%	95.9%	70%	 	Consistently high performance. Processes/performance are 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	99.7%	95.8%	99.1%	99.1%	80%	 	 Q2: 99.7%, Q3: 95.8%, Q4: 99.1%, Q1: 99.1%	99.1%	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.

Planning P06	Percentage of planning applications approved	Quarterly	NMTP	NMTP	NMTP	76.3%	75%			76.3%	75%		This is a new PI for 2021/22 and reports approvals of all PS1 and PS2 applications (i.e. excl. pre-applications)
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21 July 2021

*By email*

Mr Summers  
Interim Head of Paid Service  
Brentwood Borough Council

Dear Mr Summers

### **Annual Review letter 2021**

I write to you with our annual summary of statistics on the decisions made by the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2021. At the end of a challenging year, we maintain that good public administration is more important than ever and I hope this feedback provides you with both the opportunity to reflect on your Council's performance and plan for the future.

You will be aware that, at the end of March 2020 we took the unprecedented step of temporarily stopping our casework, in the wider public interest, to allow authorities to concentrate efforts on vital frontline services during the first wave of the Covid-19 outbreak. We restarted casework in late June 2020, after a three month pause.

We listened to your feedback and decided it was unnecessary to pause our casework again during further waves of the pandemic. Instead, we have encouraged authorities to talk to us on an individual basis about difficulties responding to any stage of an investigation, including implementing our recommendations. We continue this approach and urge you to maintain clear communication with us.

### **Complaint statistics**

This year, we continue to focus on the outcomes of complaints and what can be learned from them. We want to provide you with the most insightful information we can and have focused statistics on three key areas:

**Complaints upheld** - We uphold complaints when we find some form of fault in an authority's actions, including where the authority accepted fault before we investigated.

**Compliance with recommendations** - We recommend ways for authorities to put things right when faults have caused injustice and monitor their compliance with our recommendations. Failure to comply is rare and a compliance rate below 100% is a cause for concern.

**Satisfactory remedy provided by the authority** - In these cases, the authority upheld the complaint and we agreed with how it offered to put things right. We encourage the early resolution of complaints and credit authorities that accept fault and find appropriate ways to put things right.

Finally, we compare the three key annual statistics for your authority with similar types of authorities to work out an average level of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

Your annual data will be uploaded to our interactive map, [Your council's performance](#), along with a copy of this letter on 28 July 2021. This useful tool places all our data and information about councils in one place. You can find the decisions we have made about your Council, public reports we have issued, and the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

I would encourage you to share the resource with colleagues and elected members; the information can provide valuable insights into service areas, early warning signs of problems and is a key source of information for governance, audit, risk and scrutiny functions.

As you would expect, data has been impacted by the pause to casework in the first quarter of the year. This should be considered when making comparisons with previous year's data.

### **Supporting complaint and service improvement**

I am increasingly concerned about the evidence I see of the erosion of effective complaint functions in local authorities. While no doubt the result of considerable and prolonged budget and demand pressures, the Covid-19 pandemic appears to have amplified the problems and my concerns. With much greater frequency, we find poor local complaint handling practices when investigating substantive service issues and see evidence of reductions in the overall capacity, status and visibility of local redress systems.

With this context in mind, we are developing a new programme of work that will utilise complaints to drive improvements in both local complaint systems and services. We want to use the rich evidence of our casework to better identify authorities that need support to improve their complaint handling and target specific support to them. We are at the start of this ambitious work and there will be opportunities for local authorities to shape it over the coming months and years.

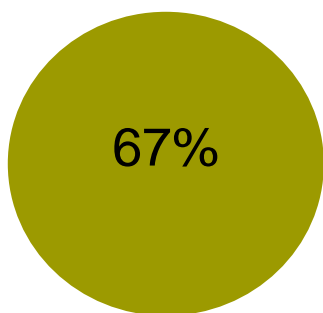
An already established tool we have for supporting improvements in local complaint handling is our successful training programme. During the year, we successfully adapted our face-to-face courses for online delivery. We provided 79 online workshops during the year, reaching more than 1,100 people. To find out more visit [www.lgo.org.uk/training](http://www.lgo.org.uk/training).

Yours sincerely,



Michael King  
Local Government and Social Care Ombudsman  
Chair, Commission for Local Administration in England

### Complaints upheld



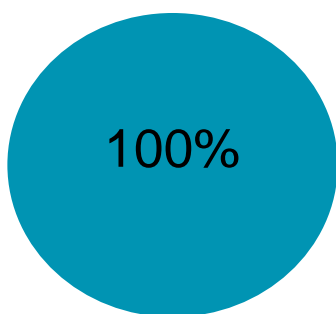
**67%** of complaints we investigated were upheld.

This compares to an average of **53%** in similar authorities.

**2**  
upheld decisions

Statistics are based on a total of 3 detailed investigations for the period between 1 April 2020 to 31 March 2021

### Compliance with Ombudsman recommendations



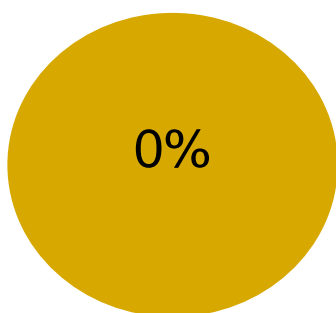
In **100%** of cases we were satisfied the authority had successfully implemented our recommendations.

This compares to an average of **100%** in similar authorities.

Statistics are based on a total of 3 compliance outcomes for the period between 1 April 2020 to 31 March 2021

- Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

### Satisfactory remedy provided by the authority



In **0%** of upheld cases we found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman.

This compares to an average of **16%** in similar authorities.

**0**  
satisfactory remedy decisions

Statistics are based on a total of 3 detailed investigations for the period between 1 April 2020 to 31 March 2021

**NOTE:** To allow authorities to respond to the Covid-19 pandemic, we did not accept new complaints and stopped investigating existing cases between March and June 2020. This reduced the number of complaints we received and decided in the 20-21 year. Please consider this when comparing data from previous years.

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<b>Committee:</b> Audit and Scrutiny Committee	<b>Date:</b> 28 September 2021
<b>Subject:</b> Local Development Plan Member Working Group Update	<b>Wards Affected:</b> All
<b>Report of:</b> Phil Drane, Corporate Director (Planning and Economy)	<b>Public</b>
<b>Report Author:</b> Name: Jonathan Quilter, Corporate Manager (Strategic Planning) Telephone: 01277 312500 E-mail: jonathan.quilter@brentwood.gov.uk	<b>For Information</b>

## 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.

## 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.
3. In addition to the working group, a separate Dunton Hills Garden Village Project Delivery Board regularly meets to provide oversight as the scheme progresses. Dunton Hills Garden Village is a key part of the Local Plan strategy for growth and so there is inevitably some cross-over between the issues discussed by the

project board and LDP Member Working Group. The project board includes representation from lead members of Brentwood Borough Council and Essex County Council, CEG as master-developer and majority land promoter, West Horndon Parish Council, and Homes England (representing the Government / Ministry of Housing, Communities and Local Government for the delivery of garden communities). The purpose and membership of the project board was approved by the Council in March 2019 (Item 383, Policy, Projects and Resources Committee, 19 March 2019).

### **Issue, Options and Analysis of Options**

4. Audit and Scrutiny Committee was last provided with a LDP Member Working Group update on 6 July 2021 (Item 76). Since then, the working group has met twice: on 14 July 2021 (see Appendix A for approved meeting notes); and 15 September 2021 (see Appendix B 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. The July meeting was the first of the 2021/22 civic year and so a revised Terms of Reference was agreed (Appendix C).
5. The Dunton Hills Garden Village Project Delivery Board has not met in the last period, although progress on the project continues including the recent submission of an outline planning application, as was reported to the LDP Member Working Group on 15 September 2021.

### **Consultation**

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

### **References to Corporate Strategy**

The Local Plan is a key vehicle for the delivery of many objectives set out within the Council's Corporate Strategy "Brentwood 2025". This includes growing our economy, protecting our environment, developing our communities, and improving housing.

### **Implications**

#### **Financial Implications**

**Name/Title: Jacqueline Van Mellaerts, Corporate Director (Finance & Resources) and S151 Officer**

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

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 (Law and Governance) and Monitoring Officer**

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

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.

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.

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).

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 (Planning & Economy)**

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

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, Corporate Manager (Communities, Leisure & Health)**

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

The Local Development Plan considers equality and diversity issues.

## **Health & Wellbeing Implications**

**Name/Title:** Jo Cory, Corporate Health & Wellbeing Officer

**Tel/Email:** 01277 312500/jo.cory@brentwood.gov.uk

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.

Delivery of the Local Development Plan is monitored through the Council's strategic risk register.

The Local Development Plan is accompanied by a Sustainability Appraisal.

## **Background Papers**

- Local Development Plan Member Working Group Update, Item 76, Audit and Scrutiny Committee, 6 July 2021
- Dunton Hills Garden Village Project Governance, Item 383, Policy, Projects and Resources Committee, 19 March 2019
- 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 Notes and Actions, 14 July 2021
- Appendix B: Local Development Plan Member Working Group Draft Notes and Actions, 15 September 2021
- Appendix C: Local Development Plan Member Working Group Terms of Reference 2021/22, July 2021

# Notes

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**Meeting:** Local Development Plan Member Working Group  
**Venue:** Online via Microsoft Teams  
**Date:** Wednesday 14 July 2021  
**Time:** 18:00-18:55

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**Members Present:** Cllr Thomas Bridge, Cllr Jon Cloke (Chair), Cllr Philip Mynott, Cllr Dominic Naylor, Cllr Olivia Sanders

**Officers Present:** Phil Drane (PD), Corporate Director of Planning and Economy  
Jonathan Quilter (JQ), Strategic Planning Manager  
Thom Hoang (TH), Senior Policy Planner  
Andrea Pearson (AP), Senior Policy Planner

**Apologies:** Cllr T Barret

## 1. Notes from last meeting

- a) Notes from the last meeting (23/03/2021) were circulated for review. This meeting was held under the 2020/21 Terms of Reference and group membership.
- b) Cllr Mynott raised a question about paragraph 2. r), regarding use of current car parks and redevelopment options, and whether the word "site" should be plural. Agreed that this would be changed to "sites".

## 2. 2021/22 Terms of Reference

- a) Proposed 2021/22 Terms of Reference shared with the group with tracked changes from the 2020/21 version.
- b) Changes include some tidying up of formatting, mention of Dunton Hills Garden Village governance framework in terms of cross-over with the working group, and membership of the group reducing from eight to six.
- c) The Terms of Reference were agreed.

## 3. Local Plan Examination Update

- a) PD provided a brief overview since the last working group meeting in March 2021, when weeks 2 - 5 of the hearing sessions had been completed and an update on the Dunton Hills Garden Village design guidance was given. The Council is shortly approaching week 6 of the hearing sessions (27, 28, 29 July). The programme for



## Notes

- week 6 has now been published online (see Local Plan examination library, document reference F137).
- b) JQ updated the working group on the examination tasks undertaken since March and leading into week 6.
  - c) The Planning Policy team has gone through a list of actions with Inspectors, submitted by two deadlines. Inspectors invited participants to comment on the published examination notes.
  - d) A Statement of Common Ground with Highways England was provided in June, outlining the work undertaken since March. General agreement has been reached for mitigation required in the worst-case scenario at M25 junction 29. However, complexity around M25 junction 28 has emerged where the Highways England Development Consent Order (DCO) scheme may not fully address the background growth of the wider area. This highlights the need for a strategic approach to significant highways mitigation schemes across a wider area (or number of authorities), rather than purely geographic location. The Inspectors have recently suggested an alternative solution in which the proposed Local Plan Review policy would include a highways clause, along with the need to review according to housing need. The Inspectors want to discuss this at the hearing session scheduled for Tuesday 27 July rather than requiring further revisions to the Statement of Common Ground.
  - e) Further evidence on air quality has been published ahead of week 6 hearing sessions. The session on Wednesday 28 July will focus on air quality. This was produced by Cambridge Environmental Research Consultants who will support the Council at the session.
  - f) On Thursday 29 July the sessions are to be between the Inspectors and the Council regarding outstanding matters. A Schedule of Modifications is in progress and the session will cover that to provide clarity on next steps.
  - g) Cllr Mynott asked if the Schedule of Modifications had been published. JQ advised not yet, the draft proposed modifications schedule (reference F9A) had been revised and picked up comments at hearing sessions. However, further updates will need to be made following week 6 sessions. A six-week public consultation period is required as part of publishing proposed modifications once hearing sessions have concluded. The Inspectors will consider responses to that consultation and may come back to the Council to address these, before finalising their report on whether the plan is sound.
  - h) Cllr Mynott asked whether it was known when the six-week public consultation would take place. JQ advised that it was not yet known, although anticipated in September at the earliest. Work is already underway to prepare for the modifications consultation and associated processes, such as commissioning an update to the Sustainability Appraisal that will need to take account of the modifications. Once dates are confirmed this will be advertised publicly. It was agreed through discussion that an all-member briefing would be useful on the modifications process once there is more clarity, likely to be in September or October.



## Notes

- i) Cllr Mynott asked if the session on 27 June would be open to the public to watch? JQ advised that the sessions would continue to be run as before, online via Teams for those invited to participate and on YouTube for anyone to watch either live or on-demand.
- j) Cllr Mynott asked if there were further documents published or to be published regarding the town centre car park sites? JQ referred to the examination notes published that answered questions raised at the hearing session (document references F73, F73A, and F95. The Schedule of Modifications will also include edits to relevant policies as required.

### 4. AOB

- a) PD updated members on the Dunton Hills Garden Village design guidance Supplementary Planning Document (SPD) work since the last working group meeting in March and following Policy, Resources and Economic Development Committee approval to consult. Public consultation has concluded. Responses are being processed and considered, these will be brought back to committee to show how comments have informed changes to the document prior to adoption. The timeframes for adoption should align with the LDP. CEG is progressing an outline application soon. This will be in advance of design guidance SPD adoption, but the masterplan framework is in place to inform the outline application. There is also options to be brought to members regarding stewardship, i.e. how the community can take ownership of their community.
- b) Cllr Mynott asked if members could be well briefed on the application given the significant scale and nature of outline applications. PD agreed this should be the subject of briefings and member involvement, the reason why dedicated resource has been provided on the project such as Justin Booij as case officer.
- c) JQ updated members on Brentwood Enterprise Park proposals. Alongside Dunton Hills Garden Village, St Modwen (delivering the enterprise park) is advancing through early stages of pre-application discussion, looking at similar timescales to CEG. There are complexities relating to the site and off-site infrastructure. St Modwen are propising to undertake some public consultation next month. Cllr Mynott asked if ward councillors would be involved in the early stages. PD advised that St Modwen would be including councillors in the engagement work, and PD confirmed he would be briefing members ahead of this. Members agreed it would be useful to set up briefing sessions on these larger applications at the early stages.

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# Notes

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**Meeting:** Local Development Plan Member Working Group  
**Venue:** Online via Microsoft Teams  
**Date:** Wednesday 15 September 2021  
**Time:** 18:00-18:45

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**Members Present:** Cllr Thomas Bridge, Cllr Jon Cloke (Chair), Cllr Philip Mynott, Cllr Dominic Naylor, Cllr Olivia Sanders

**Officers Present:** Phil Drane (PD), Corporate Director – Planning and Economy  
Jonathan Quilter (JQ), Corporate Manager – Strategic Planning  
Andrea Pearson (AP), Senior Policy Planner

**Apologies:** Cllr T Barret

## 1. Notes from last meeting

- a) Notes from the last meeting (14/07/2021) were circulated for review.
- b) No comments received.

## 2. Local Plan Examination Update and Main Modifications Consultation

- a) Overview of Local Plan examination hearings provided by JQ. This included week six of hearings held in late July and discussion about strategic highways mitigation.
- b) Outcomes from the hearing sessions include a list of modifications required to make the plan sound, such as the need for an immediate partial review of the plan (to meet longer-term housing need and highways impacts, among other things), and amendments to the housing numbers on a selection of site allocations. These are Main Modifications and are required in order to make the plan sound (i.e. the plan cannot be found sound without the main modifications).
- c) Additional Modifications are in those addition to the main modifications, these are minor in nature and include factual updates or typo corrections etc. They do not materially affect the plan.
- d) Six-week period for modifications consultation will begin later this month and end in early November. After that responses will be collated and given to the inspectors for consideration. The inspectors will then provide their conclusion on soundness via a letter, hopefully by the end of the year.
- e) If soundness is confirmed, the plan would be brought to Council for decision on adoption.



## Notes

- f) Cllr Bridge asked what would happen if the Council were to decide not to adopt the plan. JQ explained that the inspectors will only allow the Council to adopt a plan that is sound. Therefore, if the plan was not adopted then the Council would need to start over again, resulting in significant delay and cost implications. Without a plan there would be no allocations to meet housing needs (among other things), and limited up to date policies (National Planning Policy Framework complaint). This would increase the risk of Government intervention.
- g) Cllr Mynott asked about the return to original housing provision numbers for sites in Blackmore. JQ advised that the inspectors discarded the addendum of focussed changes made by the Council according to the density ratios discussed through examination and the need to make effective use of Green Belt land.
- h) Cllr Mynott asked about notifications for the modification consultation and the need for advanced warning. JQ advised that the examination process is ongoing and so the Programme Officer will be sending notifications and managing the process, with support from the Planning Policy Team. Notifications will go out as soon as possible at the beginning of the consultation.
- i) Discussion about ways to make the process as simple as possible given its technical nature. All changes will be listed in the schedule of modifications document that will be published as part of the consultation.
- j) Discussion about the options available to the inspectors following modification consultation. JQ confirmed that the inspectors will advise on the modifications that have to be made in order that the plan can be found sound. Those proposed modifications that were made through the examination hearing sessions (late 2020 and early 2021) can be ignored, the main modifications (schedule of modifications) to the submitted plan is what will be required by the inspectors.
- k) JQ confirmed that the schedule of modifications will be published when consultation begins. This has been sent via the Programme Officer to the inspectors to confirm details. This will reflect the outcomes of the public hearing sessions.
- l) An all-member briefing session is scheduled for Wednesday 22 September where officers will provide an overview of the modifications, consultation process and next steps.

### **3. Dunton Hills Garden Village Planning Application (21/01525/OUT)**

- a) PD advised that an outline planning application had been received, which was validated (and published) this week. Timeframes for determination consider anticipated adoption of the LDP (early 2022) and pre-election and local election periods (April – May 2022), meaning determination would be after this time. This is agreed through Planning Performance Agreement. This is a positive step indicating confidence of delivery and a key milestone reached.



## Notes

- b) Members requested a briefing from the applicant when appropriate, which PD will action.

#### 4. AOB

- a) None

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DRAFT

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## Local Development Plan Member Working Group Terms of Reference 2021/22

Agreed: 14 July 2021

### Purpose

1. The purpose of the Local Development Plan Member Working Group (LDP MWG), as originally agreed by the Policy, Projects and Resources Committee on the 19 September 2017, is to consider the draft Local Development Plan and associated documents before they are considered by Ordinary Council and/or Planning and Licensing Committee, as appropriate.
2. In May 2019, work on the Town Centre Design Guide was amalgamated into this group. In addition, there is a separate Dunton Hills Garden Village Governance Framework that may cross-over with the working group.
3. The working group may request further work or information to be provided to them to clarify any implications or issues that may affect the Council.

### Responsibilities

4. The key responsibilities of the working group will be to scrutinise the validity of the plan-making process and evidence base in relation to the following:
  - a) Soundness tests (positively prepared; justified; effective; and consistent with national policy);
  - b) Duty to cooperate; and
  - c) Themes (such as housing needs & delivery (including specialist needs such as Gypsies & Travellers); employment needs & delivery; Green Belt; transport infrastructure; other infrastructure; health & wellbeing; natural & built environments; and viability & deliverability).

## **Accountability**

5. The working group is an informal group. Those on the working group should provide feedback to all councillors (where information is not confidential), providing wider ownership on key stages of the plan-making process (i.e. drafting, consultation, response, adoption).

## **Membership**

6. The working group is cross-party, consisting of three Members of the administration including the Chair (3x Conservative), and three Members from opposition groups (2x Liberal Democrat, 1x Labour).
7. For 2021/22 membership is made up of: Cllr T. Barrett, Cllr Bridge, Cllr J. Cloke (Chair), Cllr Mynott, Cllr Naylor, and Cllr Sanders.

## **Frequency**

8. Meetings will be programmed to take place bi-monthly, with the option to call additional meetings to address specific issues as required.

## **Documentation and Confidentiality**

9. Agenda and supporting documentation will typically be issued at least one week before the meeting, unless this is not possible or items are to be tabled at the meeting due to confidentiality, in which case the Chair will advise Members of the Working Group beforehand.
10. Regular feedback and briefing to the Working Groups constituent members' political groups is the responsibility of member representatives and should be used as a way of ensuring wider ownership and support for the Plan documents as they are developed.
11. However, papers and discussions on the draft Local Development Plan and associated planning documents are considered confidential and whilst they should be discussed with other Members of the Council, the papers and discussion are not to be raised with anyone outside this remit.

## **Support**

12. The working group will be supported by the Corporate Director of Planning and Economy, Strategic Planning Manager and other officers as required.

# Agenda Item 8

<b>Committee(s):</b> Audit and Scrutiny	<b>Date:</b> 28 September 2021
<b>Subject:</b> Scrutiny Work Programme 2021/22	<b>Wards Affected:</b> All
<b>Report of:</b> Steve Summers, Strategic Director (Deputy Chief Executive)	<b>Public</b>
<b>Report Author/s:</b> Name: Steve Summers Telephone: 01277 312500 E-mail: steve.summers@brentwood.gov.uk	<b>For Decision</b>

## 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, as requested at the last Audit & Scrutiny Committee (min 77 refers) attached at Appendix B for information are the minutes of the Brentwood Leisure Trust Working Group held on the 10th August 2021.

## Recommendation(s)

**R1. That the Committee considers and agrees the 2021/22 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. At the Annual Council it was agreed that the committee structure would include the introduction of an Audit & Scrutiny Committee.
2. 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. 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. The Scrutiny work programme should not include management or staffing, issues which are the responsibility of the Head of Paid Service.

### **Reasons for Recommendation**

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

### **Consultation**

None

### **References to Corporate Plan**

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, Corporate Director (Finance & Resources) and Section 151 Officer**

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

There are no direct financial implications arising from this report.

#### **Legal Implications**

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

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

There are no direct legal implications arising from this report.

#### **Economic Implications**

**Name/Title: Phil Drane, Corporate Director (Planning & Economy)**

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

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.

None

### **Background Papers**

None



## **Appendices to this report**

- Appendix A: Draft Scrutiny Work Programme – September - 2021/22
- Appendix B: Brentwood Leisure Trust Members Working Group minutes – 10 August 2021

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**Sep-21**

**Audit & Scrutiny Committee**

**2021-22 Draft Scrutiny Work programme**

Subject Matter	July	August	September	October	November	December	January	February	March
<b>Local Development Plan</b>	Report to committee		Report to committee			Report to committee			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 2021/2022	Cllrs Cloke, Cllr Bridge, Mynott, Naylor, Dr Barrett and Sanders.								
<b>Detailed timeline</b>									
1. Working Group Meetings - 14th July 2021 and 15th September 2021									
2. Report to Audit & Scrunity Committee - 28th September 2021									
3. Working Group Meeting - 10th November 2021									
4. Report to Audit & Scrunity Committee - 7th December 2021									
5. Working Group Meeting - 19th January 2022									
6. Report to Audit & Scrunity Committee - 8th March 2022									

Subject Matter	July	August	September	October	November	December	January	February	March
<b>Performance and Formal Complaints</b>	Collate Data	Member Working Group	Report to Committee	Collate Data	Member Working Group	Report to Committee	Collate Data	Member working Group	Report to Committee
Membership 2021/2022	Cllrs Nolan, Tanner, Hirst, Dr Barrett, Naylor								
<b>Detailed timeline</b>									
1. Working Group meeting - 4th August 2021									
2. Report to Audit & Scrunity Committee - 28th September 2021									
3. Working Group meeting - 9th November 2021									
4. Report to Audit & Scrunity Committee - 7th December 2021									
5. Working Group meeting - 8th February 2022									
6. Report to Audit & Scrunity Committee - 8th March 2022									
Subject Matter	July	August	September	October	November	December	January	February	March
<b>Community Safety Partnership</b>	Report to Committee								
<b>Detailed timeline</b>									
1. Report to Audit & Scrutiny Committee - 5th July 2021									
Subject Matter	July	August	September	October	November	December	January	February	March
<b>Housing R&amp;M Contractor</b>			Report to Committee						
<b>Detailed timeline</b>									
Membership 2021/2022	Cllrs Nolan, Tanner and Fulcher.								
1. Report to Audit & Scrutiny Committee - 24th November 2020									
2. Working Group Meeting - 13th September 2021									
3. Report to Audit & Scrutiny Committee - 28th September 2021									
Subject Matter	July	August	September	October	November	December	January	February	March
<b>Brentwood Leisure Trust</b>		Member Working Group				Report to Committee			
Scope	To determine lessons that can be learnt from the process 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.								
Membership 2021/2022	Cllrs Tanner, Hones, Poppy, Fulcher, Naylor and Dr Barrett.								
<b>Detailed timeline</b>									
1. Report to Audit & Scrutiny Committee - 26th January 2021									
2. Working Group Meeting - 3rd March 2021									
3. Working Group Meeting - 10th August 2021									
4. Working Group Meeting - To be confirmed.									



## MINUTES

### Brentwood Borough Council Audit & Scrutiny Committee Brentwood Leisure Trust Working Group

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Date: 10<sup>th</sup> August 2021  
Time: 6.30 pm  
Venue: Teams

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**Attendance:**

**Cllrs:**

Tanner (Chair)  
Dr. Barrett  
Fulcher  
Hones  
Naylor  
Poppy

**Officers:**

Steve Summers	Strategic Director - (Deputy Chief Executive) (SS)
Amanda Julian	Corporate Director (Law & Governance) (AJ)
Kim Anderson	Corporate Manager (Communities, Leisure & Health) (KA)
Phoebe Barnes	Corporate Manager (Finance) (PB)
Zoe Borman	Governance and Member Support Officer

1. Apologies for absence

No apologies were received.

2. Initial Brentwood Leisure Working Group report - introduction

- 2.1 SS presented the working group with a report, that had been circulated prior to the meeting together with appendices, that provided an introduction and information on the process and background for the Council's original decision for the Brentwood Leisure Trust (BLT) and its Trading company (BLTL). In addition, the report provided details on the lease arrangements and BLT's 2019 financial position.

- 2.2 The report advised that at the 24<sup>th</sup> November 2020 Audit and Scrutiny Committee Cllr Dr Barrett forwarded a recommendation for the scrutiny work programme to include a review of the historic relationship between Brentwood Borough Council and the Brentwood Leisure Trust (BLT) and lessons learnt for the future. This document was attached as Appendix A to the report before the working group.
- 2.3 Subsequently, the cross-party Members Working Group met on the 3<sup>rd</sup> March 2021 and identified the initial questions/information they would like to see. (Minutes of that meeting and the questions/information requested were attached as Appendix B and C respectively to the report).
- 2.4 SS advised that it was intended that Officers will provide several reports to answer the questions and provide information as requested by members over a series of meetings to enable the review to be concluded.
- 2.5 SS requested Members to be mindful of the fact that the information collated was over a period of 20 years and many records were unavailable or obsolete. However, officers had extracted and were continuing to extract the information required but this process was very time consuming.
3. Original process/decision
- 3.1 SS explained to the working group the process that had been undertaken to come to the original decision and is set out below.
- 3.2 Best Value was introduced by the UK Government and was adopted in England and Wales by the Local Government Act 1999. Its provisions came into force in April 2000. The aim was to improve local services in terms of both cost and quality.
- 3.3 As a result of the legislation the Council was obliged to undertake a series of Best Value review of its services. One of the key features of the Best Value regime was to critically appraise the services which were provided and why they were provided.
- 3.4 On the 3<sup>rd</sup> December 2001 a report on the Cultural Services Best Value Review was provided and approved by the Cultural Panel. This decision was subsequently ratified by the Policy Board on the 19<sup>th</sup> December 2001.



- 3.5 On the 19<sup>th</sup> June 2002 the Policy Board agreed that the Council engages the services of Leonie Cowen & Associates to assist with the options appraisal exercise for the Leisure and Cultural Services Best Value Review.
- 3.6 On the 30<sup>th</sup> September 2002 the Cultural Panel noted and agreed the Phase 2 Best Value Report and subsequently on the 4<sup>th</sup> November 2002 resolved that:
1. That the Stage 1 report from Leonie Cowen & Associates be noted, together with the service delivery options identified within that report.
  2. That members refer the 3 options in the Stage 1 report to Leonie Cowen & Associates for detailed investigation and assessment.
  3. That the market testing exercise identified in the officers report be approved and undertaken as soon as possible.
  4. That the presentations from interested providers be made in due course to the Leisure and Cultural Best Value Members Working Group comprising the Chair and Vice-Chair of the Panel and a representative from the Main Opposition Group, together with the Leader and Deputy Leader of the Council.
- 3.7 At the meetings of the Cultural Panel on the 3<sup>rd</sup> March and 11<sup>th</sup> June 2003 members noted the progress of the review.
- 3.8 On the 16<sup>th</sup> July 2003 Ordinary Council it was resolved that:
1. The Council establishes a Not for Profit Distributing Organisation for the Brentwood Centre and Shenfield Sports Centre, including the practical delivery of sports and arts development activity.
  2. That the Council allocates £100,000 from the resources available from the recent Brentwood Centre rate revaluation to assist in this respect.
  3. That the CE&TC be authorised to take all necessary action to establish the new Not for Profit Distributing Organisation, subject to further reports to Members as appropriate on detailed progress.
- 3.9 At the 16<sup>th</sup> March 2004 Cultural Panel it was resolved to appoint the Chair and Vice-Chair of the Panel, together with the Conservative group spokesperson of the panel and the member of the Labour Group to serve on the BLT member working group. The committee were informed that BLT had now been incorporated as a company limited by guarantee with its own Articles of Association and Memorandum of Association.

The Trust was to apply to the Charity Commissioners for charitable status.

- 3.10 In addition, members were advised that discussions had taken place regarding the lease and a Commercial Provider Agreement with the Trust. This latter agreement would set out in some detail the operational services to be provided by the Trust. The member working group would assist Officers in negotiations with the Trust on this document.
- 3.11 On the 15<sup>th</sup> September 2004 the Community Panel were provided with an update from the Member Working Group which included
- Performance Indicators which would have to be reported to Council by the Trust on an annual basis.
  - Monthly financial performance report to be provided to the Council.
  - Launch of the Trust to be on the 1<sup>st</sup> October 2004 with Cllr Sleep appointed as a Trust member with ten other individuals, including the Council's Chief Executive.
- 3.12 The Council in 2004 transferred its leisure provisions to BLT, the service was by way of a direct award, including the transfer of 276 staff.
- 3.13 Both the BLT and the BLTL were incorporated in 2004.
- 3.14 Included within the report were the names and positions of Executives and Board level members from its inception until 2019. Members noted the calibre of these people and their experience within the leisure industry. Members asked whether the trustees/directors' roles had been advertised. SS said he was not aware but would check.
- 3.15 Members enquired as to the appropriateness of these individuals being contacted by way of extracting further information that could assist the review. SS advised that this could be done, however, it was up to the individual if they wanted or were willing to participate. SS would review this matter with the Chair of the working group.

#### 4. Lease Arrangements

- 4.1 The report set out the lease arrangements entered into by the Council and BLT which were:

- (a) By lease and management agreement the Council leased to BLT the operation of the recreational, sporting and leisure facilities at the Brentwood Centre;
  - (b) Appointed BLT under a management agreement to provide sport and leisure facilities in various halls which the Council owns in Brentwood;
  - (c) Agreed to provide comprehensive payroll services to BLT.
- 4.2 The original lease was intended to be for 10 years expiring in 2014 however this was extended in February 2009 for a further 25 years for £1.00 rent. The agreement enabled the Council to terminate the lease by giving a minimum of 6 months written notice and the Management Agreement (agreement dated 1 October 2004 and made between the Council and BLT for a term of 10 years) would come to an end at the end of the Notice period.
- 4.3 The agreement in relation to the halls was extended in 2011. The third extension was on the 12<sup>th</sup> March 2018, the Policy, Projects and Resources Committee, resolved to extend the Grant and Service Level Agreement, which was the consolidation of the payroll service loan over 10 years and replacing the Halls Management Agreement of 2004 and the associated leases for a year.
- 4.4 Under the lease BLT were responsible for repairs, including paying one half of the proper and reasonable costs to the Council of repairing and maintaining the Car Parks. The Council were responsible for keeping the premises and landlord's fixtures and fittings in good repair and condition, except the Tenant's Repairing Parts (internal decorative finishes, floor finishes, ceiling finishes, non-load-bearing walls encompassing the Computer Room, the doors, windows and frames, all additions and improvements, all fittings and fixtures and all flat roofs and gutters). The Council were also responsible for , service media and where there is a danger to health and safety, to rebuild, replace and renew the Premises, landlord's fixtures and fittings and drainage, sewers and other service media. The Council were responsible for one half of reasonable costs to the BLT of keeping the Common Parts (main car park, both overflow car parks, the Driveways and Passageways) clean and tidy.

## 5. 2019 Financial position

- 5.1 The report provided details of the overall financial position of BLT as of 2019/20. BLT's 2019 accounts showed that their income had decreased whilst net and staff costs had increased.

5.2 The BLT and BLTL accounts were attached as Appendix I and J to the report.

5.3 Members requested an overall summary of monies granted to BLT detailing how much and when this was received.

5.4 SS advised that officers would provide further information regarding BLT's finances and Council's grants, including copies of all their accounts submitted to Companies House from 2004 to 2019 at a subsequent meeting.

6. Future meetings

6.1 SS advised that the following information would be provided to future meetings of the working group

- Finances over the period of 2004 to 2020.
- Monitoring arrangements for the period 2004 to 2020.
- Lessons learnt/the future

<b>Committee(s):</b> Audit & Scrutiny Committee	<b>Date:</b> 28 September 2021
<b>Subject:</b> Axis Annual Report 20-21	<b>Wards Affected:</b> All
<b>Report of:</b> Tracey Lilley, Corporate Director Housing & Community Safety	<b>Public</b>
<b>Report Author:</b> Name: Tracey Lilley, Corporate Director Housing & Community Safety Telephone: 01277 312500 E-mail: tracey.lilley@brentwood.gov.uk	<b>For Information</b>

## Summary

This report submits the review of the Strategic Asset Management Contract between the Council and Axis for the period April 2020 – March 2021 following presentation to the Member Working Group for consideration by the Audit & Scrutiny Committee.

## Main Report

### **Introduction and Background**

1. At a previous committee it was agreed that a cross party Member Working Group would be established to review the Axis Strategic Asset Management Contract.
2. The meeting took place on 14<sup>th</sup> September 2021 and consisted of the following members: Cllrs Nolan, Tanner and Fulcher.
3. Appendix A was presented and discussed with members of the working group.

### **Reasons for Recommendation**

To ensure the Contract between the Council and Axis is considered by Members of Audit & Scrutiny.

### **References to Corporate Plan**

The priority of 'Providing decent, safe and affordable homes for local people', and 'Support our tenants through a high quality, well managed service by ensuring the 10 year strategic asset management contract is effectively managed and our stock is maintained, safe and compliant.

### **Implications**

### **Financial Implications**

**Name/Title: Jacqueline Van Mellaerts, Corporate Director (Finance & Resources) and Section 151 Officer**  
**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 & Governance) and Monitoring Officer**  
**Tel & Email: 01277 312500/amanda.julian@brentwood.gov.uk**

There are no direct legal implications relating to this report.

#### **Economic Implications**

**Name/Title: Phil Drane, Corporate Director (Planning & Economy)**  
**Tel/Email: 01277 312500/philip.drane@brentwood.gov.uk**

There are no direct economic implications from this report. It is important that the Council maintains its housing stock to a good standard to serve residents/tenants, which can have indirect benefits to the local economy.

#### **Background Papers**

None

#### **Appendices to this report**

Appendix A: Axis Strategic Asset Review 2020-21



# Strategic Asset Management Review 2020/21

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## Contents

- Executive Summary
- Introduction
- Reactive Performance
- Customer Satisfaction
- Complaints
- Order Demand
- Voids
- Community Investment



2020 - 2021

## Executive Summary

### Positives

- + Co-location prior to pandemic
- + Longevity of staff
- + Reporting systems
- + I.T integrity
- + Void delivery
- + Increased compliance performance
- + Local employment
- + Apprenticeship

### Neutral

- = KPI performance
- = Complaints received
- = Compliments

### Negatives

- Covid-19
- Material shortages
- Resource shortage



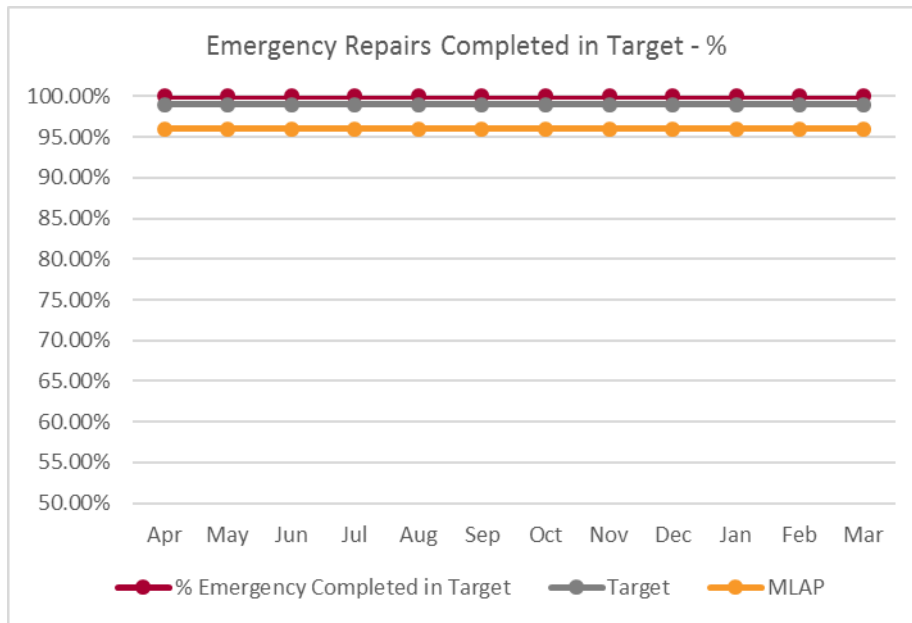
## Introduction

This report is intended to provide an overview of performance information, demand analysis, and efficiency of the contract for both repairs and gas.

It covers the financial year April 2020 to March 2021 inclusive.

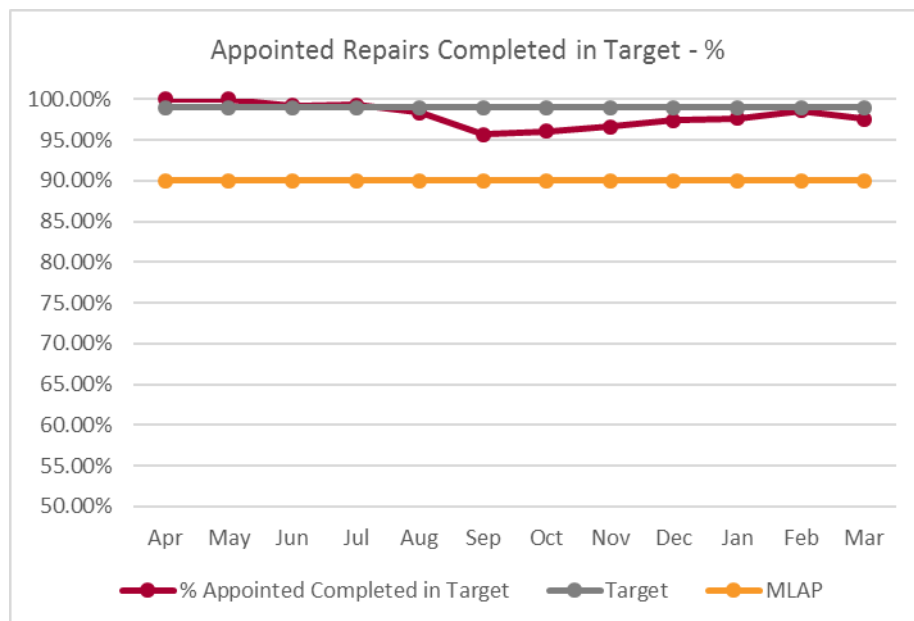
## Repairs & Maintenance

### Repairs Completed in Target



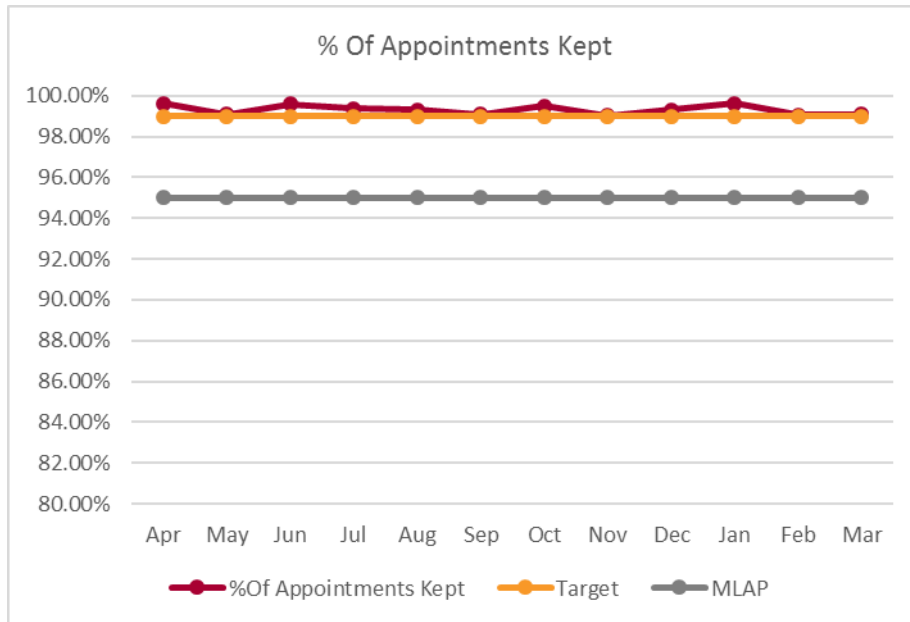
\*MLAP Min Level of Acceptable Performance

Emergency repairs completed in target orders achieved 98.95% average for the financial year of 2020-2021.



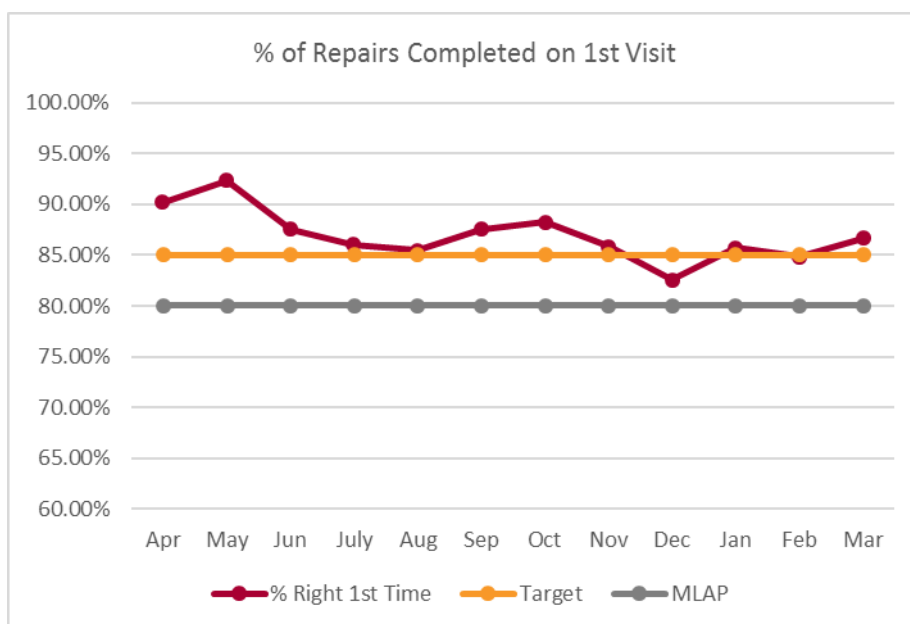
Appointed repairs completed in target orders achieved 97.78% average for the financial year of 2020-2021. Resource availability effected by Covid-19 symptoms, track and trace and self-isolation due to other household members.

### Appointments Kept



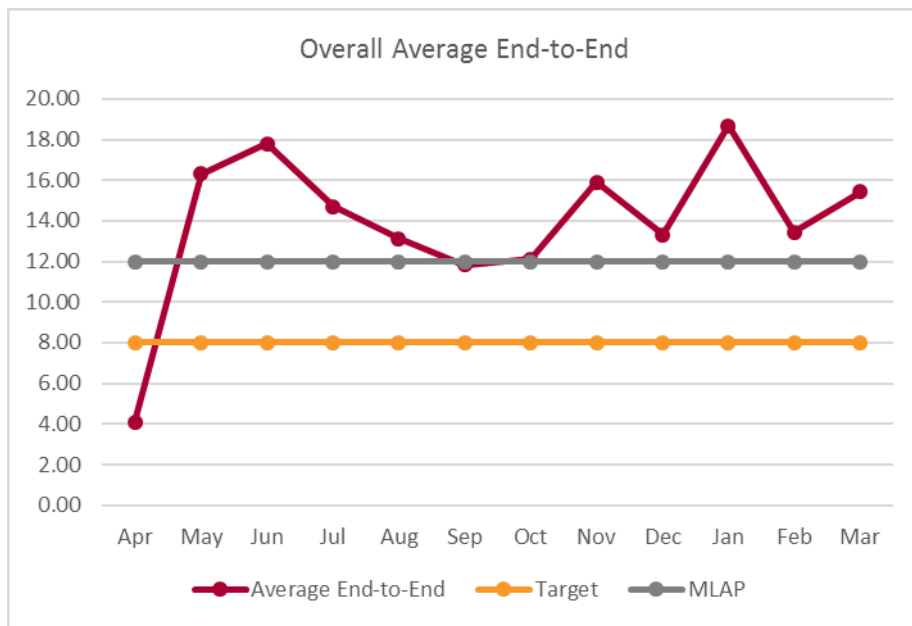
Brentwood achieved an average of 99.30% for appointments kept for the financial year.

### Orders Completed First Time



Brentwood achieved an average 86.54% for first time fix. Due to material and production logistics, this KPI will become under increased pressure to maintain.

## Average End to End



Overall orders on Brentwood repairs achieved an average of 14.25 days end to end.

## Post Inspections

	Post Inspections 20-21													
	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Total	
Site post inspections	20	23	28	31	19	20	18	19	17	18	21	22	256	
Ticket review	180	158	198	234	289	310	420	463	389	406	392	413	3852	
Voids Post Inspections	18	22	20	23	19	16	19	21	14	19	21	25	237	
													Total inspection	4345

### Site post inspections

These are generally all orders over £500 and are a review of customer satisfaction, quality of repair and financial recharge costings. They are also used as a feedback cycle if a negative response is recorded.

### Ticket review

This is a desk operation to review all orders via our mobile data base system. The reviewer is given the opportunity to check the financial costings, quality of repair and material usage from the stored before/during/after pictures.

### Voids inspections

All voids are post inspected prior to hand back to ensure the lettable standard has been achieved. This also includes before and after pictorial evidence to support lettings.

# Text Message Surveys

**Breakdown**

March

**282**  
No. of Surveys

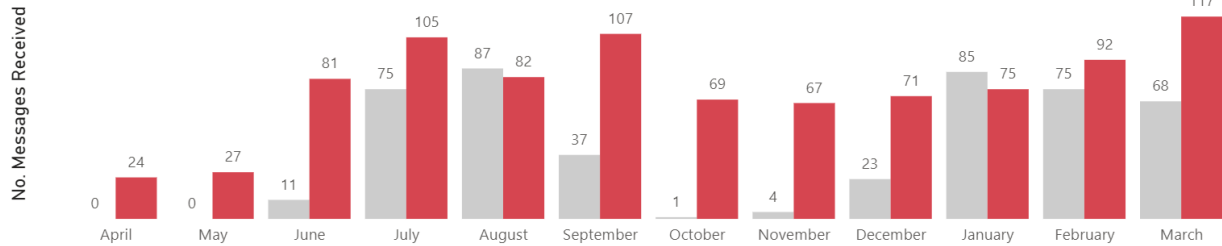
**97**  
No. of Positive Responses

**7**  
No. of Negative Responses

**93.3%**  
SMS Satisfaction %

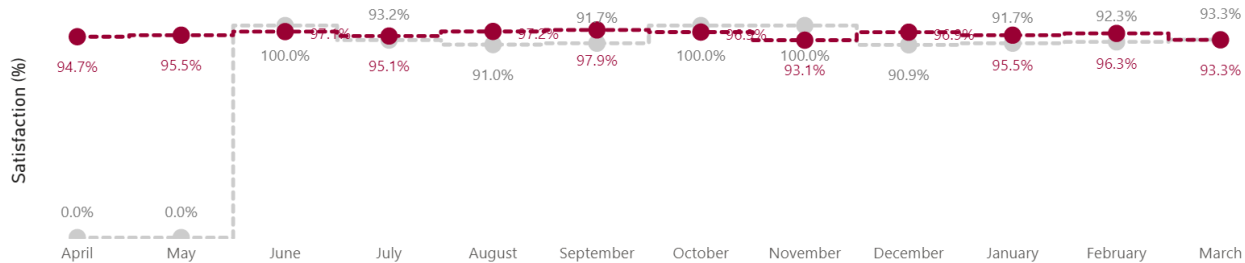
## Messages Received

Fiscal Year ● FY 19/20 ● FY 20/21



## SMS Satisfaction Rate

Fiscal Year ● FY 19/20 ● FY 20/21



**Breakdown**

Financial Year

**2,336**  
No. of Surveys

**766**  
No. of Positive Responses

**33**  
No. of Negative Responses

**95.9%**  
SMS Satisfaction %

## Undefined Responses to Text Survey

Contract	Contract Prefix	Job Number	Date Created	Message	Message Type	Prc
BRENTWOOD	BBPPP	BBPP011880	10/03/2021	Absolutely the chap today was brilliant!	3 - Undefined	BR
BRENTWOOD	BBPPP	BBPP011649	01/03/2021	BBPP011649 yes	3 - Undefined	BR
BRENTWOOD	BBPPP	BBPP011152	12/03/2021	I am only in from 3 a note was put on the system	3 - Undefined	BR
BRENTWOOD	BBPPP	BBPP011880	10/03/2021	I'm at home	3 - Undefined	BR
BRENTWOOD	BBPPP	BBPP011727	04/03/2021	No didn't ring the bell never showed up	3 - Undefined	BR
BRENTWOOD	BBPPP	BBPP012011	31/03/2021	Okay	3 - Undefined	BR
BRENTWOOD	BBPPP	BBPP012231	26/03/2021	Repair work done yesterday	3 - Undefined	BR
BRENTWOOD	BBPPP	-	04/03/2021	The water heater does not heat up, its still very cold since the electrician left to change the switch / board. It lits up when turned but the water does not get hot. It must be the boiler that has a problem.	3 - Undefined	
BRENTWOOD	BBPPP	BBPP012085	18/03/2021	Very good	3 - Undefined	BR
BRENTWOOD	BBPPP	-	05/03/2021	We got hot water already since this morning. Thank you ever so much!	3 - Undefined	
BRENTWOOD	BBPPP	BBPP011649	01/03/2021	What are they doing today	3 - Undefined	BR
BRENTWOOD	BBPPP	BBPP012076	26/03/2021	Work completed to a very high standard by two very tidy and friendly plumbers.Thank you	3 - Undefined	BR
BRENTWOOD	BBPPP	BBPP010582	15/03/2021	YEA	3 - Undefined	BR

Example of undefined responses that have been received.

## Complaints

There were 43 stage 2 complaints registered within the year.

Breakdown of complaints:

- 10 x Length of time to effect repair
- 12 x Resident expectation of renewal against repair
- 9 x Complex leak issues
- 3 x Complex leak issues involving third parties
- 2 x Issues over access
- 2 x Quality of repair
- 5 x Failure to respond

## Compliments

During the period, 48 compliments were received as follows:

- 19 x Supply chain partners
- 23 x Directly employed trades staff
- 6 x Office based staff members



## Call Centre Performance

### In Hours (Weekdays 8am-5pm)

Date	Total Calls	Abnd Calls	Abnd Rate	Avg Answer Time	Avg Handling Time	Max Answer Time	Service Level
April	435	74	17.01%	00:01:22	00:05:04	00:37:09	73.33%
May	612	76	12.42%	00:01:18	00:04:34	00:32:34	80.07%
June	918	72	7.84%	00:01:07	00:04:30	00:15:14	83.99%
July	1072	81	7.56%	00:00:57	00:04:38	00:19:30	86.10%
August	1180	91	7.71%	00:01:11	00:04:42	00:16:38	83.56%
September	1427	142	9.95%	00:01:33	00:05:07	00:13:17	77.72%
October	1525	267	17.51%	00:02:41	00:05:11	00:31:56	62.69%
November	1222	72	5.89%	00:01:19	00:04:37	00:17:48	84.12%
December	1032	55	5.33%	00:01:12	00:04:35	01:00:36	86.14%
January	1022	58	5.68%	00:01:14	00:04:38	00:13:55	83.86%
February	1076	68	6.32%	00:01:30	00:04:27	00:15:36	82.43%
March	1267	71	5.60%	00:01:26	00:04:30	00:20:13	82.95%

### Out of Hours (Weekdays 5pm-8am, Weekends and Bank Holidays)

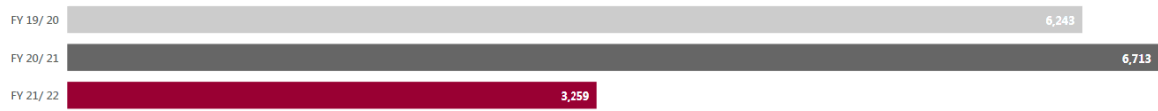
Date	Total Calls	Abnd Calls	Abnd Rate	Avg Answer Time	Avg Handling Time	Max Answer Time	Service Level
April	112	11	9.82%	00:00:21	00:03:26	00:03:45	90.18%
May	123	16	13.01%	00:01:01	00:03:09	00:19:19	82.11%
June	115	12	10.43%	00:00:29	00:03:12	00:04:36	88.70%
July	110	16	14.55%	00:00:33	00:03:03	00:05:02	84.55%
August	133	20	15.04%	00:00:58	00:02:37	00:14:52	81.20%
September	163	27	16.56%	00:00:44	00:03:09	00:09:56	80.98%
October	216	59	27.31%	00:02:23	00:03:25	00:45:00	60.19%
November	126	23	18.25%	00:01:34	00:03:28	00:12:25	73.81%
December	174	27	15.52%	00:01:55	00:02:59	00:30:04	71.26%
January	123	17	13.82%	00:01:51	00:03:28	00:17:16	73.17%
February	212	49	23.11%	00:03:07	00:03:22	00:34:58	58.49%
March	113	5	4.42%	00:01:11	00:03:05	00:09:31	88.50%

Out of Hours (OOH's) calls in February heavily effected by Gas queries coming through to the wrong call queues.

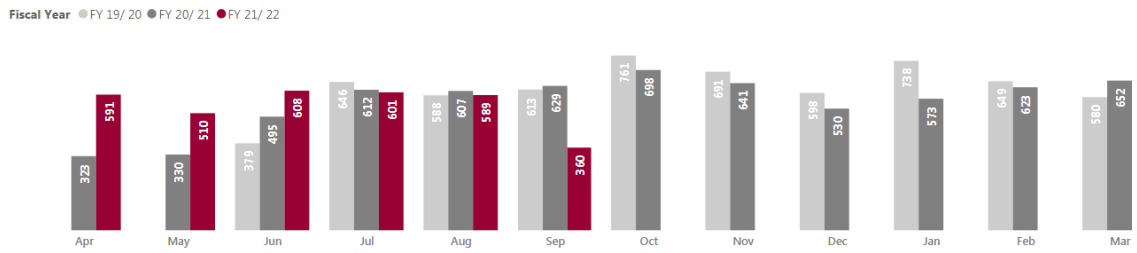
# Order Demand

Demand over the last one month can be seen below.

## Order volume by financial year

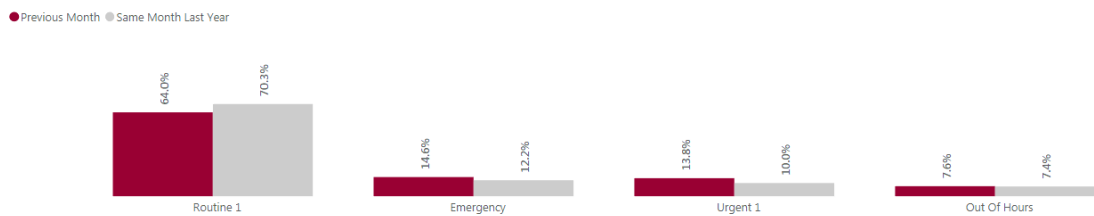


## Order volume by financial year and month



The composition of orders by priority for Brentwood is shown below for March and YTD – majority is Routine 1.

## Order volume | previous month vs. same month last year by priority (top 10)

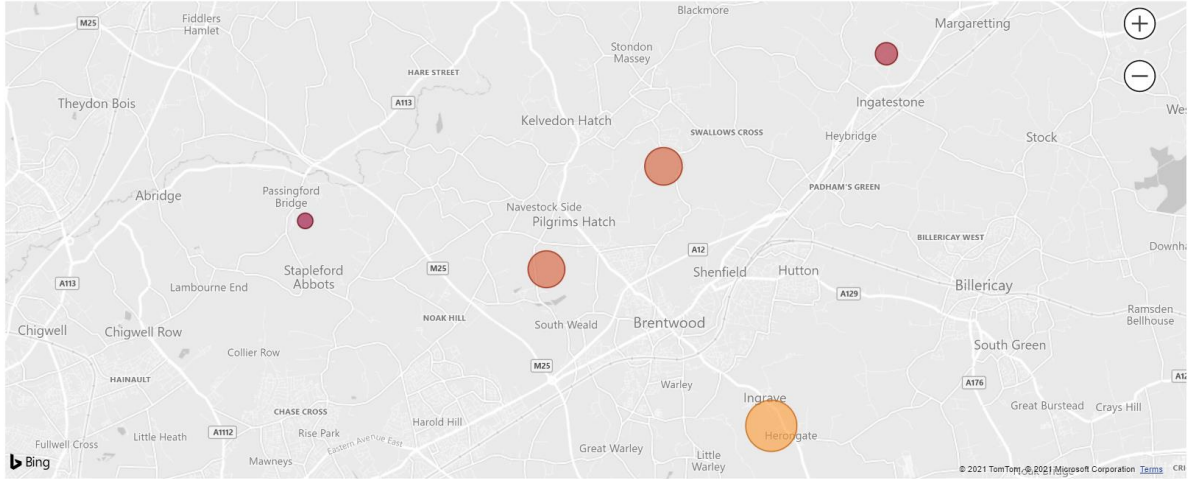


## Areas of work

### Order volume by area

Post Code Area	Fiscal Year												Total
	April	May	June	July	August	September	October	November	December	January	February	March	
CM13	133	118	205	287	239	259	295	275	217	232	254	266	2,780
CM15	86	88	122	151	180	161	168	167	141	146	157	157	1,724
CM14	74	86	132	138	151	147	179	154	126	159	150	170	1,666
CM4	30	35	36	36	37	62	54	44	46	36	59	59	534
RM4	0	3	0	0	0	0	2	1	0	0	3	0	9
<b>Total</b>	<b>323</b>	<b>330</b>	<b>495</b>	<b>612</b>	<b>607</b>	<b>629</b>	<b>698</b>	<b>641</b>	<b>530</b>	<b>573</b>	<b>623</b>	<b>652</b>	<b>6,713</b>

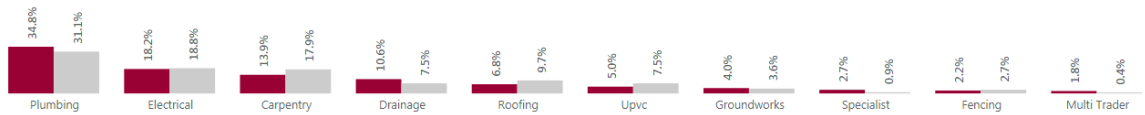
## Order volume by area (mapped)



## Type of Work

Order volume | previous vs. same month last year by trade (top 10), as % of total

● Previous Month ● Same Month Last Year



Order volume | previous vs. same month last year by trade (top 10), as % change

Multi Trader	Specialist	Drainage	Plumbing	Groundworks	Electrical	Fencing	Carpentry	Roofing	Upvc	Total
400.0%	200.0%	40.5%	10.9%	10.0%	-3.8%	-20.0%	-23.0%	-29.6%	-33.3%	-0.7%

## Top 10 Properties

### Order volume and value | Dwellings\*

Property Ref.	No. Orders Raised	Order Value
BREN34482	28	£3,200.16
+ 14 Tollesbury Court, Woodland Avenue, Hutton, Brentwood,	28	£3,200.16
BREN33147	20	£2,160.54
+ 4 Wadham Close, Ingatestone, , ,	20	£2,160.54
BREN31884	19	£1,339.52
+ 4 Orchard Avenue, Brentwood, , ,	19	£1,339.52
BREN30870	17	£2,537.45
+ 7 Blenheim Road, Pilgrims Hatch, Brentwood, ,	17	£2,537.45
BREN34030	17	£2,590.57
+ 12 Whittington Road, Hutton, Brentwood, ,	17	£2,590.57
BREN35096	17	£1,722.22
+ 25 Railway Square, Brentwood, , ,	17	£1,722.22
BREN32402	16	£2,997.23
+ 67 Hutton Drive, Hutton, Brentwood, ,	16	£2,997.23
BREN35568	16	£1,490.55
+ 12 Juniper Court, Beech Avenue, Ingrave, Brentwood,	16	£1,490.55
BREN33066	15	£945.48
+ 44 Masefield Court, VICTORIA ROAD, Warley, Brentwood,	15	£945.48
BREN33719	15	£1,078.65
+ 90 Western Road, Brentwood, , ,	15	£1,078.65
BREN31637	13	£768.28
+ 34 Gibraltar House, THE DRIVE, GREAT WARLEY, Brentwood,	13	£768.28
BREN33010	13	£869.89
+ 24 Masefield Court, VICTORIA ROAD, Warley, Brentwood,	13	£869.89
<b>Total</b>	<b>5,790</b>	<b>£724,274.09</b>

### Order volume and value | Communals\*

Property Ref.	No. Orders Raised	Order Value
BREN30790	71	£10,357.06
+ Juniper Court, Beech Avenue, Ingrave, Brentwood,	71	£10,357.06
BREN30761	68	£24,672.39
+ Gibraltar House, THE DRIVE, GREAT WARLEY, Brentwood,	68	£24,672.39
BREN30758	63	£32,104.08
+ Drake House, Sir Francis Way, Brentwood, ,	63	£32,104.08
BREN30765	61	£23,583.05
+ Masefield Court, VICTORIA ROAD, Warley, Brentwood,	61	£23,583.05
BREN30762	57	£12,729.62
+ St Georges Court, Highwood Close, Brentwood, ,	57	£12,729.62
BREN30791	45	£6,619.60
+ The Gables, Essex Way, GREAT WARLEY, Brentwood,	45	£6,619.60
BREN30782	34	£4,489.89
+ Victoria Court, VICTORIA ROAD, Warley, Brentwood,	34	£4,489.89
BREN30756	32	£13,646.90
+ Chichester House, Sir Francis Way, Brentwood, ,	32	£13,646.90
BREN30766	27	£13,052.98
+ Mayflower House, THE DRIVE, GREAT WARLEY, Brentwood,	27	£13,052.98
BREN37221	23	£2,699.42
+ Railway Square, Railway Square, Brentwood, ,	23	£2,699.42
BREN30759	22	£14,442.04
+ Elizabeth House, Albany Road, Pilgrims Hatch, Brentwood,	22	£14,442.04
BREN30773	22	£10,606.36
+ Tendring Court, Woodland Avenue, Hutton, Brentwood,	22	£10,606.36
BREN30768	21	£4,587.09
+ Wealden House, Elizabeth Road, Pilgrims Hatch,	21	£4,587.09
<b>Total</b>	<b>1,340</b>	<b>£381,183.38</b>

\* - as defined in the data model.

Note: the no. of orders and order values seen above are non-chargeable and cover a 12 month period.

## Void Performance

During the period, 205 void refurbishments were undertaken

89 Minor Voids @ 8.9 days average turnaround

106 Major Voids @ 18.7 days average turnaround

There were also a further 15 project voids requiring complete refurbishment at an average cost 17k

## Community investment

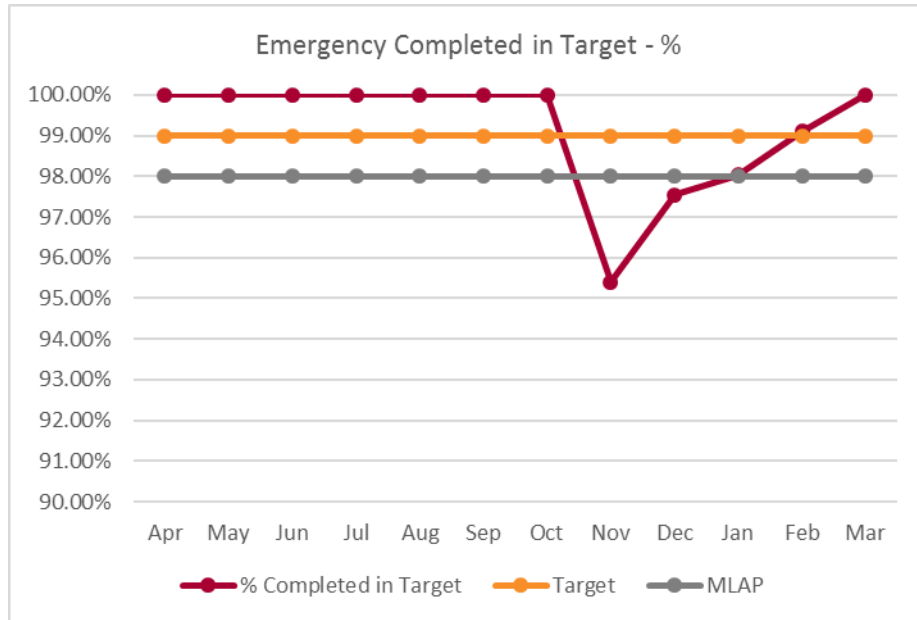
- £20,000 committed to Brentwood local investment
- Employment to date of three local Brentwood residents
- Sponsorship of virtual fun days
- Hutton community centre kitchen refurbishment via our Axis charity foundation
- Reach Foundation funding via our Axis charity foundation
- Attendance to Brentwood schools to provide careers advice
- Refurbishment of Ingleton house fishpond
- Brentwood connect trailer support days
- Brentwood Fun Day support
- Stars of Brentwood Showcase sponsor

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## Gas

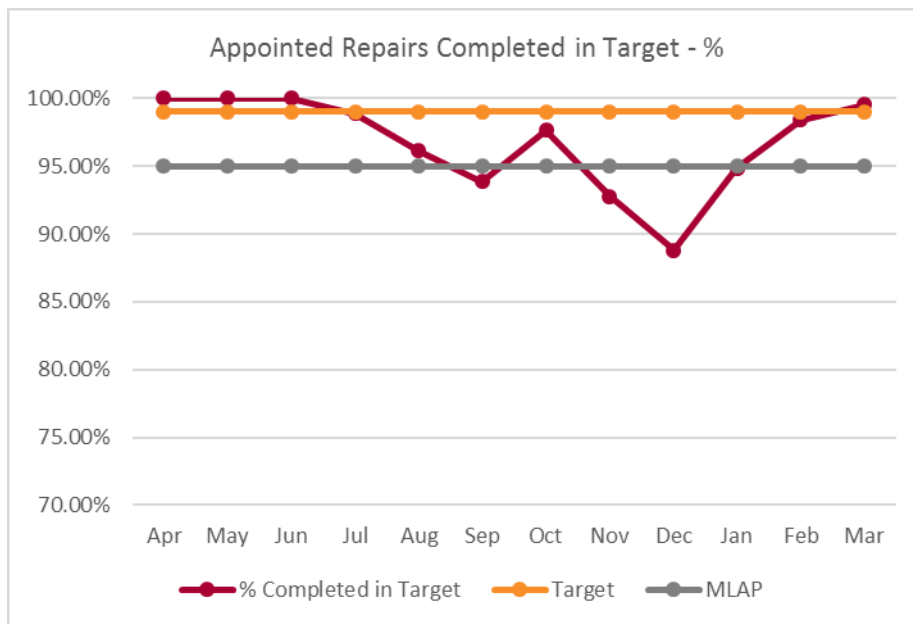
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### Emergency repairs completed in target



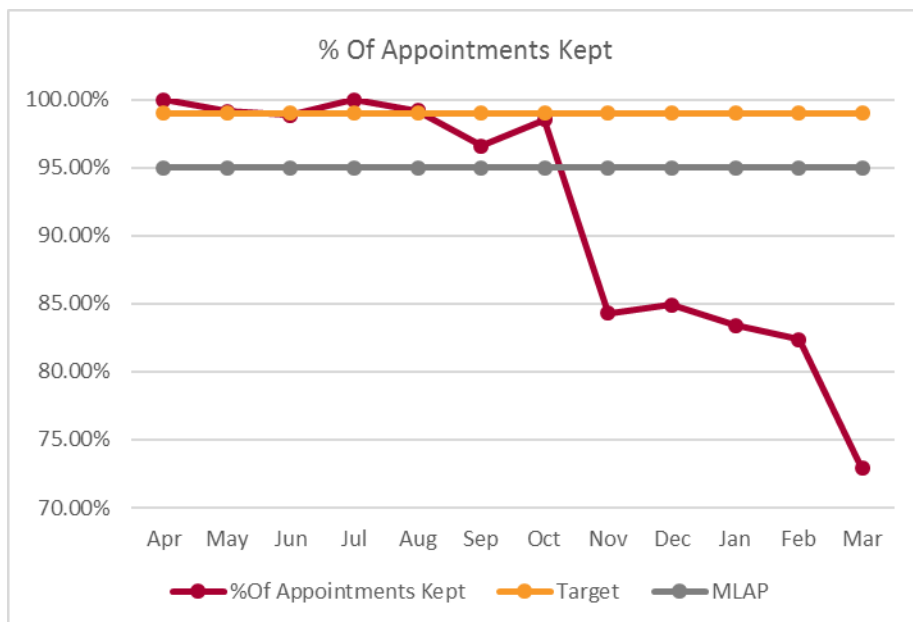
Emergency repairs completed in target orders achieved 98.95% average for the financial year of 2020-2021. Whilst the target has dropped for 4-hour attendance, all properties were attended on the day of registered emergency. Due to over-whelming numbers, whilst recorded as an emergency, all orders were triaged to ensure vulnerability concerns were addressed.

## Appointed repairs completed in target



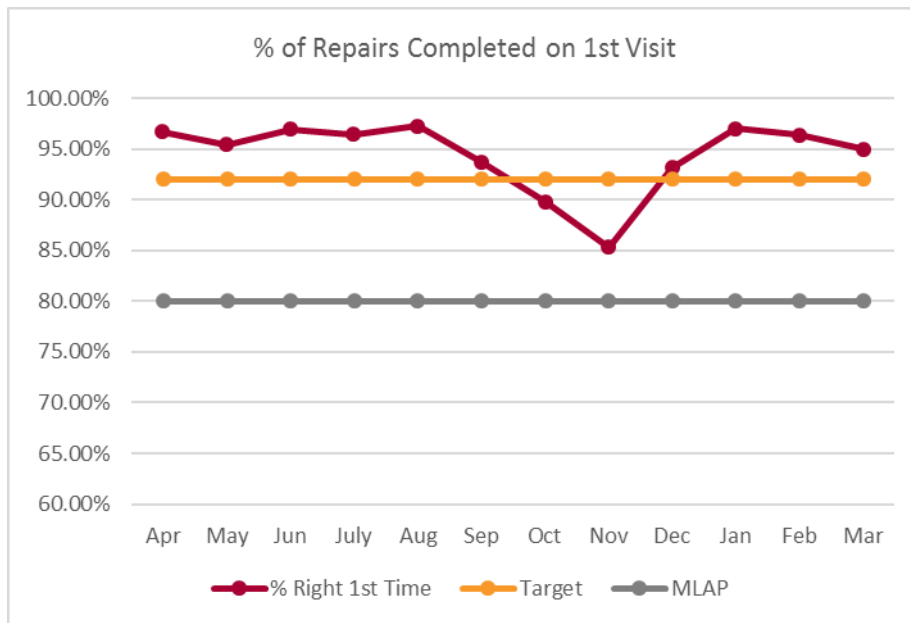
Appointed repairs completed in target orders achieved 96.42% average for the financial year of 2020-2021. Target not achieved due to overwhelming numbers. All appointments were attended, but a number were outside the 2-hour window.

## Appointments Kept



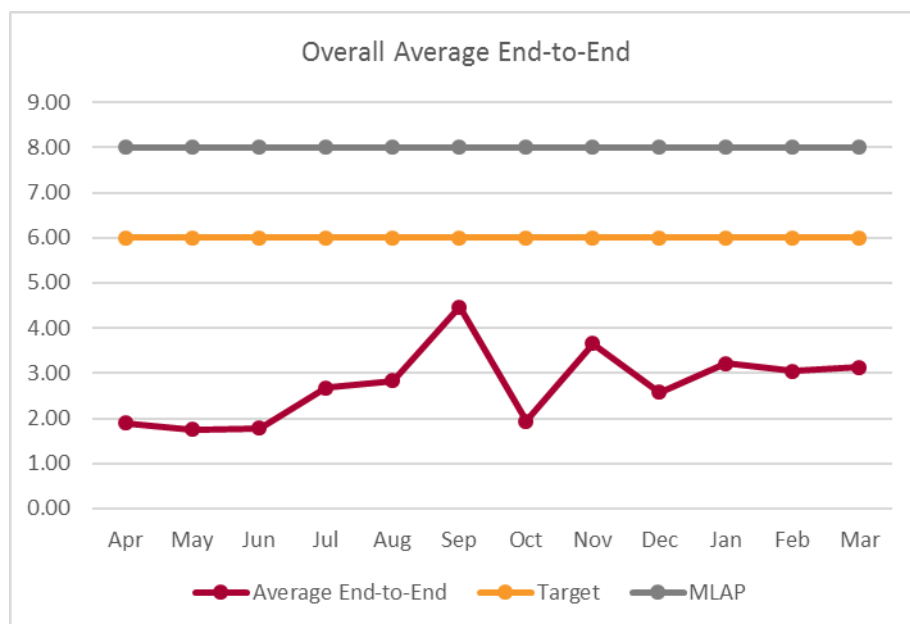
Appointments made and kept achieved 88.82% average for the financial year of 2020-2021. Target not achieved due to overwhelming numbers. All appointments were attended but a number were outside the 2-hour window.

## Orders completed first time



Repairs completed on the first visit achieved 93.99% average for the financial year of 2020-2021.

## Average End to End



Average end to end achieved 2.87 average for the financial year of 2020-2021.



Gas performance during the period of September to March was compromised by the effects of Covid-19. Due to the Government instruction of home working and schools being closed, this meant that families remained with their properties up to 20 hours a day.

The effect on this was that boiler usage increased by 60% over the expected period of working hours. This meant that a number of boilers were in operation 14-16 hours a day. The bi-product of such an increase of usage meant that breakdown numbers escalated dramatically.

During this period, a number of boilers also failed completely due to age and were beyond economical repair (BER), or parts were no longer available. A total of 93 boilers were replaced as BER as well as the day to day repairs. Each installation taking up to 7-9 hours including asbestos removal, power flushing and part p upgrades.

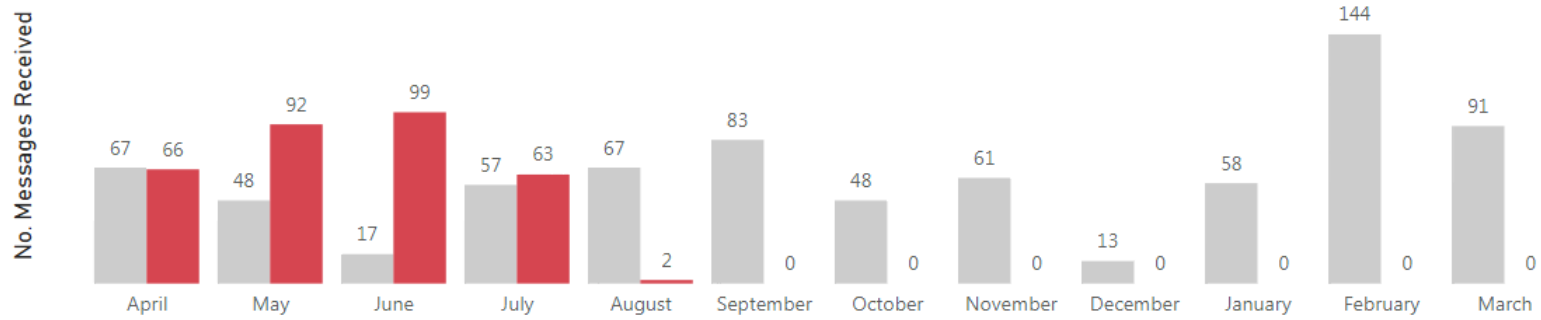
Overall, including the planned works boiler upgrade programme. A total of 190 boilers were replaced with the associated amendments.

# Customer Satisfaction

## Text Message Surveys

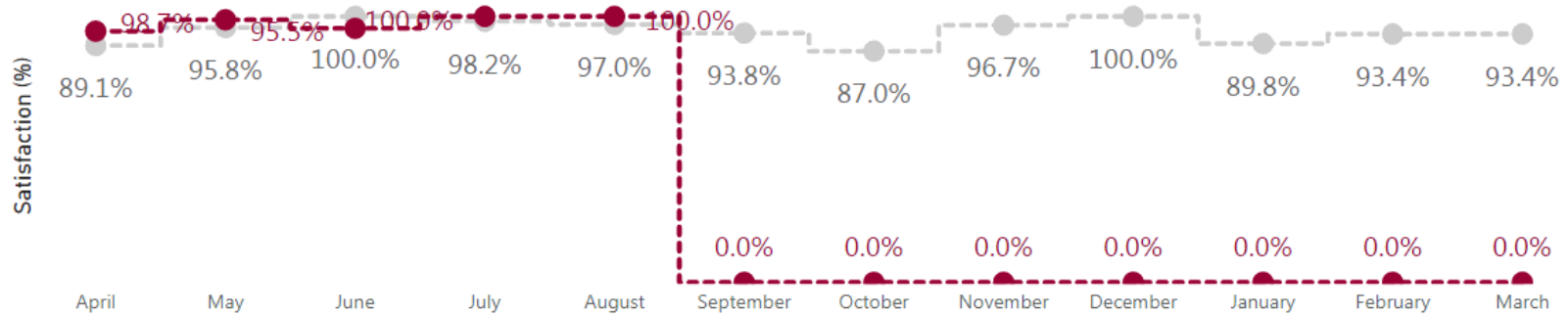
### Messages Received

Fiscal Year ● FY 20/ 21 ● FY 21/ 22



### SMS Satisfaction Rate

Fiscal Year ● FY 20/ 21 ● FY 21/ 22



## Undefined Responses to Text Survey

Contract	Contract Prefix	Job Number	Date Created	Message	Message Type	Property Ref.
BRENTWOOD - GAS	BBGBR	BBGB006626	31/03/2021	Y E S	3 - Undefined	BREN33526
BRENTWOOD - GAS	BBGBR	BBGB006564	30/03/2021	Unknown	3 - Undefined	BREN33909
BRENTWOOD - GAS	BBGBR	BBGB006601	29/03/2021	Very good	3 - Undefined	BREN33306
BRENTWOOD - GAS	BBGBR	BBGB006529	29/03/2021	No one has come	3 - Undefined	BREN31046
BRENTWOOD - GAS	BBGBR	BBGB006581	26/03/2021	Yds	3 - Undefined	BREN33974
BRENTWOOD - GAS	BBGBR	BBGB006525	25/03/2021	I hope that tomorrow he will come to finish his work. The worker was polite and did his job well.	3 - Undefined	BREN33301
BRENTWOOD - GAS	BBGAX	BBGX000823	19/03/2021	CANCEL	3 - Undefined	BREN31707
BRENTWOOD - GAS	BBGSE	BBGS004873	18/03/2021	Hi there I am not home	3 - Undefined	BREN33760
BRENTWOOD - GAS	BBGSE	BBGS004985	17/03/2021	Today no one came to solve my problem with the boiler	3 - Undefined	BREN30987
BRENTWOOD - GAS	BBGSE	BBGS004985	17/03/2021	I'm ok	3 - Undefined	BREN30987
BRENTWOOD - GAS	BBGSE	BBGS004950	12/03/2021	reference BBGS004950 NO.	3 - Undefined	BREN33902
BRENTWOOD - GAS	BBGSE	BBGS004950	12/03/2021	I'd already spoken to a warden to say I wouldn't be home as I work. I responded to the text CANCEL and yet you still sent someone?!?! He luckily caught me as I was off to work. He literally looked at two pipes leading to a disconnected meter that's no longer there and left!!! Seriously? If I'd have taken time off for that visit I'd have been fuming! Pretty much 1/10. Got the 1 for turning up although he wasn't meant to. I've never been impressed with AXIS and even less so now!	3 - Undefined	BREN33902
BRENTWOOD - GAS	BBGBR	BBGB006389, BBGB006384	11/03/2021	CANCEL	3 - Undefined	
BRENTWOOD - GAS	BBGSE	BBGS004950	10/03/2021	CANCEL	3 - Undefined	BREN33902
BRENTWOOD - GAS	BBGBR	BBGB006164	08/03/2021	No.job not done again	3 - Undefined	BREN33001
BRENTWOOD - GAS	BBGBR	BBGB006185	28/02/2021	CANCEL	3 - Undefined	BREN31786
BRENTWOOD - GAS	BBGBR	BBGB006159	26/02/2021	Very good	3 - Undefined	BREN33306
BRENTWOOD - GAS	BBGSE	BBGS004798	26/02/2021	BBGS004798 yes	3 - Undefined	BREN34667
BRENTWOOD - GAS	BBGSE	BBGS004798	26/02/2021	Ok	3 - Undefined	BREN34667
BRENTWOOD - GAS	BBGBR	BBGB006139	25/02/2021	A pomp qa	3 - Undefined	BREN30995
BRENTWOOD - GAS	BBGSE	BBGS004438	24/02/2021	Ye s	3 - Undefined	BREN33526
BRENTWOOD - GAS	BBGBR	BBGB006069	19/02/2021	Very satisfied thank you very much.	3 - Undefined	BREN32426
BRENTWOOD - GAS	BBGSE	BBGS004376	19/02/2021	AXIS :: UPDATE. Raechel Goddard ! She actually rung me, no apology thou, I said you signed the bloody letters, Replying that the letters are computer generated and she doesn't see them, the council sent two emails to them she said they never received them. Disgusting attitude, poor customer care: ( copy on Facebook)	3 - Undefined	BREN30798
BRENTWOOD - GAS	BBGSE	BBGS004376	18/02/2021	Engineer was first class, he even Apologised for the treatment I have been receiving from AXIS. But on the negative side you ignored the council's directive that it had to be after 1pm as I'm bed bound. I rang you and the nice and polite receptionist changed the appointment to after 1 what time did they arrive 11 am. Hilarious ( posted on Facebook)	3 - Undefined	BREN30798

## Gas Call Centre Performance

### In Hours (Weekdays 8am-5pm)

Date	Total Calls	Abnd Calls	Abnd Rate	Avg Answer Time	Avg Handling Time	Max Answer Time	Service Level
April	232	23	9.91%	00:01:22	00:05:16	00:16:46	78.02%
May	263	32	12.17%	00:01:05	00:04:35	00:11:46	78.33%
June	307	24	7.82%	00:01:13	00:06:05	00:23:02	84.04%
July	391	54	13.81%	00:01:21	00:05:17	00:18:50	77.24%
August	403	48	11.91%	00:01:47	00:05:04	00:20:39	75.43%
September	712	276	38.76%	00:05:43	00:06:38	00:38:36	36.52%
October	903	507	56.15%	00:14:15	00:07:47	01:21:33	10.96%
November	780	174	22.31%	00:04:11	00:07:10	00:32:15	47.05%
December	850	254	29.88%	00:07:05	00:07:26	00:36:54	33.41%
January	948	310	32.70%	00:06:05	00:05:49	00:42:29	33.23%
February	861	166	19.28%	00:04:00	00:05:49	00:49:56	54.47%
March	597	46	7.71%	00:01:41	00:05:18	00:16:03	78.89%

### Out of Hours (Weekdays 5pm-8am, Weekends and Bank Holidays)

Date	Total Calls	Abnd Calls	Abnd Rate	Avg Answer Time	Avg Handling Time	Max Answer Time	Service Level
April	53	3	5.66%	00:00:46	00:03:48	00:07:17	88.68%
May	47	5	10.64%	00:00:47	00:03:57	00:06:41	85.11%
June	38	6	15.79%	00:00:32	00:03:06	00:03:16	84.21%
July	39	6	15.38%	00:00:27	00:03:39	00:02:37	84.62%
August	73	7	9.59%	00:01:51	00:02:47	00:15:33	78.08%
September	101	13	12.87%	00:01:22	00:03:20	00:15:38	79.21%
October	125	41	32.80%	00:03:28	00:03:23	01:19:19	52.00%
November	81	17	20.99%	00:01:57	00:04:28	00:12:07	65.43%
December	182	29	15.93%	00:02:21	00:03:56	00:27:24	71.43%
January	149	23	15.44%	00:01:51	00:03:52	00:23:07	70.47%
February	224	76	33.93%	00:05:27	00:03:41	01:18:12	43.30%
March	88	8	9.09%	00:01:35	00:03:22	00:16:18	76.14%

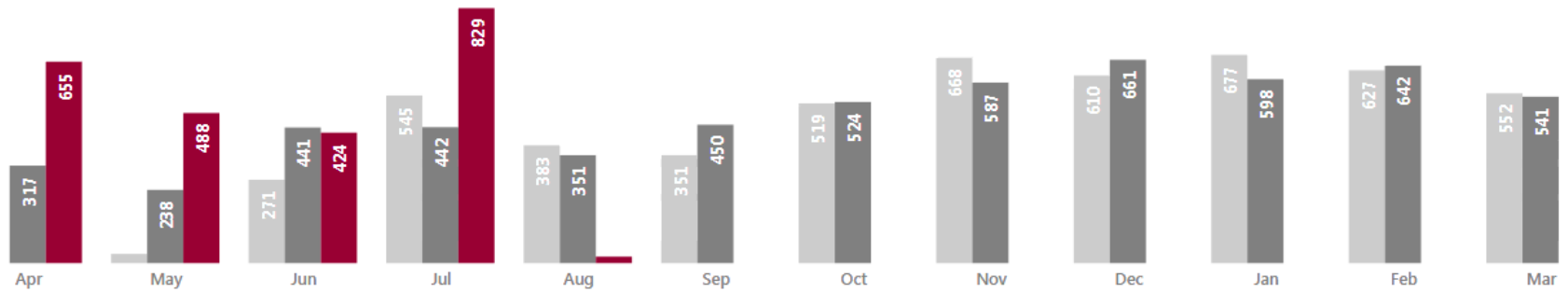
## Order Demand

### Order volume by financial year



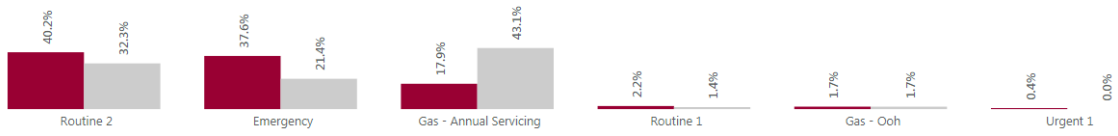
### Order volume by financial year and month

Fiscal Year ● FY 19/ 20 ● FY 20/ 21 ● FY 21/ 22

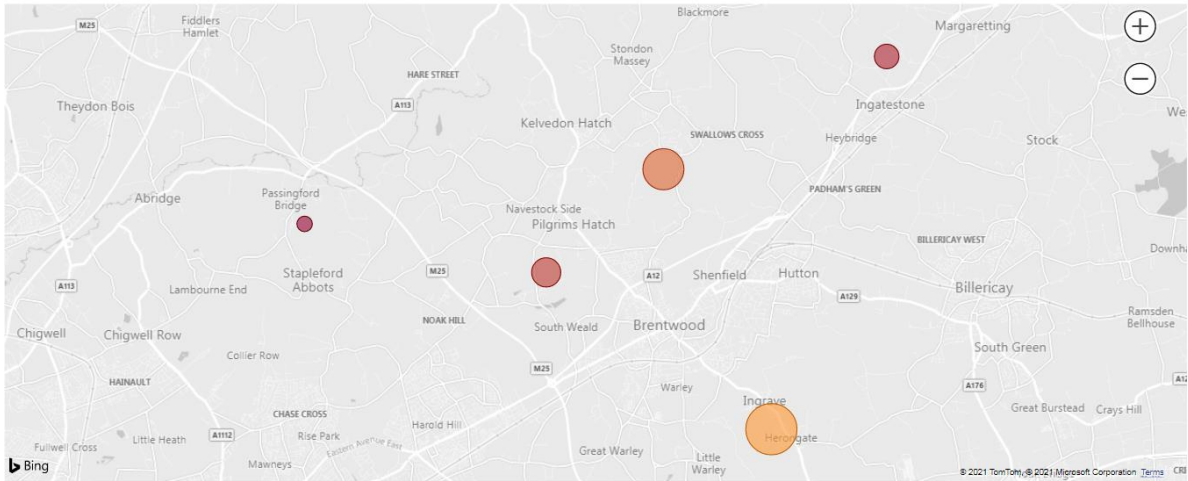


### Order volume | previous month vs. same month last year by priority (top 10)

● Previous Month ● Same Month Last Year

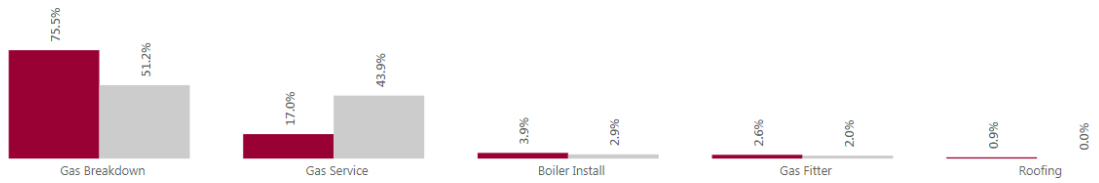


### Order volume by area (mapped)



### Order volume | previous vs. same month last year by trade (top 10), as % of total

● Previous Month ● Same Month Last Year



### Order volume | previous vs. same month last year by trade (top 10), as % change

Trade	Carpenry	Groundworks	Recall	Roofing	Gas Breakdown	Boiler Install	Gas Fitter	Gas Service	Metalworks	Total
% Change	0.0%	0.0%	0.0%	0.0%	-1.7%	-10.0%	-14.3%	-74.2%	-100.0%	-34.6%

## Top 10 Properties

### Order volume and value | Dwellings\*

Property Ref.	No. Orders Raised	Order Value
BREN33656	16	£752.49
3 Farrow House, Doddinghurst Road, Brentwood, ,	16	£752.49
BREN34092	16	£3,433.96
53 Fairview Avenue, Hutton, Brentwood, ,	16	£3,433.96
BREN34482	16	£706.11
14 Tollesbury Court, Woodland Avenue, Hutton, Brentwood, ,	16	£706.11
BREN30993	15	£796.67
37 Harewood Road, Pilgrims Hatch, Brentwood, ,	15	£796.67
BREN32169	15	£581.11
5 Colet Road, Hutton, Brentwood, ,	15	£581.11
BREN33796	15	£719.82
39A Elizabeth Road, Pilgrims Hatch, Brentwood, ,	15	£719.82
BREN31225	14	£5,159.72
98 Hawthorn Avenue, Brentwood, , ,	14	£5,159.72
BREN33974	14	£3,074.83
109 Whittington Road, Hutton, Brentwood, ,	14	£3,074.83
BREN31580	13	£468.47
17 Mayflower House, THE DRIVE, GREAT WARLEY, Brentwood, ,	13	£468.47
BREN31873	13	£574.11
80 Orchard Avenue, Brentwood, , ,	13	£574.11
BREN32063	13	£4,934.36
15 The Meads, Ingatestone, , ,	13	£4,934.36
BREN32566	13	£504.12
15 Four Oaks, Ingrave Road, Brentwood, ,	13	£504.12
<b>Total</b>	<b>6,827</b>	<b>£633,657.54</b>

### Order volume and value | Communals\*

Property Ref.	No. Orders Raised	Order Value
BREN30758	28	£25,620.23
Drake House, Sir Francis Way, Brentwood, ,	28	£25,620.23
BREN30762	24	£13,028.43
St Georges Court, Highwood Close, Brentwood, ,	24	£13,028.43
BREN30782	22	£64,685.26
Victoria Court, VICTORIA ROAD, Warley, Brentwood, ,	22	£64,685.26
BREN30788	9	£4,228.27
Ingleton House, Stock Lane, Ingatestone, ,	9	£4,228.27
BREN30756	8	£4,319.40
Chichester House, Sir Francis Way, Brentwood, ,	8	£4,319.40
BREN30791	8	£9,505.29
The Gables, Essex Way, GREAT WARLEY, Brentwood, ,	8	£9,505.29
BREN30781	6	£1,556.41
Oldfields, VICTORIA ROAD, Warley, Brentwood, ,	6	£1,556.41
BREN30761	4	£101,029.52
Gibraltar House, THE DRIVE, GREAT WARLEY, Brentwood, ,	4	£101,029.52
BREN37110	4	£203.40
Four Oaks Block 1-12 & 17-19, Four Oaks, Ingrave Road, ,	4	£203.40
BREN37319	4	£206.25
Harewood Road Communal Hall, Harewood Road, Pilgrims Hatch, Brentwood, ,	4	£206.25
BREN30770	3	£8,812.02
Four Oaks, Ingrave Road, Brentwood, ,	3	£8,812.02
BREN37317	2	£136.01
Rowan Green Communal Hall, Rowan Green East, Brentwood, ,	2	£136.01
<b>Total</b>	<b>126</b>	<b>£398,499.16</b>

\* - as defined in the data model.

Note: the no. of orders and order values seen above are non-chargeable and cover a 12 month period.

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## **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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