



# Agenda

## **Audit and Scrutiny Committee**

Tuesday, 24 January 2023 at 7.00 pm

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

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### **Membership (Quorum – 3 )**

Cllrs Heard (Chair), Hirst (Vice-Chair), Barrett, Bridge, Mrs Fulcher, Haigh, Sankey, Slade and Wagland

### **Substitute Members**

Cllrs Dr Barrett, S Cloke, M Cuthbert, Jakobsson, Reed and Wiles

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### **Agenda**

<b>Item</b>	<b>Item</b>	<b>Wards(s) Affected</b>	<b>Page No</b>
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### **Live broadcast**

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

- |           |   |                  |                |
|-----------|---|------------------|----------------|
| <b>1.</b> | <b>Apologies for Absence</b>                  |                  |                |
| <b>2.</b> | <b>Minutes of the previous meeting</b>        |                  | <b>5 - 8</b>   |
| <b>3.</b> | <b>Internal Audit Progress Report</b>         | <b>All Wards</b> | <b>9 - 42</b>  |
| <b>4.</b> | <b>PI and Formal Complaints Working Group</b> | <b>All Wards</b> | <b>43 - 72</b> |
| <b>5.</b> | <b>Scrutiny Work Programme</b>                | <b>All Wards</b> | <b>73 - 78</b> |

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

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

Jonathan Stephenson  
Chief Executive

Town Hall  
Brentwood, Essex  
16.01.2023

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### Information for Members

#### Substitutes

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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

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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

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##### 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

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#### 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, 15th November, 2022

#### Attendance

Cllr Heard (Chair)	Cllr Mrs Fulcher
Cllr Hirst (Vice-Chair)	Cllr Haigh
Cllr Barrett	Cllr Sankey
Cllr Bridge	Cllr Slade

#### Apologies

Cllr Wagland

#### Substitute Present

Cllr Wiles

#### Also Present

Cllr Barber

#### Officers Present

Steve Summers	-	Strategic Director
Jacqueline Mellaerts	Van	Corporate Director (Finance & Resources)
Emily Yule	-	Strategic Director
Janine Combrinck	-	Internal Audit, BDO
Zoe Borman	-	Governance and Member Support Officer

#### LIVE BROADCAST

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

#### 226. Apologies for Absence

Apologies were received from Cllr Wagland and Cllr Wiles was substitute.

## 227. Minutes of the previous meeting

The Minutes of the last Audit & Scrutiny meeting held on 26<sup>th</sup> September 2022 were agreed as a true record.

A further update was provided by Mrs Van Mellaerts concerning the closure of the 2020/21 and 2021/22 Statement of Accounts. The 2020/21 Accounts are anticipated to be signed off by the auditors, with delegated authority of the Section 151 Officer, by the end of November. With regards to the 2021/22 accounts, there is a delay in the publication of the Auditors Annual report and has not met this year's revised statutory deadlines. Ernst & Young have given their reasons by official letter which has been published on our website. However, the Council has met its statutory responsibilities and the draft 2021/22 accounts are available for public viewing via the Council's website.

With regard the S106, updates will be reported through follow ups in the Internal Audit Progress process.

## 228. Internal Audit Plan 2022/23

This report covers the Internal Audit Plan for 2022/23, included in Appendix A. This report was made to the previous Audit & Scrutiny Committee and tabled on the evening as was not included within the agenda due to an administrative error. The report was noted but was before members to approve the Internal Audit Plan for 2022/23.

Cllr Heard **MOVED** the recommendations in the report which were **SECONDED** by Cllr Hirst.

Officers assured Members that delegated authority to officers was good practice and ensured flexibility within the plan. Updates would be made to Members via the Internal Audit progress reports.

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

1. **Approve the Internal Audit Plan 2022/23 attached in Appendix A.**
2. **Delegated authority be given to the Section 151 Officer to amend the plan in year as necessary to deliver the contract.**

### Reasons for Recommendation

To approve the work programme for the Internal Audit Plan 2022/23.

## 229. Internal Audit Progress Report 2022/23

This report was intended to inform the Audit and Scrutiny Committee of progress made against the 2022/23 internal audit plan.

No reports had been finalised since the last Committee.

Ms Combrinck was present at the meeting and summarised the report.

Following a full discussion, Members noted the report.

### **230. Risk Management**

The report updated members of the Audit & Scrutiny Committee on the status of the Council's 2022/2023 Strategic Risk Register and high-level operational risks.

As a result of the current risk review the risk scores have remained the same from the previous review in August.

Of the high-level operational risks, one risk score has been increased, and the other risks scores have remained the same.

Following discussion, Members noted the report.

### **231. Scrutiny Work Programme 2022/23**

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

No work plan had been added to the programme.

Cllr Heard **MOVED** and Cllr Hirst **SECONDED** the recommendations in the report.

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

**That the Committee considers and agrees the 2022/23 Scrutiny work programme as set out in Appendix A with any additions agreed by the committee at the meeting.**

#### **Reasons for Recommendation**

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

## **232. Brentwood Leisure Trust**

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). The completed form was attached at Appendix A.

Subsequently this was agreed at the 26<sup>th</sup> January 2021 Audit and Scrutiny Committee (Min.670 refers) and added to the scrutiny work programme with the process to be dealt with by way of a cross party working group.

This report set out the conclusions and recommendations of the cross-working party working group following a review of all the information available to the group.

Officers thanked the Members involved in the Working Group for their hard work and commitment.

Cllr Heard **MOVED** and Cllr Hirst **SECONDED** the recommendations in the report.

Following a full discussion Members **RESOLVED UNANIMOUSLY:**

**That the Committee approves the recommendations as set out in 13.1 to 13.3 of this report.**

### **Reasons for Recommendation**

To ensure that future working practices for such arrangements are considered and followed correctly.

## **233. Urgent Business**

There were no items of urgent business.

As this was Mrs Van Mellaerts' last Audit & Scrutiny meeting, the Chair and Vice Chair thanked her for her hard work and service to this Committee and to the Council.

The meeting concluded at 19.35



<b>Committee:</b> Audit and Scrutiny	<b>Date:</b> 24 January 2023
<b>Subject:</b> Internal Audit Progress Report 2022/23	<b>Wards Affected:</b> All
<b>Report of:</b> Tim Willis, Interim Director Resources and Section 151 Officer	<b>Public</b>
<b>Report Author/s:</b> Tim Willis, Interim Director Resources and Section 151 Officer Telephone: 07870 863270 E-mail: Tim.Willis@brentwood.rochford.gov.uk	<b>For Information</b>

## Summary

This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2022/23 internal audit plan.

The following report has been finalised since the last Committee:

- Democratic Services audit (Moderate/Moderate)

## Main Report

### **Introduction and Background**

1. This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2022/23 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 2022/23 outline summary audit plan in July 2022 and the full audit plan was presented as a separate agenda item for the Audit and Scrutiny Committee meeting in September 2022 and November 2022. The progress against plan is reported at every Audit and Scrutiny Committee during 2022/23.

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

4. The following report has been finalised since the last Committee:

- Democratic Services audit (Moderate/Moderate)

The conclusion of the audit is as follows:

#### Democratic Services audit (Moderate/Moderate)

5. Our audit identified a number of areas of good practice in Democratic Services that assist the Council in functioning in an open and transparent way, including processes for publication of Committee papers and decisions, member declaration of interests and approval of changes to the Council's Constitution.

However, we identified a few areas for improvement, with the most significant being the lack of central filing of documentation for member complaints, which has resulted in the Council being unable to provide us with sufficient evidence for our sample testing. We also noted delays in some Freedom of Information responses and extensions to the response deadlines not being agreed. In addition, actions from the Senior Leadership Team meetings were not clearly recorded on an action log to enable easy identification and monitoring.

Overall, we provide moderate assurance over both the design and effectiveness of controls.

We raised one high priority, three medium priority and two low priority recommendations.

6. A Summary of outstanding Recommendations from previous audits are included in Appendix B – Follow up report.
7. This is regularly monitored by Senior Officers and will be followed up again ahead of the next Audit and Scrutiny Committee, along with other recommendations due by 28 February 2023.

#### **Consultation**

Not applicable.

#### **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: Tim Willis, Interim Director Resources and Section 151 Officer.**  
**Tel/Email: 01277 312500 / tim.willis@brentwood.rochford.gov.uk**

There are no direct financial implications arising from this report.

**Legal Implications**

**Name & Title: Claire Mayhew, Corporate Manager (Democratic Services) and Deputy Monitoring Officer**

**Tel & Email: 01277 312500/claire.mayhew@brentwood.gov.uk**

There are no legal implications arising from this report.

**Economic Implications**

**Name/Title: Phil Drane, Director of Place**

**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

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**INTERNAL AUDIT  
PROGRESS REPORT**

Brentwood Borough Council

2022/23

# CONTENTS

SUMMARY OF 2022/23 WORK ..... 2

REVIEW OF 2022/23 WORK..... 3

DEMOCRATIC SERVICES AUDIT ..... 4

KEY PERFORMANCE INDICATORS ..... 8

APPENDIX 1 ..... 10

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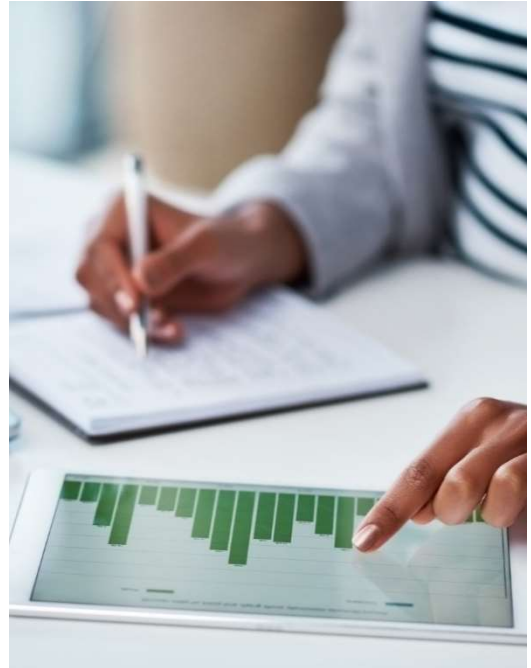
# SUMMARY OF 2022/23 WORK

## INTERNAL AUDIT

This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2022/23 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.



## 2022/23 INTERNAL AUDIT PLAN

We are now making progress in the delivery of the 2022/23 audit plan, and we are pleased to present the following report to this Audit and Scrutiny Committee meeting:

- Democratic Services audit

The following audit is in the completion stage:

- Cyber Security

Fieldwork is in progress on the following audits:

- Environment - fly tipping, street cleaning and enforcement
- Sheltered accommodation

The remaining audits are being planned and will be completed over the remainder of this financial year.

## CHANGES TO THE 2022/23 INTERNAL AUDIT PLAN

At officers' request, we have changed the Housing Information audit into an audit of Sheltered Accommodation. We have also agreed to include an advisory review as part of our audit of the main financial systems and to carry out the Climate Change review on an advisory basis.

# REVIEW OF 2022/23 WORK

AUDIT	COUNCIL LEAD	AUDIT COMMITTEE	PLANNING	FIELD WORK	REPORTING	DESIGN	EFFECTIVENESS
Main financial systems	Interim Director Resources	June 2023	✓				
Commercialisation and cost savings	Interim Director Resources	June 2023	✓				
Payroll shared service	Interim Director Resources	June 2023					
Partnership with Rochford	Strategic Director	March 2023	✓				
Policy review	Director Policy and Delivery	June 2023					
Data protection	Interim Director People and Governance	June 2023					
Cyber security	Corporate Manager - IT & Service Improvement	March 2023	✓	✓			
Sheltered accommodation	Corporate Manager - Housing Needs and Delivery	March 2023	✓	✓			
Environment - fly tipping, street cleaning and enforcement	Director Environment and Director Communities and Health	March 2023	✓	✓			
Climate change	Director Environment	March 2023	✓				
Leisure services	Corporate Manager Communities, Leisure and Health	June 2023					
Licensing	Environmental Health and Licensing Manager	March 2023	✓				
Democratic services	Corporate Manager (Democratic Services) and Deputy Monitoring Officer	January 2023	✓	✓	✓	M	M



# DEMOCRATIC SERVICES AUDIT

## CRR REFERENCE: CYCLICAL REVIEW

Design Opinion	M Moderate	Design Effectiveness	M Moderate
Recommendations	1 3 2		



### SCOPE

#### BACKGROUND

Democratic Services in the Council is part of the People and Governance Directorate, which is headed up by the Director of People and Governance (Monitoring Officer). The Democratic Services team consists of a corporate manager, three governance support officers and an apprentice. A separate team within the Directorate covers Elections and the maintenance of the electoral register.

The Council operates a 'Committee style' form of governance, with decision making falling to Committees which are made up of a mix of Councillors from all political parties. The Democratic Services team manages the process for all Council and Committee meetings. This is done through the modern.gov app, which ensures that the forward plan and all agendas, reports, minutes and decisions for each Committee are published on the Council's external website.

The Committees are supported by a number of officer and Councillor Working Groups, and Democratic Services ensure that these meetings are minuted.

Constitution updates are made in accordance with Article 12 of the Constitution and a cross-party Constitution Working Group is carrying out a fundamental review of the Constitution, that will be taken to Council for approval.

The Democratic Services team is responsible for recording notices of motions from members and carried out a process in 2021/22, together with the then Deputy Chief Executive, to log and follow up on motions approved by Ordinary Council during the year. A report on progress against these motions was presented to the Audit and Scrutiny Committee in March 2022.

The Democratic Services team supports Councillors in ensuring that relevant training is provided, financial and other interests are declared, and in dealing with members' enquiries. Member requests are logged in the DASH system, through a members' portal, and these requests go to case officers to address. During 2021/22, responsibility for overall monitoring of member requests returned to Democratic Services (having previously resided with the Digital and IT service) and the team has carried out a project to track progress against outstanding requests.

Complaints against Councillors are reviewed by the Monitoring Officer or the Deputy Monitoring Officer (Corporate Manager for Democratic Services), who ensure that independent views are sought and that Councillors are notified of the complaint and the outcome of the review.

Democratic Services also support the weekly meetings of the Senior Leadership Team (SLT) / Corporate Leadership Team (CLT) under the One Team partnership with Rochford District Council, and cover Freedom of Information (FOI) requests received from members of the public.

#### AREAS REVIEWED

1. **Council and Committee management:** we reviewed a sample of Council and Committee meeting agendas, reports and minutes from April to October 2022, to check if they were published on a timely basis, included required information, and that quoracy requirements were met for decision making purposes

2. **Councillor declarations of interest:** we reviewed the processes for ensuring that Councillors complete annual declarations of interest forms, on a timely basis, and notify any further interests that arise during the year
3. **Constitution updates:** we reviewed the process followed for reviewing and seeking approval for updates to the Constitution between January 2021 and October 2022
4. **Councillor training:** we reviewed what induction training was provided to new Councillors during 2022 and attendance records for ongoing mandatory training
5. **Complaints against Councillors:** we reviewed a sample of complaints received against councillors from March 2021 to October 2022 and checked that appropriate processes have been followed for review by the Monitoring and/or Deputy Monitoring Officer, seeking views from independent persons, responding to the complainant on a timely basis, and notifying the Councillor of the complaint and the outcome
6. **Senior leadership team meetings:** we reviewed a sample of SLT meeting minutes from March to July 2022 to determine if required actions were adequately recorded and followed up
7. **Freedom of information requests:** for a sample of FOI requests received from October 2021 to October 2022, we reviewed the Council's processes for responding to the requests in accordance with the Council's policies and statutory timeframes.



## AREAS OF STRENGTH

We identified the following good practice:

- ▮ Agendas and papers for meetings are uploaded onto the Council's website for Ordinary Council, Extraordinary Council and Committees at least five days before the meeting, as required by the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012
- ▮ Standard cover report templates are used for all Committee meetings, which have a section outlining the decision required of the Committee and the rationale for the decision. Decisions made in Committee meetings are recorded in the minutes, with a separate page on the website outlining the decisions taken by each Committee
- ▮ Declarations of interest are recorded on the minutes of each Committee, at the start of the meeting. Additionally, all declarations reported are consolidated on a separate page on the Council's website, allowing the public to search for all declarations made at each Committee over a specified timeframe
- ▮ Changes to the Constitution are considered by either the Constitution Working Group or the Audit and Scrutiny Committee, with a recommendation made to Ordinary Council. The six amendments to the Constitution in this period reviewed were all approved by Ordinary Council.



## AREAS OF CONCERN

Our work highlighted the following areas of concern:

- ▮ There was inadequate evidence to support the processes and notifications underpinning the three complaints against Councillors that we sampled in the audit, as there is no central filing system for this documentation (Finding 1 - High)
- ▮ The published training record for councillors indicates that 16 out of 37 councillors have not completed Code of Conduct training (a requirement of the Council's Constitution) since the published training record commenced in 2018 (Finding 2 - Medium)
- ▮ Since 2021 there have been instances of members of the Licensing Committee or previous Planning and Licensing Committee attending meetings before receiving the necessary training or refresher training, as required by the Council's Constitution (Finding 3 - Low)
- ▮ An action log is not maintained for SLT meetings limiting the effectiveness of identifying and monitoring the completion of agreed actions (Finding 4 - Medium)
- ▮ Four out of 20 (20%) FOI requests sampled were not responded to within the required 20 working days and there was no evidence of an agreed extension (Finding 5 - Medium)

At time of our audit fieldwork, updated declaration of interest forms had not been published for two out of 37 Councillors (5%) since 2021, although they have since been uploaded (Finding 6 - Low).



## CONCLUSION

Our audit identified a number of areas of good practice in Democratic Services that assist the Council in functioning in an open and transparent way, including processes for publication of Committee papers and decisions, member declaration of interests and approval of changes to the Council's Constitution.

However, we identified a few areas for improvement, with the most significant being the lack of central filing of documentation for member complaints, which has resulted in the Council being unable to provide us with sufficient evidence for our sample testing. We also noted delays in some FOI responses and extensions to the response deadlines not being agreed. In addition, actions from SLT meetings were not clearly recorded on an action log to enable easy identification and monitoring.

Overall, we provide moderate assurance over both the design and effectiveness of controls.

## MANAGEMENT ACTION PLAN:

Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
<p><b>Member complaints</b></p> <p>Documentation and correspondence for complaints should be saved centrally, with a separate folder for each complaint. The filing system should include, as a minimum:</p> <ul style="list-style-type: none"> <li>• Notification to the relevant Councillor of the complaint and the outcome of the assessment</li> <li>• Notification to the Group Party Leader of the complaint and the outcome of the assessment</li> <li>• Acknowledgement of the complaint and notification of the outcome of the assessment to the complainant</li> <li>• Copy of the initial complaint and any supporting documentation</li> <li>• Correspondence with the Independent Person</li> <li>• Any further documentation relating to an investigation or a hearing.</li> </ul>	High	<p>All documentation and correspondence regarding complaints is now filed appropriately so that it can be easily accessed when required. This will be reviewed to determine how effectively this is operating, by the implementation date below.</p>	<p>Claire Mayhew, Corporate Manager (Democratic Services) and Deputy Monitoring Officer</p> <p>31 March 2023</p>
<p><b>Member training</b></p> <p>Dates should be established for Model Code of Conduct training for all</p>	Medium	<p>A Members' development and training programme is being developed and will be in place for the</p>	<p>Claire Mayhew, Corporate Manager (Democratic Services) and</p>

Recommendation	Priority	Management Response	Responsible Officer and Implementation Date
Councillors who have never received the training.		new municipal year. This is being done jointly with Rochford District Council and all Councillors will be required to attend mandatory training, including training on the new Model Code of Conduct and training required for regulatory committees.	Deputy Monitoring Officer 30 June 2023
<b>Management meetings</b> <ol style="list-style-type: none"> <li>Officers should amend the format of its management team meeting minutes to ensure that actions are more clearly identifiable, for example by adding a column next to each agenda item for any actions agreed and the officer responsible for completing the action.</li> <li>A separate action log should be developed and provided with the agenda to each CLT meeting including: <ul style="list-style-type: none"> <li>all actions agreed at meetings</li> <li>the action owner</li> <li>a status update.</li> </ul> </li> <li>The CLT should use the action log to follow up on all actions that are outstanding at each meeting.</li> </ol>	Medium	<ol style="list-style-type: none"> <li>This is now in place.</li> <li>Actions and action owners are now logged at each CLT meeting but the process will be reviewed in line with the recommendation to ensure that all actions are followed up and the status recorded.</li> <li>As per 2 above.</li> </ol>	Claire Mayhew, Corporate Manager (Democratic Services) and Deputy Monitoring Officer 31 January 2023
<b>Freedom of Information response processes</b> <ol style="list-style-type: none"> <li>Democratic Services should monitor the responses to FOI requests by the departments and follow up on any open FOIs that are approaching the 20 working-day deadline or ensure that extensions are agreed.</li> <li>Training on the FOI process and legislative requirements should be provided to all officers who are involved in responding to and monitoring FOI requests.</li> <li>A report on the status of FOI requests should be presented to CLT for oversight on at least a quarterly basis.</li> </ol>	Medium	Officers will review the FOI process and training requirements as part of a services review with Rochford District Council.	Claire Mayhew, Corporate Manager (Democratic Services) and Deputy Monitoring Officer 31 May 2023

# KEY PERFORMANCE INDICATORS

QUALITY ASSURANCE	KPI	RAG RATING
1. Annual Audit Plan delivered in line with timetable.	A few audits have been deferred, as detailed on page 3.	A
2. Actual days are in accordance with Annual Audit Plan.	We are on track to meet this KPI.	G
3. Customer satisfaction reports - overall score at least 70% for surveys issued at the end of each audit.	No survey responses received yet for 2022/23.	N/A
4. Annual survey to Audit Committee to achieve score of at least 70%.	Annual survey for 2022/23 not yet completed.	N/A
5. At least 60% input from qualified staff.	This KPI has been met in audits completed to date.	G
6. Issue of draft report within 3 weeks of fieldwork 'closing' meeting.m any external review	This KPI has been met for 1 out of 1 audit (see table below).	G
7. Finalise internal audit report 1 week after management responses to report are received.	This KPI has been met for 1 out of 1 audit (see table below).	G
8. Positive result from any external review.	Following an External Quality Assessment by the Institute of Internal Auditors in May 2021, BDO were found to 'generally conform' (the highest rating) to the International Professional Practice Framework and Public Sector Internal Audit Standards	G
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 2 out of 6 audits (see table below). The KPI regarding draft report has been met for 1 out of 1 audit (see table below).	A
10. Audit sponsor to implement audit recommendations within the agreed timeframe.	Of the recommendations raised to date for 2022/23, none are yet due.	N/A
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 experienced delays in receipt of information to enable us to complete the Democratic Services and Cyber security audits on a timely basis.	A

**AUDIT TIMETABLE DETAILS (2022/23AUDITS)**

Audit	Draft TOR issued	Management response to TOR received	Closing meeting	Draft report issued	Management response to draft report received	Final report issued
Main financial systems						
Commercialisation and cost savings						
Payroll shared service						
Partnership with Rochford	23/12/22	12/01/23 (KPI 9 not met)				
Policy review						
Data protection						
Cyber security	16/09/22	29/09/22 (KPI 9 not met)				
Sheltered accommodation	02/12/22	05/12/22 (KPI 9 met)				
Environment - fly tipping, street cleaning and enforcement	02/12/22	15/12/22 (KPI 9 not met)				
Climate change						
Leisure services						
Licensing	28/11/22	01/12/22 (KPI 9 met)				
Democratic Services	10/03/22	08/04/22 (KPI 9 not met)	11/01/23	11/01/23	11/01/23 (KPI 9 met)	13/01/23 (KPI 7 met)

**KEY FOR RAG RATING:**



= met target



= not met target







= partly met target






= not applicable

# APPENDIX 1

## OPINION SIGNIFICANCE DEFINITION

LEVEL OF ASSURANCE	DESIGN OPINION	FINDINGS FROM REVIEW	EFFECTIVENESS OPINION	FINDINGS FROM REVIEW
 <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.

## RECOMMENDATION SIGNIFICANCE DEFINITION

RECOMMENDATION SIGNIFICANCE	
 <b>High</b>	A weakness where there is substantial risk of loss, fraud, impropriety, poor value for money, or failure to achieve organisational objectives. Such risk could lead to an adverse impact on the business. Remedial action must be taken urgently.
 <b>Medium</b>	A weakness in control which, although not fundamental, relates to shortcomings which expose individual business systems to a less immediate level of threatening risk or poor value for money. Such a risk could impact on operational objectives and should be of concern to senior management and requires prompt specific action.
 <b>Low</b>	Areas that individually have no significant impact, but where management would benefit from improved controls and/or have the opportunity to achieve greater effectiveness and/or efficiency.



**FOR MORE INFORMATION:**

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# INTERNAL AUDIT FOLLOW UP OF RECOMMENDATIONS REPORT

BRENTWOOD BOROUGH COUNCIL

January 2023

Page 25

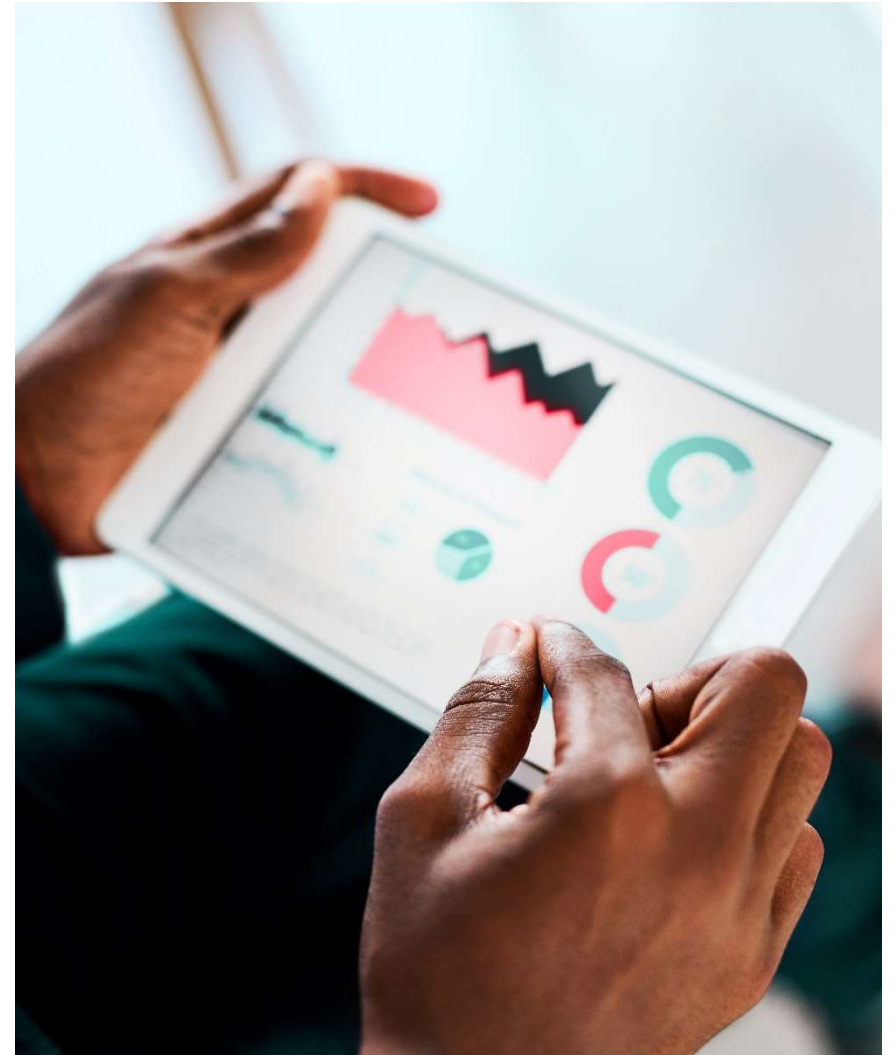
Appendix B

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**IBDO**

# CONTENTS

SUMMARY ..... 2  
RECOMMENDATIONS: COMPLETE SINCE LAST FOLLOW UP REPORT ... 5  
RECOMMENDATIONS: IN PROGRESS..... 10  
RECOMMENDATIONS: OVERDUE ..... 13



# SUMMARY

## 2018 - 2022

	Total Recs	H	M	L	To follow up	Complete		In progress		Overdue		Not Due	
						H	M	H	M	H	M	H	M
<b>2021/22</b>													
Risk management	3	-	3	-	3	-	-	-	3	-	-	-	-
Main financial systems	5	-	2	3	2	-	1	-	1	-	-	-	-
Capital projects	1	-	1	-	1	-	-	-	-	-	-	-	1
Partnerships	2	-	2	-	2	-	-	-	1	-	1	-	-
IT data breaches	4	-	4	-	4	-	3	-	-	-	1	-	-
Building control	2	-	2	-	2	-	1	-	-	-	1	-	-
Planning	3	-	3	-	3	-	3	-	-	-	-	-	-
Homelessness	4	-	3	1	3	-	3	-	-	-	-	-	-
Section 106 agreements	2	2	-	-	2	-	-	2	-	-	-	-	-
<b>2020/21</b>													
Procurement and contract management	6	-	4	2	4	-	4	-	-	-	-	-	-
Disaster recovery and business continuity	1	-	1	-	1	-	-	-	-	-	1	-	-
Cyber security	4	-	3	1	3	-	3	-	-	-	-	-	-
Environment - Street cleaning, fly tipping and enforcement	6	2	4	-	6	-	-	-	-	-	-	2*	4*
Licensing	7	2	4	1	6	-	-	-	-	-	-	2*	4*

2018 - 2022	Total Recs	H	M	L	To follow up	Complete		In progress		Overdue		Not Due	
						H	M	H	M	H	M	H	M
<b>2019/20</b>													
Trade waste	2	-	1	1	1	-	1	-	-	-	-	-	-
<b>2018/19</b>													
PCI/DSS Compliance	5	1	4	-	5	1	4	-	-	-	-	-	-
Total	57	7	41	9	48	1	23	2	5	-	4	4	9

\* These recommendations are due but are marked here as not due as they are being followed up separately in a new audit of the service in 2022/23

# SUMMARY

Of the 196 high and medium priority recommendations raised over the period 2018 to 2022, 172 have been closed, seven are in progress, four are overdue and 13 are not yet due or not included in the follow up. We have confirmed with reference to evidence and through discussions that six recommendations have been completed/closed since our last follow up report.

Six high priority recommendations are outstanding, two of which are being monitored by the Council (relating to S106 agreements) and four of which are not included in the follow up as they are being re-audited in 2022/23.

## 2021/22

Of the 24 high or medium priority recommendations raised in 2021/22, seven are in progress (including the two high priority recommendations relating to S106 agreements), three are overdue and one is not yet due.

## 2020/21

Of the 49 high or medium priority recommendations raised in 2020/21, one is overdue and 12 are not included in the follow up. The 12 not included in the follow up include six Licensing recommendations (two of which are high priority) and six Steet cleaning, fly-tipping and enforcement recommendations (two of which are high priority) which are being followed up by new audits of the services (including sample testing) as part of the 2022/23 internal audit plan.

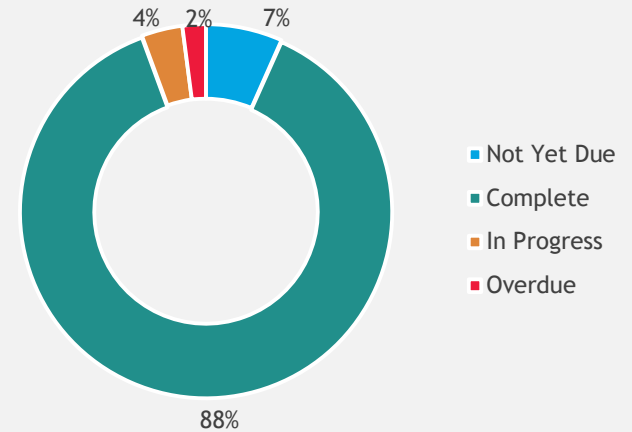
## 2017/18 TO 2019/20

Of the 123 high or medium priority recommendations raised in 2017/18 to 2019/20, none are outstanding.

### REQUIRED AUDIT & SCRUTINY COMMITTEE ACTION:

We ask the Audit and Scrutiny Committee to note the progress against the recommendations.

### 2018 - 2022 Cumulative implementation



## RECOMMENDATIONS: COMPLETE SINCE LAST FOLLOW UP REPORT

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2018/19 - PCI/DSS Compliance	<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 information security event.</li> </ul> <p>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>	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><del>October 2021</del></p> <p><del>June 2022</del></p> <p><del>September 2022</del></p> <p><del>December 2022</del></p> <p>Closed</p>	<p><u>Management update:</u></p> <p>The policy has been developed.</p> <p>Storage of data in within the information security policies and management of data is part of the GDPR training.</p> <p>A new learning portal is in place and mandatory PCI training for specific staff dealing with card payment processing is being rolled out in January 2023.</p> <p><u>Internal audit comment:</u></p> <p>Internal Audit was previously satisfied from review of the policy dated November 2019 that these elements have been included.</p> <p>Recommendation now closed following receipt of evidence of the new learning portal.</p>

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2019/20 - Trade Waste	<p><b>19/20 TW 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><del>March 2020</del></p> <p><del>March 2021</del></p> <p><del>September 2022</del></p> <p><del>June 2023</del></p> <p>Closed</p> <p><del>October 2019</del></p> <p><del>February 2020</del></p> <p>Closed</p> <p><del>October 2019</del></p> <p><del>February 2020</del></p> <p>Closed</p> <p>Ongoing</p> <p><del>March 2021</del></p> <p><del>March 2022</del></p> <p><del>September 2022</del></p> <p><del>June 2023</del></p> <p>Closed</p>	<p><u>Management update:</u></p> <p>This action is on hold as we are still focussing on ensuring we are meeting the needs of our current clientele in terms of the collection of residual waste and the relatively new recycling collection service.</p> <p>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>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>As per part a above.</p> <p><u>Internal audit comment:</u></p> <p>Parts b and c were previously closed.</p> <p>Parts (a) and (d) now closed by Internal Audit following discussion with the Director of Environment in which it was agreed that these actions are not currently priorities for the service.</p>

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2020/21- Cyber Security	<p><b>20/21 CSec rec 1:</b></p> <p>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.</p> <p>b) Training completion should be monitored and there should be a record of all the training that has been provided and completed.</p>	Medium	Tim Huggins (ICT Manager)	<p><del>July 2021</del></p> <p><del>October 2021</del></p> <p><del>April 2022</del></p> <p><del>June 2022</del></p> <p><del>September 2022</del></p> <p><del>February 2023</del></p> <p>Closed</p>	<p><u>Management update:</u></p> <p>Joint cyber training is arranged with Rochford District Council for Jan/Feb 23. In addition, the Council's new learning portal provides staff have access to various blogs and knowledge articles regarding the latest scams and phishing attacks.</p> <p>The learning portal provides full monitoring and reporting functions for courses.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation closed following receipt of information available on the learning portal.</p>
2021/22 - IT Data Breaches	<p><b>21/22 ITDB rec 4:</b></p> <p>a) 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>b) 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>	Medium	Tim Huggins (ICT Manager)	<p><del>December 2021</del></p> <p><del>June 2022</del></p> <p><del>September 2022</del></p> <p><del>March 2023</del></p> <p>Closed</p>	<p><u>Management update:</u></p> <p>The Council already has embedded processes for new starters to carry out information governance training before they start.</p> <p>A new learning portal is in place and this includes mandatory GDPR training for all staff that is being rolled out from January 2023. Staff members are being notified of the course and given a time scale to complete. Managers will be notified of the changes and will need to provide support in ensuring this is completed.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation closed following receipt of information available on the learning portal.</p>



AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2021/22 - Planning	<p>21/22 PLN rec 1</p> <p>The Council should ensure that it has clear staff guidance for reviewing and assessing planning applications and that it carries out periodic reviews of the guidance (e.g. annually) to ensure that it remains up to date and reflects the latest requirements. An updated Handbook should continue to cover at a minimum:</p> <ul style="list-style-type: none"> <li>• The role of Councillors and Officers</li> <li>• Planning advice</li> <li>• Declaration of interests in planning applications</li> <li>• Officer reports to Committee</li> <li>• Committee site visits</li> <li>• Lobbying</li> <li>• Public speaking at Committees</li> <li>• Decisions contrary to Officer recommendation/Development Plan</li> <li>• Regular review of planning decisions</li> <li>• Complaints.</li> </ul>	Medium	Caroline Corrigan (Corporate Manager Planning Development Management)	<p><del>May 2022</del></p> <p><del>September 2022</del></p> <p>December 2022</p> <p>Closed</p>	<p><u>Management update:</u></p> <p>An Officer handbook has been produced. This is a live document which will be constantly updated, especially when new officers join the Council as they will be best placed to point out any missing information.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation closed following receipt of the Officer Handbook.</p>
2021/22 - Planning	<p>21/22 PLN rec 2</p> <p>The Planning team should put in place a Declaration of Interests register to log any conflicts of interest where a Planning Officer has been assigned a planning application from an applicant they have a connection with.</p>	Medium	Caroline Corrigan (Corporate Manager Planning Development Management)	<p><del>May 2022</del></p> <p><del>September 2022</del></p> <p><del>December 2022</del></p> <p>Closed</p>	<p><u>Management update:</u></p> <p>Guidance on declaring interests has been included in the new Officer Handbook and a log will be kept of declared interests.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation closed following receipt of the Officer Handbook.</p>

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2021/22 - Homelessness	<p><b>21/22 HLN rec 4:</b></p> <p>The Council should review the KPIs that it reports to SLT as well as the Environment, Enforcement and Housing Committee in respect of homelessness, rough sleeping and temporary accommodation.</p> <p>Consideration should be given to inclusion of the following KPIs:</p> <ul style="list-style-type: none"> <li>• The number of homelessness cases received as a cumulative total in the year and for the month</li> <li>• The number of homelessness cases by case type i.e. prevention, relief, triage and decision</li> <li>• The number of open and closed homelessness cases</li> <li>• % of cases where the 56 day rule has been met</li> <li>• Number of rough sleepers in the borough</li> <li>• Number of referrals made via StreetLink.</li> </ul>	Medium	Angela Abbott (Corporate Manager - Housing Needs and Delivery)	<p>January 2022</p> <p><del>June 2022</del></p> <p><del>September 2022</del></p> <p><del>December 2022</del></p> <p>Closed</p>	<p><u>Management update:</u></p> <p>A suite of proposed KPIs and Service Standards has been prepared, which includes the KPIs recommended by the audit.</p> <p>A report went to the December 22 Housing Committee for approval to increase the number of KPIs that are reported to future Committees. Further KPIs are reviewed in the Housing Management team meetings.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation closed following receipt of the Housing Committee report.</p>

## RECOMMENDATIONS: IN PROGRESS

These recommendations have been marked as In Progress as they have not been implemented by their original date; a revised date has been provided.

AUDIT	RECOMMENDATIONS MADE	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2021-22 - S106 agreements	<p><b>S106 rec 1:</b></p> <p>a) The Council should identify an appropriate function to take central ownership of s106 agreements. This team should then lead on all aspects of s106 arrangements, including negotiating the agreements with developers and monitoring them from planning consent through to delivery.</p> <p>b) The function should ensure that there are sufficient mechanisms in place to liaise with developers, to monitor progress of developments. Progress meetings with the developers should be implemented, taking account of the size of developments and anticipated speed of progress.</p> <p>c) The function should also liaise with Finance to ensure invoices are issued accurately and in a timely manner.</p> <p>d) A central s106 agreement register/tracker should be put in place where all aspects of the s106 agreements can be recorded and monitored, including progress against trigger points and the status of any payments. This tracker should be owned by the responsible function recommended above and should be reported to each of the teams involved in the management of s106 agreements (Planning, Housing, Finance and Legal) on a regular basis (quarterly as a minimum) with each of the teams being required to provide updates as appropriate.</p>	High	<p><del>Ian Winslet (Strategic Director, Housing and Regeneration)</del></p> <p>Steve Summers (Strategic Director) and Julian Higson (Interim Director Housing)</p>	<p>January 2023</p> <p>February 2023</p>	<p><u>Management update:</u></p> <p>A new structure for strategic housing is at design stage. The new structure includes a new post of Policy and Enabling Officer which will have multifunctional responsibility for Policy, Registered Provider and major application developer relations and related forums. The post will be the single point of contact for Section 106 agreements as they relate to affordable housing and lead/co-ordinator for all commuted sums held. The post holder will be the single organisational liaison point for affordable housing Section 106 with Planning, Finance and Legal. Given the significance identified in the audit, consideration will be given to accelerating the appointment of this post in advance of the wider Housing Department restructure.</p> <p>A new tracker will be developed and held and co-ordinated within the strategic housing function. This will be reported regularly to the new Housing Committee at an interval agreed with the Chair.</p> <p>However, the previous Director responsible for these recommendations left the Council before Christmas. The responsibility has been passed to the Council's Strategic Director and will be reviewed with the Interim Director of Housing to ensure this is the right way forward. This will be completed by the end of February 2023.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open.</p>

AUDIT	RECOMMENDATIONS MADE	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2021-22 - S106 agreements	<p><b>S106 rec 2:</b></p> <p>Responsibility for the recording, allocation and monitoring of s106 contributions to the capital programme should be clearly assigned and communicated to a team or individual within the Council, who should own the process for ensuring contributions are utilised on appropriate projects in a timely manner and prior to any contributions becoming repayable to the developers.</p>	High	<p><del>Ian Winslet (Strategic Director, Housing and Regeneration)</del></p> <p>Steve Summers (Strategic Director) and Julian Higson (Interim Director Housing)</p>	<p>January 2023</p> <p>February 2023</p>	<p><u>Management update:</u></p> <p>A new 'Section 106 officer panel' will be set up, led by an appropriate functional director, which will be populated by a representative from housing, communities, open space and environment together with finance and legal. The panel will 'own' the section 106 list of contributed sums, identify opportunities for their use and ensure that none are required to be returned. Governance and reporting arrangements for this panel will be agreed in line with the Council's constitution.</p> <p>The responsibility for this recommendation has been passed to the Council's Strategic Director and will be reviewed with the Interim Director of Housing by the end of February 2023.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open.</p>
2021/22 - Partnerships	<p><b>21/22 PART rec 2:</b></p> <p>The Senior Leadership Team should ensure that an Annual Performance Assessment is completed by the partnership leads for all partnerships. Reminders should be put in place before the annual deadline to ensure this is completed in a timely manner.</p>	Medium	Kim Anderson (Corporate Manager Communities, Leisure and Health)	<p><del>July 2022</del></p> <p>March 2023</p>	<p><u>Management update:</u></p> <p>At the Council's next Extended Leadership Team meeting all Corporate Managers that are the leads for the partnerships on the register will have to complete an annual performance review. This will be completed in March 2023.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open.</p>
2021/22 - Main Financial Systems	<p><b>21/22 MFS rec 1:</b></p> <p>When requesting approval of loans, the e-mail request should explicitly set out all the key facts about each loan that demonstrates that it meets the requirements of the Treasury Management Strategy in terms of risks and affordability.</p>	Medium	Alistair Greer (Principal Accountant - Financial reporting)	<p><del>September 2022</del></p> <p>January 2023</p> <p>April 2023</p>	<p><u>Management update:</u></p> <p>Officers are continuing to develop processes for implementing this proposal. Implementation of this recommendation has been delayed by changes in the management structure of the finance team, and the target implementation date is now April 2023.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open.</p>

AUDIT	RECOMMENDATIONS MADE	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2021/22 - Risk Management	<p><b>21/22 RSK rec 1:</b></p> <p>a) Management should review the content of the previous risk management training provided (in person and online), decide the best format for the training going forward and determine which staff need to receive the training.</p> <p>b) Training completion rates should be monitored closely and reported to senior management on a periodic basis to ensure any low levels of completion are addressed.</p>	Medium	Sue White, (Risk and Insurance Officer)	<del>December 2022</del> March 2023	<p><u>Management update:</u></p> <p>The e-learning module will be reviewed, together with a review of staff that require training.</p> <p>This action remains in progress.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open.</p>
2021/22 - Risk Management	<p><b>21/22 RSK rec 2:</b></p> <p>Risk Officers and senior Management should review how risks are recorded in the risk registers to ensure they adequately define the cause, uncertain event (the risk) and consequence of each risk. Where risks recorded by a particular risk owner are identified as inadequately documented then further training should be provided to them.</p>	Medium	Sue White, (Risk and Insurance Officer)	<del>December 2022</del> March 2023	<p><u>Management update:</u></p> <p>Discussed at ELT meeting on 13th June and details of the risks without sufficient documentation has been sent to Risk Owners. These will then be discussed with relevant risk owners.</p> <p>This action remains in progress.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open.</p>
2021/22 - Risk Management	<p><b>21/22 RSK rec 2:</b></p> <p>a) The risk officer and senior management should monitor actions taken against risks and ensure that risk owners clearly document what actions have been taken to support reductions in risk scores.</p> <p>b) Staff should be sufficiently trained to understand how strengthening internal controls can have a direct impact on mitigating risks.</p>	Medium	Sue White, (Risk and Insurance Officer)	<del>December 2022</del> March 2023	<p><u>Management update:</u></p> <p>A guide to Risk Controls and Treatments has been sent out to Risk Owners and further training will be provided.</p> <p>This action remains in progress.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open.</p>

## RECOMMENDATIONS: OVERDUE

These recommendations have been marked as overdue as they have exceeded their original and revised implementation dates by at least once. Therefore, they have now missed at least two revised implementation dates.

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2021/22 - Building Control	<p><b>21/22 BC rec 2:</b></p> <p>The service should request the Council's ICT department and third-party provider to enable functionality that allow management to download reports from the system which closely monitor progress against ISO and statutory KPIs. There should be reports that show:</p> <ul style="list-style-type: none"> <li>- Application date and date approved or rejected versus the ISO and statutory completion date requirements</li> <li>- All current active applications being worked on</li> <li>- All rejected applications within a specified timeframe</li> <li>- All approved applications within a specified timeframe.</li> </ul> <p>The Council should also liaise with the system service provider to ensure that the completion deadline dates are precisely calculated on the system.</p>	Medium	Gary Price-Sampson (Building Control Team Leader)	<p><del>June 2022</del></p> <p><del>October 2022</del></p> <p><del>December 2022</del></p> <p>February 2023</p>	<p><u>Management update:</u></p> <p>A system to advise on decision dates still needs to be developed, however this is not currently a KPI within the LABC ISO system we operate. It will be a most useful tool and will continue to be pursued / developed. This is a 'loop hole' likely to be closed out by the LABC ISO system at some date as the statutory decision dates are the indicator of ultimate failure, rather than the LABC 'self set' KPIs. Information on these ultimate failures is currently collected manually by us.</p> <p>This action currently remains in progress.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open.</p>
2021/22 - Partnerships	<p><b>21/22 PART rec 1:</b></p> <p>a) The Council should ensure that the Partnership Checklist is completed in all cases and held centrally. Consideration should be given to retrospectively completing the checklist for the Community Safety Partnership.</p>	Medium	Kim Anderson (Corporate Manager Communities, Leisure and Health)	<p><del>July 2022</del></p> <p><del>September 2022</del></p> <p><del>December 2022</del></p> <p>February 2023</p>	<p><u>Previous management update:</u></p> <p>A Teams site has been created and documents have been uploaded, which the Corporate Leadership Team and the Extended Leadership Team can access. The Corporate Manager that is the lead for the Community Safety Partnership has retrospectively completed the checklist.</p>

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
	<p>b) The Partnerships Register should clearly indicate the risk level for all partnerships listed and the gaps in the register should be completed retrospectively.</p> <p>c) The Council's Partnership Register should include a hyperlink to the completed Partnership Checklist.</p>				<p>The Partnership Register is currently being updated to provide the risk level for each of the partnerships. This is due for completion by end of February 2023.</p> <p>The Partnership Register is currently being updated to include a hyperlink to the completed Partnership Checklist. This is due for completion by end of February 2023. The Partnership lead is working with IT to create the content and links for the webpage.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open until full completion can be evidenced. Moved from 'In progress' to 'Overdue'.</p>
2020/21 - Disaster Recovery and Business Continuity	<p><b>20/21 DRBC rec 1:</b></p> <p>Management should perform a training needs analysis to identify and assess the level and type of training required by all members of staff with regards to business continuity and disaster recovery and should develop a mandatory training programme that is based upon these requirements. Training delivery methods could include, but not be limited to, the exercise types suggested in Appendix I in our report. Attendance should be recorded and monitored and training records should be maintained for audit purposes.</p> <p>Furthermore, Management should conduct a formally documented test of its business continuity and disaster recovery arrangements and should put arrangements in place to test them on a routine basis or following a significant change to the Council's operations. The results of the tests should be reported to Senior Management and any issues identified should be resolved in a timely manner.</p>	Medium	Sue White, (Risk and Insurance Officer)	<p><del>October 2021</del></p> <p><del>June 2022</del></p> <p><del>September 2022</del></p> <p><del>December 2022</del></p> <p>September 2023</p>	<p><u>Management update:</u></p> <p>The training was provided in May 2022.</p> <p>Officers are considering a One Team approach to emergency planning and business continuity with Rochford District Council and liaison between the two councils has commenced regarding plans to start developing the new joint Business Continuity Plan. A new format for the plan has been developed which is similar to that which both Councils currently use but incorporates learning from the pandemic.</p> <p>Due to these changes, there has been no testing of BC Plans to date, although the Council has considered how each Council would respond should there be any power outages.</p> <p>The Council is registered with Gov.uk Notify and IT has successfully used this method of communication on a number of occasions to inform staff when there is an IT issue.</p> <p>The Council has considered how each Council would respond should there be any power outages.</p> <p><u>Internal audit comment:</u></p> <p>First part of the recommendation previously closed by Internal audit. However, second part of recommendation regarding a test of business continuity arrangements remains open.</p>

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2021/22 - IT Data Breaches	<p><b>21/22 ITDB rec 1:</b></p> <p>a) 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 and in line with the Council's strategic objectives.</p> <p>b) 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>o Defining roles and responsibilities</li> <li>o Description of type of personal data breach</li> <li>o Steps taken in case of a breach</li> <li>o Risk assessments and escalations</li> <li>o Containment and recovery</li> <li>o Contact details of the DPO, or other point of contact</li> <li>o Measures taken to evaluate and mitigate any possible breaches</li> <li>o Breach notifications to the ICO</li> <li>o Training and awareness</li> <li>o Monitoring and reporting compliance</li> </ul> <p>c) 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>	Medium	Tim Huggins (ICT Manager)	<p>January 2022</p> <p><del>June 2022</del></p> <p><del>September 2022</del></p> <p><del>December 2022</del></p> <p>February 2023</p>	<p><u>Management update:</u></p> <p>Brentwood Council has gone into partnership with Evalian to support the Council's statutory requirements for Data Protection. As part of this a full gap analysis will be conducted for Data Protection including but not limited 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>The current Data Breach Policy is available. There is outstanding work to review and update. Due to a large number of subject access requests (SARs), the resources that were arranged for this work have been needed to carry out statutory obligations around the SARs. The Council is looking at how this work can be funded.</p> <p>a) 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>b) 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>c) 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. Regular reviewing of IG policies is part of the roles and responsibilities of the newly formed IG group and will be undertaken.</p> <p>This remains outstanding and we are working with Evalian to provide resource and project management to carry out the Gap Analysis.</p> <p><u>Internal audit comment:</u></p> <p>Recommendation remains open until completion can be fully evidenced.</p>



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<b>Committee(s):</b> Audit & Scrutiny Committee	<b>Date:</b> 24 <sup>th</sup> January 2023
<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, Director of Customer & Data Insight 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**

**Tim Willis, Interim Director of Resource**

**01277 312829/tim.willis@brentwood.gov.uk**

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

### **Legal Implications**

**Andrew Hunkin, Director of People & Governance and Monitoring Officer**

**01277 312705/andrew.hunkin@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, Director of Place & 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

**Date: 24<sup>th</sup> January 2023**

## **Audit & Scrutiny Committee**

### **Performance Indicators and Formal Complaints Working Group Report**

#### **Working Group Members**

Cllr Heard  
Cllr Barrett  
Cllr Hirst  
Cllr Naylor  
Cllr Slade

#### **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.

#### **Notes of the meeting on the 5<sup>th</sup> January 2023**

Attached as Addendum 1 are the notes of the meeting on the 5<sup>th</sup> January 2023.

#### **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 2<sup>nd</sup> Quarter of 2022/23.

R.2 That the working group continue to monitor the outcomes of the Performance Indicators for the 2<sup>nd</sup> Quarter of 2022/23.

## 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 include a variety of indicators that relate to the delivery of the council’s priorities.

2.3 The topline measure 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 third quarter of 22/23.
<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 third quarter of 22/23.
<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 5<sup>th</sup> January 2023 18:30  
Virtual via Microsoft Teams**

**Present:** Cllr Heard (Chair)  
Cllr Slade  
Cllr Barrett

**Also present:** Steve Summers (SS) – Strategic Director  
Emily Yule (EY) – Strategic Director  
Phoebe Barnes (PB) – Director of Assets & Investments  
Sarah Bennett (SB) – Director of Customer & Data Insight  
Greg Campbell (GC) – Director of Policy & Delivery  
Phil Drane (PD) – Director of Place & Economy  
Marcus Hotten (MH) – Director of Environment  
Julia Higson (JH) – Interim Director of Housing  
Andrew Hunkin (AH) – Interim Director of People & Governance  
Angela Abbott (AA) – Corporate Manager (Housing Needs & Independent Living)  
Shelley King (SK) – Performance & Digital Transformation Manager  
Nicola March (NM) – Corporate Manager (Housing Estates)  
Leona Murray-Green (LMG) – Corporate Manager (Communications & Customer Engagement)  
Samantha Stanley (SSSt) – Shared Services Revenues & Benefits Operations Manager

**Apologies:** Cllr Hirst  
Cllr Naylor  
Tracey Lilley – Director of Communities  
Tim Wills – Interim Director of Resources  
Rob Manser – Shared Services Revenues & Benefits Manager

**1. Welcome**

The Chair welcomed all present to the meeting.

**2. Terms of Reference**

These are attached to these minutes.

### 3. Performance Indicators

#### Summary

- A summary report provided performance by department for Q2 2022-23. This showed a 12% increase in targets met or exceeded compared with the previous quarter.

#### Planning

- Planning performance indicators for Q2 all met or exceeded target.

#### Street Scene and Environment

- Performance for Street Scene and Environment in Q2 was below target across all indicators.
- The results shown for residual waste and recycling were indicative of the type of scheme offered in Brentwood.
- The Council is to conduct a food waste awareness campaign as part of an Essex-wide initiative to influence habits
- Plastics tonnage was reducing generally and is reflective of national trends
- Targets to be reviewed for 23/24.
- **ACTION:** Marcus Hotten to discuss increasing recycling income with Cr. Russell.
- **ACTION:** Steve Summers to provide an explanation of target levels to the next working group meeting.

#### Environmental Health

- Indicators for Environmental Health showed that service requests investigated within target time fell below the expected measure due to resourcing issues.

#### Housing

- A new suite of Housing performance indicators would be reported to the Community, Environment & Enforcement Committee and that the performance indicators reported to the FC & PI Working Group would also be reviewed for the new financial year.
- The number of households in temporary accommodation fluctuates.
- The number of households on the waiting list was not reflective of the number of applications received and rejected for not meeting the criteria.
- The gas servicing rate was impacted by an increase in court applications, but the rate was still just below target.
- Re-let times were high due to the increased number of voids.
- Rent arrears were continually targeted, with a suite of measures employed to ensure payments are maintained.

#### Finance

- Performance indicators for Finance were below target. Finance was working with other officers to improve figures.

#### Human Resources

- Performance for the number of days lost to sickness was shown to be decreasing. Several measures were being employed to reduce both long-term and short-term sickness.

#### Revenues and Benefits

- Whilst Council Tax collection in Q2 was just below target, this was a false positive as the £150 energy rebate credited to accounts had skewed the results. For Q3, this result was near target once again.



- The remaining Revenues and Benefits indicators were above target except for Council Tax Reduction Scheme change in circumstances, where performance had been adversely affected by an increase in customer contact due to the Energy Rebate scheme.

### **Contact Centre**

- Telephone calls to the Contact Centre had decreased, as website visits had increased, demonstrating that channel shift was occurring.
- Telephone calls overall are down 21% compared to the same time last year.
- The time taken to answer calls was below target. This might have been an overly ambitious target and may need to be revised.

**WORKING GROUP ACTION:** For the working group to continue to review progress of the quarterly Performance Indicators.

### **4. Formal Complaints**

- Formal complaints for the years 2016/17 to 2022/23 showed the number of complaints to be increasing year on year. Whilst this could be perceived negatively, it demonstrated the maturity of the formal complaints procedure in recognising and dealing with complaints.
- The Working Group was presented with a number of charts which set out the complaints received in Q2, and the number of complaints responded to within the agreed timeframe.
- The Working Group was advised that there were two stages to formal complaints, stage 1 is dealt with by the service manager and stage 2 by a senior manager or director. Most formal complaints were resolved at stage 1.
- Action plans to improve performance were established where complaints were upheld.

### **Housing**

- Estimated 90% of repairs complaints were related to the Council's repairs contractor.

### **Planning**

- A Planning Enforcement complaint had been referred to the Local Government Ombudsman, which was not investigating any of the complaints at this time as it was content with the way that the Council was engaging in positive dialogue with residents. Of this matter, several complaints were not within the remit of Planning Enforcement.

**WORKING GROUP ACTION:** For the working group to monitor these complaints against future quarters to identify concerns or themes.

### **5. Any Other Business**

None

### **6. Date of next meeting**

13<sup>th</sup> February 18:30

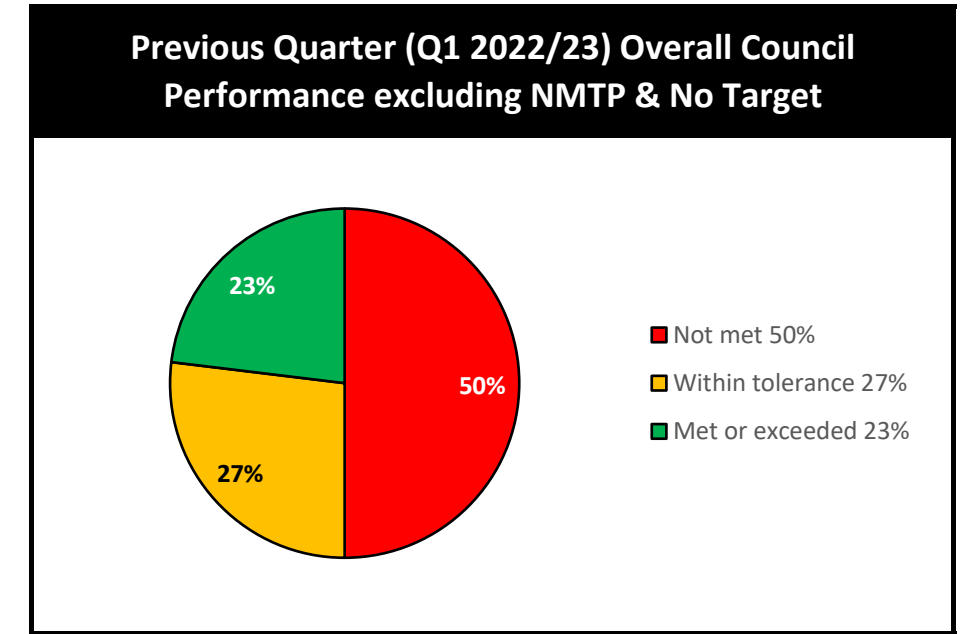
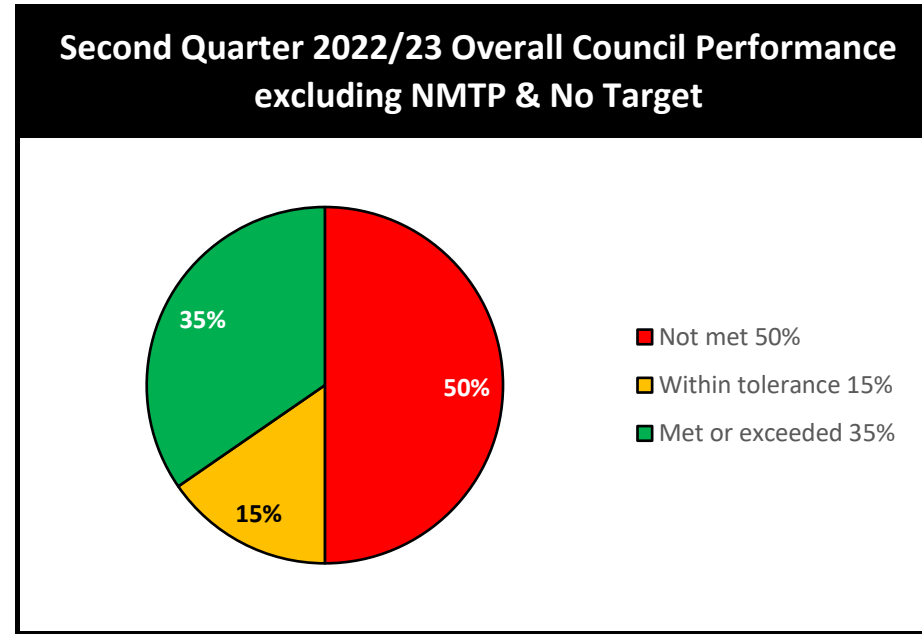
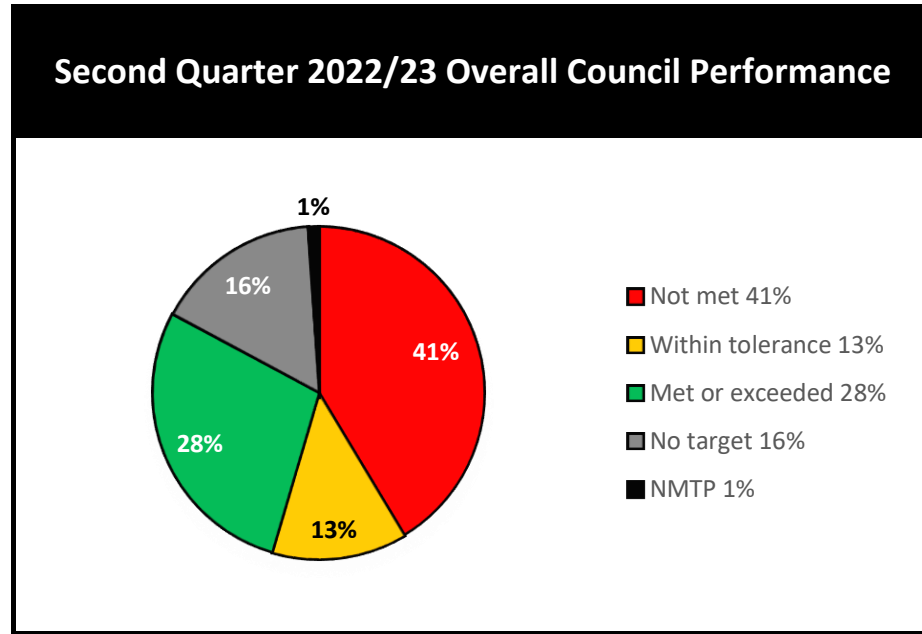
**Audit & Scrutiny Committee  
Performance Indicators & Formal Complaints Working Group**

Members of Working Group:

Cllrs. Heard, Barrett, Naylor, Slade 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.



### Second Quarter 2022/23 Performance by Department

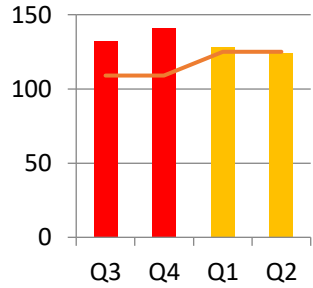
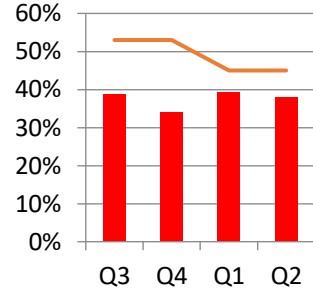
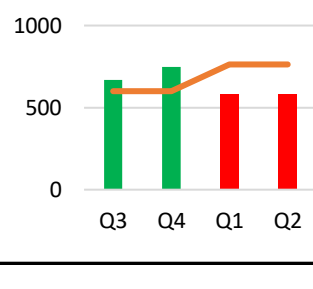
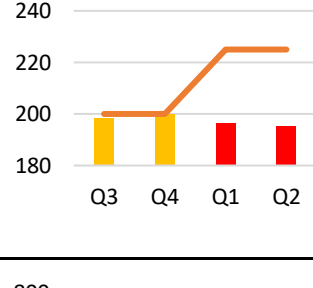
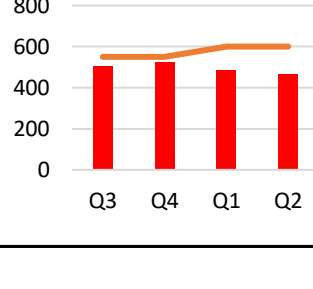
		Red		Amber		Green		No Target		NMTP		Total
		No.	%	No.	%	No.	%	No.	%	No.	%	No.
<b>Economy</b>	Planning	0	0%	0	0%	5	83%	0	0%	1	17%	6
<b>Environment</b>	Street Scene	6	86%	1	14%	0	0%	0	0%	0	0%	7
	Environmental Health	1	50%	0	0%	1	50%	0	0%	0	0%	2
<b>Housing</b>	Housing	2	40%	2	40%	0	0%	1	20%	0	0%	5
<b>Effective</b>	Finance	2	67%	0	0%	0	0%	1	33%	0	0%	3
	Human Resources	0	0%	0	0%	0	0%	1	100%	0	0%	1
	Revenues and Benefits	1	20%	1	20%	3	60%	0	0%	0	0%	5
	Contact Centre	1	33%	0	0%	0	0%	2	67%	0	0%	3
<b>Total</b>		<b>13</b>	<b>41%</b>	<b>4</b>	<b>13%</b>	<b>9</b>	<b>28%</b>	<b>5</b>	<b>16%</b>	<b>1</b>	<b>3%</b>	<b>32</b>
<b>Previous Quarter Total</b>		13	41%	7	22%	6	19%	5	16%	1	3%	32

### Key

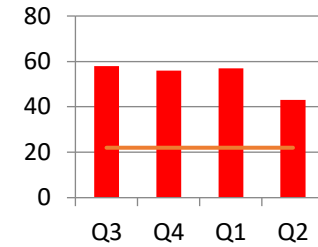
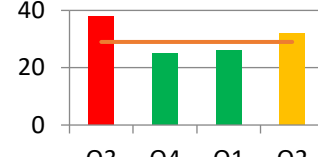
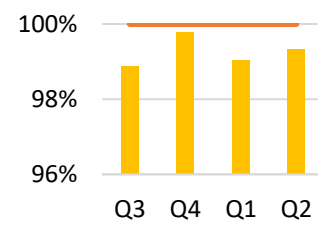
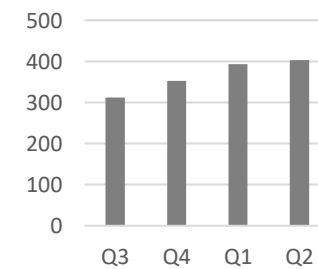
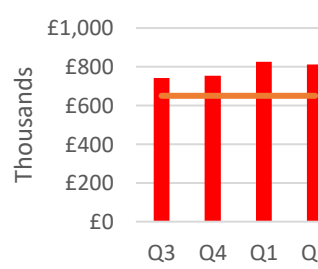
	Current performance is below target by more than the specified target deviation.
	Current performance is below target but is within tolerance.
	Current target has been met or exceeded.
	No target.
	NMTP Not measured this period.
	Performance for the quarter or year to date is improving (up) or deteriorating (down) compared to previous quarter or across the year.

Growing our economy														
Department and PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results			Q Status & Trend	Q Graphic	2022/23 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Year to Date Result			Year to Date Target	Year to Date Status & Trend		
Planning P01	Number of new homes approved to be built in the Borough	Annual	NMTP	407	NMTP	NMTP	No target	NMTP		NMTP	No target	NMTP	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). Monitoring data has concluded that there are 407 NET new dwellings within the borough for the monitoring period 2021-22. This is an increase from last year likely due to the adoption of the Brentwood Local Plan. The adopted Local Plan states in policy MG01 that we will deliver 300 new homes during this period, so we have over delivered by 107 new dwellings which helps with closing the gap for our previous years' short falls.	
Page 52	% of appeals allowed against the authority's decision to refuse planning applications (percentage)	Quarterly	21.40%	15.30%	33.30%	18.50%	31%	Green ↑		25.90%	31%	Green ↑	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 to provide more detail on appeals.	
Planning P03	Processing of planning applications as measured against targets for 'Major' application types	Quarterly	100%	100%	100%	91.70%	50%	Green ↓		96%	50%	Green ↓	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	95%	100%	100%	100%	70%	Green ↔		100%	70%	Green ↔	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.	


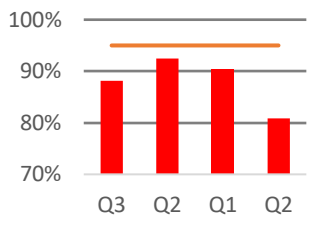


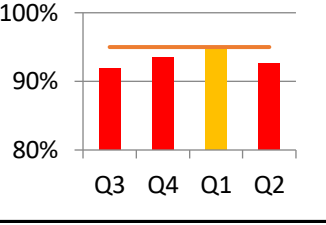


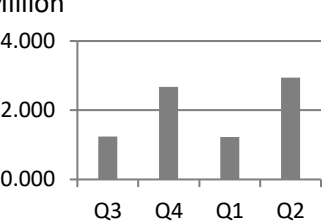


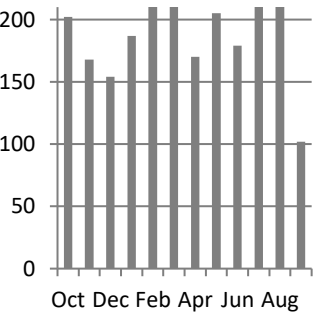

Planning P05	Processing of planning applications as measured against targets for 'Other' application types	Quarterly	98.90%	99.50%	99.40%	99.70%	80%	Green ↑	<table border="1"> <caption>Performance for 'Other' application types</caption> <thead> <tr> <th>Quarter</th> <th>Performance (%)</th> </tr> </thead> <tbody> <tr> <td>Q3</td> <td>100%</td> </tr> <tr> <td>Q4</td> <td>100%</td> </tr> <tr> <td>Q1</td> <td>100%</td> </tr> <tr> <td>Q2</td> <td>100%</td> </tr> </tbody> </table>	Quarter	Performance (%)	Q3	100%	Q4	100%	Q1	100%	Q2	100%	99.55%	80%	Green ↑	Consistently high performance achieved throughout the year. Processes/performance is constantly being reviewed to ensure standards remain high. Number of other application are at 4 year all time high, which is causing pressure on the service. Processes have been tweaked to ensure business as usual and no detrimental effect to applicants.
Quarter	Performance (%)																						
Q3	100%																						
Q4	100%																						
Q1	100%																						
Q2	100%																						
Planning P06	Percentage of planning applications approved	Quarterly	78.80%	80.30%	81.40%	83%	75%	Green ↑	<table border="1"> <caption>Percentage of planning applications approved</caption> <thead> <tr> <th>Quarter</th> <th>Performance (%)</th> </tr> </thead> <tbody> <tr> <td>Q3</td> <td>78.80%</td> </tr> <tr> <td>Q4</td> <td>80.30%</td> </tr> <tr> <td>Q1</td> <td>81.40%</td> </tr> <tr> <td>Q2</td> <td>83%</td> </tr> </tbody> </table>	Quarter	Performance (%)	Q3	78.80%	Q4	80.30%	Q1	81.40%	Q2	83%	82.20%	75%	Green ↑	This reports approvals of all PS1 and PS2 applications (i.e. excl. pre-applications)
Quarter	Performance (%)																						
Q3	78.80%																						
Q4	80.30%																						
Q1	81.40%																						
Q2	83%																						

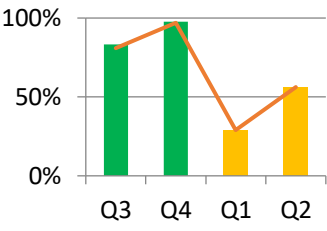
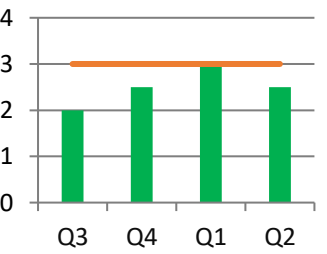
Protecting our environment														
Department and PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results			Q Status & Trend	Q Graphic	2022/23 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Year to Date Result			Year to Date Target	Year to Date Status & Trend		
Street Scene and Environment E01	Residual household waste per household (kg)	Quarterly	132.1	130.45	129.99	124.08	125	Amber ↑		254.07	250	Amber ↑	The quarterly target has been changed from 109kg to 125kg in 2022/23.  The figures still need verification by ECC but the number of kg's per household is returning to more pre-COVID levels.	
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	38.72%	35%	39.66%	37.92%	45%	Red ↓		38.79%	45%	Red ↑	The quarterly target has been changed from 53% to 45% in 2022/23.  Whilst the figures are still to be verified by ECC, recycling is seeing an increase possibly due to more of the population returning to normal working practices away from the home.	
Street Scene and Environment E03	Paper and card recycled by tonne	Quarterly	668.4	716.42	589.0	580.1	763	Red ↓		1169.1	1526	Red ↓	The quarterly target has been changed from 600 tonnes to 763 tonnes in 2022/23.  With the working population returning to the office, this commodity is seeing the majority of falls in recycling and the blue recycling sacks were getting heavier during Q4 of 2021/22.	
Street Scene and Environment E04	Cans and plastic recycled by tonne	Quarterly	198.3	199.88	196.6	195.2	225	Red ↓		391.8	450	Red ↓	The quarterly target has been changed from 200 tonnes to 225 tonnes in 2022/23.  Tonnages are falling in this area, but due to the commodity being light in nature it is only slight variation.	
Street Scene and Environment E05	Mixed glass recycled by tonne	Quarterly	503.9	503.41	494.2	483.3	600	Red ↓		977.5	1200	Red ↓	The quarterly target has been changed from 550 tonnes to 600 tonnes in 2022/23.  With people returning to normal from the pandemic, home entertaining is falling as residents return to the High Street.	

Street Scene and Environment E06	Food waste recycled by tonne	Quarterly	312.5	299.8	250.8	271.7	350	Red 		522.5	700	Red 	The quarterly target has been changed from 300 tonnes to 350 tonnes in 2022/23.  As per mixed glass above.
Street Scene and Environment E07	Garden waste recycled and diverted from landfill per tonne	Quarterly	1169.5	684	1310.3	895.2	1375	Red 		2205.5	2750	Red 	The quarterly target has been changed from 1300 tonnes to 1375 tonnes in 2022/23.  Due to exceptionally high temperatures and little rainfall gardens were not growing.
Environmental Health EH01	Food safety/ hygiene standards in food premises - % of broadly compliant food premises	Quarterly	96.19%	98.08%	97.75%	97.63%	97%	Green 		97.69%	97%	Green 	During Q1 and Q2 we have had a number of new premises registrations (which are uncompliant until inspected). We are continuing to find premises which are at a lower standard of hygiene than pre-Covid.
Environmental Health EK02	Service requests investigated within target time (5 days)	Quarterly	65%	57%	59%	62.08%	100%	Red 		62%	100%	Red 	In spite of the larger number of service requests, the team have managed to slightly improve their response speed. We will be working further over the coming months to improve yet further on this performance. There has been a slight improvement since last quarter due to improved performance by some officers. Further improvements will be sought during the coming months.

Improving our housing														
Department and PI Code	Performance Indicator	Measure	Previous Quarterly Results			Latest Quarterly Results			Q Status & Trend	Q Graphic	2022/23 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target	Year to Date Result			Year to Date Target	Year to Date Status & Trend		
Housing H01	Average re-let times for Local Authority Housing	Quarterly	58 Days (47 GN, 71 SH, 64 TA)	56 Days (68 GN, 37 SH, 53 TA)	57 Days (46 GN, 101 SH, 38 TA)	43 Days (43 GN, 48 SH, 49 TA)	22 Days	Red ↑		50 Days	22 Days	Red ↑	Void turnaround has decreased as we see more voids coming in and works needed within them. We also saw a period here where voids were held longer than usual by estates to facilitate the decant of tenants from our development sites and this is likely to continue for a short time more.	
Housing H04	Households living in temporary accommodation	Quarterly	38	25	26	32	29	Amber ↓		29	29	Green ↓	Temporary accommodation levels have increased due to a recent influx of applications with complex needs. Despite the work of the Homeless Officers there have been several cases where we have been unable to prevent homelessness. We currently anticipate an increase in approaches from Ukrainian nationals as many 6 month placements are coming to an end.	
Housing H05	Gas servicing in Council homes	Quarterly	98.87%	99.77%	99.04%	99.34%	100%	Amber ↑		99.19%	100%	Amber ↑	Performance for gas servicing has improved for this quarter. 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	321	353	393	403	No Target	No Status ↓		398	No Target	No Status ↓	Housing Register: 200 Transfer Register: 203  The council's housing and transfer register numbers have remained relatively stable with a slight decrease in transfer numbers. With continuous improvements to our choice based letting system and the added responsibility for applicants to submit documents through our online portal we are able to process applications more efficiently.	
Housing H08	Average Rent Arrears Total (Current Tenants, Garages)	Quarterly	£741,419	£752,768	£826,591	£812,714	£650,000	Red ↑		£812,714	£650,000	Red ↑	We have seen a slight decrease in rent arrears this quarter which reflects the work of Estates Officers and utilising our systems more effectively. However, we are seeing more residents go into rent arrears due to the cost of living. More cases are expected as we enter winter months and pressures on people's income worsen.	



Delivering an effective and efficient council													
Department and PI Code	Performance Indicator	Measure	Previous Quarterly Results		Latest Quarterly Results			Q Status & Trend	Q Graphic	2022/23 Year to Date			Commentary
			Q3 Result	Q4 Result	Q1 Result	Q2 Result	Q Target			Year to Date Result	Year to Date Target	Year to Date Status & Trend	
Finance F01	% of invoices from local suppliers paid within 20 day	Quarterly	88.11%	92.45%	90.45%	80.89%	95%	Red 		85.57%	95%	Red 	Local invoices are currently below par. The KPIs in July especially took a hit which caused this variances. Accounts Payable officers have been instructed to work with officers to help assist this figure to increase. The depot gets a high proportion of these invoices and struggled during this quarter with invoices, so hoping to see an improvement next quarter
Finance F02	% of invoices from all suppliers paid within 30 days	Quarterly	91.90%	93.52%	94.68%	92.54%	95%	Amber 		93.61%	95%	Amber 	Close to target as last quarter was, we are still seeing good, positive results with No PO No Pay therefore will work to ensure invoices are processed more on a timely manner.
Finance F03	Value of corporate debt (£m)	Quarterly	£1.245m	£2.676m	£1.227m	£2.947m	Reduction from previous quarter	No Status 		£2.947m	Reduction from previous quarter	No Status 	Debt high due to SAIL invoices awaiting to be paid which were raised in September at a value of £2.329m. These were paid in early Oct and debt as of 12/10/22 is at £549k, which is under the target of £1m
Human Resources HR03	Number of days sickness lost per month	Monthly	Oct 202 Nov 168 Dec 154	Jan 187 Feb 216 Mar 231	Apr 170 May 205 June 179	Jul 245 Aug 250.5 Sep 102	No Target	No Status 		1151.5	No Target	No Status 	This PI reflects the number of working days lost to sickness each month. Absence figures for Q2 compared to this time last year have increased in July and August, however we saw a decrease in September. This is due to a number of employees off due to long term absences (28 days or more). With the main reason for long term absence being long covid, injury/fracture and a heart condition. We continue to support managers and through managing absences under the policy have seen a positive return to work for some of these employees. In terms of short term absences, the main reasons for short term absences for Q2 was colds/coughs/flu, covid (including side effects of the vaccine or self isolation), or gastrointestinal. 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, lunch and learn sessions and encouraging a form of physical activity.

Revs & Bens CT01	Council Tax collection	Quarterly	83.30%	97.60%	28.80%	56.10%	56.30%	Amber ↑		56.10%	56.30%	Amber ↑	Council Tax collection is just below target. However, this is a false positive as accounts have been credited with the £150 energy rebate payments where direct debit details were not held. We predict that collection is slightly lower than our target due to the ongoing pressures customers are facing with the cost of living.
Revs & Bens CT03	Housing Benefit and Pensioner Council Tax Support - time taken to process <b>new</b> claims (days)	Quarterly	18	18	17.5	16	18	Green ↑		16.75	18	Green ↑	We have dedicated officers working on new claims to ensure these are processed as quickly as possible to alleviate financial hardship. However we do have to rely on customers providing information, which builds in delays that are out of our control. We use email or text messages to ensure the information we need is provided quickly.
Revs & Bens CT05	Housing Benefit and Pensioner Council Tax Support - time taken to process Change of Circumstances (days)	Quarterly	6	3.5	8	8	8	Green ↔		8	8	Green ↔	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.
Revs & Bens CT07	Council Tax Reduction scheme for working age persons - time taken to process <b>new</b> applications (days)	Quarterly	2	2.5	3	2.5	3	Green ↑		2.75	3	Green ↑	Average time for new Council Tax Reduction applications remains under target for Quarter 2 as 2.5 days.
Revs & Bens CT08	Council Tax Reduction scheme for working age persons - time taken to process change of circumstances (days)	Quarterly	2	3	7	5	3	Red ↑		6	3	Red ↑	This reduction in processing performance is due to the impact and increase in admin and customer contact received in relation to the Ctax Energy Rebate. However, now that we are coming to the end of this project we expect performance to improve.

Contact Centre CC02	Telephone calls taken by the Contact Centre for those services undertaken by the Contact Centre	Quarterly	11,665	11,539	11,456	10,929	No Target	No Status ↓	<table border="1"> <caption>Telephone calls for CC02</caption> <thead> <tr> <th>Quarter</th> <th>Previous</th> <th>Current</th> </tr> </thead> <tbody> <tr> <td>Q3</td> <td>11,665</td> <td>11,539</td> </tr> <tr> <td>Q4</td> <td>11,456</td> <td>10,929</td> </tr> <tr> <td>Q1</td> <td>11,456</td> <td>10,929</td> </tr> <tr> <td>Q2</td> <td>11,456</td> <td>10,929</td> </tr> </tbody> </table>	Quarter	Previous	Current	Q3	11,665	11,539	Q4	11,456	10,929	Q1	11,456	10,929	Q2	11,456	10,929	22,394	No Target	No Status ↓	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'. The services undertaken by the Contact Centre are Environmental Health, Licensing, Planning, Building Control, Parking, Operational Services and Housing Services.
Quarter	Previous	Current																										
Q3	11,665	11,539																										
Q4	11,456	10,929																										
Q1	11,456	10,929																										
Q2	11,456	10,929																										
Contact Centre CC04	Website sessions	Quarterly	180,536	323,584	256,554	215,982	No Target	No Status ↓	<table border="1"> <caption>Website sessions for CC04</caption> <thead> <tr> <th>Quarter</th> <th>Previous</th> <th>Current</th> </tr> </thead> <tbody> <tr> <td>Q3</td> <td>180,536</td> <td>323,584</td> </tr> <tr> <td>Q4</td> <td>256,554</td> <td>215,982</td> </tr> <tr> <td>Q1</td> <td>256,554</td> <td>215,982</td> </tr> <tr> <td>Q2</td> <td>256,554</td> <td>215,982</td> </tr> </tbody> </table>	Quarter	Previous	Current	Q3	180,536	323,584	Q4	256,554	215,982	Q1	256,554	215,982	Q2	256,554	215,982	472,536	No Target	No Status ↑	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.
Quarter	Previous	Current																										
Q3	180,536	323,584																										
Q4	256,554	215,982																										
Q1	256,554	215,982																										
Q2	256,554	215,982																										
Contact Centre CC05	Time taken to answer calls (seconds)	Quarterly	83	108	129	158	60	Red ↓	<table border="1"> <caption>Time taken to answer calls for CC05</caption> <thead> <tr> <th>Quarter</th> <th>Previous</th> <th>Current</th> </tr> </thead> <tbody> <tr> <td>Q3</td> <td>83</td> <td>108</td> </tr> <tr> <td>Q4</td> <td>108</td> <td>129</td> </tr> <tr> <td>Q1</td> <td>129</td> <td>158</td> </tr> <tr> <td>Q2</td> <td>129</td> <td>158</td> </tr> </tbody> </table>	Quarter	Previous	Current	Q3	83	108	Q4	108	129	Q1	129	158	Q2	129	158	144	60	Red ↓	Benchmarking across Essex reports varying targets for time to answer. We have set our target relatively low in recognition of the importance of maintaining a good level of customer service.  Current trend - Throughout Quarter 2 there has been a change in staff resources. One vacancy was filled and the advisor is part way through training and another position became vacant. There was also an increase in advisors taking annual leave during this quarter.
Quarter	Previous	Current																										
Q3	83	108																										
Q4	108	129																										
Q1	129	158																										
Q2	129	158																										



# **Members Working Group Formal Complaints Q2 2022/23**

**Jul - Sept 2022**

# Formal Complaints received annually

Department	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Assets	1	1	2	3	0	1
Building Control	0	0	0	1	0	0
Community Safety	0	0	1	1	7	4
Community Services	2	1	0	2	0	1
Customer Service	1	1	4	5	7	1
Democratic Services	1	0	0	2	1	0
Housing	30	38	47	75	66	58
Electoral Services	0	0	0	0	0	1
Env Health	0	1	3	4	10	6
Finance	0	0	2	0	0	0
Human Resources	0	0	0	0	0	1
Legal	1	0	0	0	0	0
Licensing	0	0	0	0	2	1
Parking	0	1	1	3	1	0
Planning	13	10	10	16	15	18
Revs & Bens	9	31	33	28	8	11
Streetscene	3	5	15	44	63	29
<b>Total</b>	<b>61</b>	<b>89</b>	<b>118</b>	<b>184</b>	<b>180</b>	<b>132</b>

# 2022/23 Formal Complaints received

## Jul to Sep 2022

Q2			
Department	Total	Upheld	%
ASB/Community Safety	0	0	0%
Assets	1	0	0%
Environmental Health	0	0	0%
Housing	20	7	35%
Parking	0	0	0%
Planning	3	1	33%
Revenues & Benefits	3	1	33%
Streetscene	10	7	70%
<b>Total</b>	<b>37</b>	<b>16</b>	<b>43%</b>

YTD			
Department	Total	Upheld	%
ASB/Community Safety	1	0	0%
Assets	1	0	0%
Environmental Health	1	0	0%
Housing	34	15	44%
Parking	1	0	0%
Planning	9	2	22%
Revenues & Benefits	6	2	33%
Streetscene	25	17	68%
<b>Total</b>	<b>78</b>	<b>36</b>	<b>46%</b>

# 2022/23 Formal Complaints responded to within agreed timeframe Jul to Sept 2022

Q2	
Department	%
ASB/Community Safety	N/A
Assets	100%
Environmental Health	N/A
Housing	85%
Parking	N/A
Planning	100%
Revenues & Benefits	66%
Streetscene	50%
<b>Total</b>	<b>80%</b>

YTD	
Department	%
ASB/Community Safety	100%
Assets	100%
Environmental Health	100%
Housing	82%
Parking	0%
Planning	66%
Revenues & Benefits	50%
Streetscene	72%
<b>Total</b>	<b>71%</b>

# Channel received

	Q1	Q2	Q3	Q4
Online form	41%	62%		
Email	49%	19%		
Website enquiry	5%	11%		
Via LGO/HO	2%	0%		
Telephone	0%	5%		
Letter	2%	3%		



# Upheld Formal Complaints – Jul to Sept 2022

## Housing



No	Complaint	Stage
1	Housing Repairs Removal of Asbestos in hallway and poor communication regarding repairs	Stage 2
2	Housing Repairs Operatives were late to scheduled appointments and conflicting information provided	Stage 1
3	Housing Needs Accused of not paying rent when receiving benefits	Stage 1
4	Housing Repairs Paying for electricity for communal lighting and alarm system for block	Stage 2
5	Housing Needs Poor communication regarding a housing bid	Stage 2
6	No response from Estates Team	Stage 1

# Upheld Formal Complaints – Jul to Sept 2022

## Housing



No	Complaint	Stage
7	Housing Repairs Continued contact after ending tenancy	Stage 1

# Upheld Formal Complaints – Jul to Sept 2022

## Planning



No	Complaint	Stage
1	Being omitted from the weekly lists	Stage 1

# Upheld Formal Complaints – Jul to Sept 2022

## Revenues and Benefits



No	Complaint	Stage
1	No offer of advice or support regarding his circumstances	Stage 2
2	<ol style="list-style-type: none"><li>1. Long wait to speak to an advisor</li><li>2. Unhelpful attitude of advisor</li></ol>	Stage 1

# Upheld Formal Complaints – Jul to Sept 2022

## Streetscene



No	Complaint	Stage
1	No response from 4 contacts to Council	Stage 1
2	Repeated missed collections	Stage 1
3	Information not provided to Insurers	Stage 1
4	Repeated missed collections	Stage 1
5	<ol style="list-style-type: none"> <li>1. Repeated missed collections</li> <li>2. Failure to collect after reporting as missed</li> </ol>	Stage 2
6	Repeated missed collections	Stage 1

# Upheld Formal Complaints – Jul to Sept 2022

## Streetscene



No	Complaint	Stage
7	No refuse collection for 2 months	Stage 1

# Ombudsman



	Service	LGO/HO	Complaint	Council's decision	Ombudsman outcome
1	Planning x 15	LGO	1. Failure to enforce planning breach re: windows; pumping station; cyclepath		Decision not to investigate at this moment in time as Council is continuing to work with the developer and other parties

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<b>Committee(s):</b> Audit and Scrutiny	<b>Date:</b> 24 January 2023
<b>Subject:</b> Scrutiny Work Programme 2022/23	<b>Wards Affected:</b> All
<b>Report of:</b> Steve Summers, Strategic Director	<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.

## Recommendation(s)

**R1. That the Committee considers and agrees the 2022/23 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**

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

## **Consultation**

6. None

## **References to Corporate Plan**

7. 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: Tim Willis, Director - Resources and Section 151 Officer**

**Tel/Email: 01277 312500/tim.willis@brentwood.rochford.gov.uk**

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

### **Legal Implications**

**Name & Title: Andrew Hunkin, Director – People & Governance and Monitoring Officer**

**Tel & Email: 01277 312500/andrew.hunkin@brentwood.rochford.gov.uk**

9. There are no direct economic implications from this report

### **Economic Implications**

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

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

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

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

11. None

## **Background Papers**

12. None

## **Appendices to this report**

Appendix A: Draft Scrutiny Work Programme – January - 2022/23

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Jan-23

## Audit & Scrutiny Committee

### 2022-23 Draft Scrutiny Work programme

Subject Matter	July	August	September	October	November	December	January	February	March
Local Development Plan									
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 2022/2023	Cllrs To be confirmed.								
<b>Detailed timeline</b>									
1. Working Group Meeting - 9th February 2022									
2. Report to Audit & Scrutiny Committee - 8th March 2022									
3. Working Group Meeting - tbc									
4. Report to Audit & Scrutiny Committee - tbc									
Subject Matter	July	August	September	October	November	December	January	February	March
Performance and Formal Complaints	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 2022/2023	Cllrs Heard, Hirst, Barrett, Naylor and Slade								
<b>Detailed timeline</b>									
1. Working Group meeting - 1st September 2022									
2. Report to Audit & Scrutiny Committee - 13th September 2022									
3. Working Group meeting - 5th January 2023									
4. Report to Audit & Scrutiny Committee - 24th January 2023									
5. Working Group meeting - 13th February 2023									
6. Report to Audit & Scrutiny Committee - 7th March 2023									

Subject Matter	July	August	September	October	November	December	January	February	March
Community Safety Partnership	Report to Committee								
<b>Detailed timeline</b>									
1. Report to Audit & Scrutiny Committee - 5th July 2022									
Subject Matter	July	August	September	October	November	December	January	February	March
Brentwood Leisure Trust		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 - 20th December 2021									
5. Report to Audit & Scrutiny Committee - 8th March 2022									
6. Working Group Meeting - 30th August 2022									
7. Report to Audit & Scrutiny Committee - 15th November 2022									
Subject Matter	July	August	September	October	November	December	January	February	March
Council Motions									Report to Committee
Subject Matter	July	August	September	October	November	December	January	February	March
Member representation on outside organisations			Working Group Meeting			Working Group Meeting			Report to Committee
Subject Matter	July	August	September	October	November	December	January	February	March
Review proportionality of working groups			Report to Committee						

## **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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