

Governance and Audit Committee Meeting

**Grand Jury Room, Town Hall, High Street,
Colchester, CO1 1PJ**

Tuesday, 16 January 2018 at 18:00

The Governance and Audit Committee considers and approves the Council's Statement of Accounts and reviews the Council's annual audit letter. The Committee also deals with the Council's governance, risk management and audit arrangements. To make recommendations to the Council on functions such as Elections and bye laws, and determine Community Governance Reviews.

Information for Members of the Public

Access to information and meetings

You have the right to attend all meetings of the Council, its Committees and Cabinet. You also have the right to see the agenda (the list of items to be discussed at a meeting), which is usually published five working days before the meeting, and minutes once they are published. Dates of the meetings are available here:

<https://colchester.cmis.uk.com/colchester/MeetingCalendar.aspx>.

Most meetings take place in public. This only changes when certain issues, for instance, commercially sensitive information or details concerning an individual are considered. At this point you will be told whether there are any issues to be discussed in private, if so, you will be asked to leave the meeting.

Have Your Say!

The Council welcomes contributions and representations from members of the public at most public meetings. If you would like to speak at a meeting and need to find out more, please refer to the Have Your Say! arrangements here: <http://www.colchester.gov.uk/haveyoursay>.

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Access

There is wheelchair access to the Town Hall from St Runwald Street. There is an induction loop in all the meeting rooms. If you need help with reading or understanding this document please take it to the Library and Community Hub, Colchester Central Library, using the contact details below and we will try to provide a reading service, translation or other formats you may need.

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Governance and Audit Committee - Terms of Reference (but not limited to)

Accounts and Audit

To consider and approve the Council's Statement of Accounts and the Council's financial accounts, and review the Council's external auditor's annual audit letter.

Governance

To consider the findings of the annual review of governance including the effectiveness of the system of internal audit and approve the signing of the Annual Governance Statement.

To have an overview of the Council's control arrangements including risk management and in particular with regard to the annual audit plan and work programme, and to approve the policies contained in the Council's Ethical Governance Framework.

Other regulatory matters

To make recommendations to Council on functions such as elections, the name and status of areas and individuals, and byelaws.

To determine and approve Community Governance Reviews.

Standards in relation to Member Conduct

To consider reports from the Monitoring Officer on the effectiveness of the Members' Code of Conduct, and to advise the Council on the adoption or revision of the Code.

To receive referrals from the Monitoring Officer into allegations of misconduct and to create a Hearings Sub-Committee to hear and determine complaints about Members and Co-opted Members referred to it by the Monitoring Officer.

To conduct hearings on behalf of the Parish and Town Councils and to make recommendation to Parish and Town Councils on improving standards or actions following a finding of a failure by a Parish or Town Councillor.

To inform Council and the Chief Executive of relevant issues arising from the determination of Code of Conduct complaints.

To grant dispensations, and to hear and determine appeals against refusal to grant dispensations by the Monitoring Officer.

To make recommendations to Council regarding the appointment of Independent Persons.

General

To review of the Constitution including governance issues around formal meetings, processes and member training and to make recommendations to Council.

COLCHESTER BOROUGH COUNCIL
Governance and Audit Committee
Tuesday, 16 January 2018 at 18:00

The Governance and Audit Committee Members are:

Councillor Nick Barlow	Chairman
Councillor Dave Harris	Deputy Chairman
Councillor Peter Chillingworth	
Councillor Dominic Graham	
Councillor Fiona Maclean	
Councillor Dennis Willetts	

The Governance and Audit Committee Substitute Members are:

All members of the Council who are not Cabinet members or members of this Panel.

AGENDA
THE LIST OF ITEMS TO BE DISCUSSED AT THE MEETING
(Part A - open to the public)

Please note that Agenda items 1 to 6 are normally dealt with briefly.

1 Welcome and Announcements

The Chairman will welcome members of the public and Councillors and remind everyone to use microphones at all times when they are speaking. The Chairman will also explain action in the event of an emergency, mobile phones switched to silent, audio-recording of the meeting. Councillors who are members of the committee will introduce themselves.

2 Substitutions

Councillors will be asked to say if they are attending on behalf of a Committee member who is absent.

3 Urgent Items

The Chairman will announce if there is any item not on the published agenda which will be considered because it is urgent and will explain the reason for the urgency.

4 Declarations of Interest

Councillors will be asked to say if there are any items on the agenda about which they have a disclosable pecuniary interest which would prevent them from participating in any discussion of the item or

participating in any vote upon the item, or any other pecuniary interest or non-pecuniary interest.

- 5 **Minutes of previous meeting** 7 - 10
To confirm as a correct record the minutes of the meeting held on 28 November 2017.
- 6 **Have Your Say!**
The Chairman will invite members of the public to indicate if they wish to speak or present a petition on any item included on the agenda or any other matter relating to the terms of reference of the meeting. Please indicate your wish to speak at this point if your name has not been noted by Council staff.
- 7 **Certification of Claims and Returns – Annual Report 2016/17** 11 - 22
This report summarises the outcomes of the Auditor’s certification work on the Council’s claims and returns for 2016/17, and highlights the significant issues.
- 8 **Review of Meetings and Ways of Working update** 23 - 38
This report provides the Governance and Audit Committee with an update on the progress of the Review of Meetings and Ways of Working, which took place during the previous municipal year. The aim of the review was to look at and improve processes around Colchester Borough Council Committee meetings. The report will also review a trial of the later start times of meetings.
- 9 **Interim Review of the Annual Governance Statement Action Plan** 39 - 42
This report reviews the implementation of the actions highlighted on the 2016/17 Annual Governance Statement (AGS), which was reported to the Governance and Audit Committee in June 2017. The report included an action plan for issues to be resolved during the current financial year (2017/18).
- 10 **Risk Management Progress Report** 43 - 58
Consider and comment on the Council’s progress and performance in managing risk during the period from April to September 2017 and the current strategic risk register.
- 11 **Annual Review of Business Continuity** 59 - 70
To consider and comment on the business continuity work undertaken during the period and endorse the Business Continuity Strategy for 2018.
- 12 **Work Programme 2017-18** 71 - 74
This report sets out the current Work Programme 2017-2018 for the Governance and Audit Committee. This provides details of the

reports that are scheduled for each meeting during the municipal year.

13 **Exclusion of the Public (not Scrutiny or Executive)**

In accordance with Section 100A(4) of the Local Government Act 1972 to exclude the public, including the press, from the meeting so that any items containing exempt information (for example confidential personal, financial or legal advice), in Part B of this agenda (printed on yellow paper) can be decided. (Exempt information is defined in Section 100I and Schedule 12A of the Local Government Act 1972).

Part B
(not open to the public including the press)

GOVERNANCE AND AUDIT COMMITTEE

28 NOVEMBER 2017

Present:- Councillor Barlow (Chair), Councillor Chillingworth, Councillor Harris, Councillor F Maclean and Councillor Willetts

83. Minutes

RESOLVED that the minutes of the meeting held 17 October 2017 were confirmed as a correct record.

84. Annual Audit Letter

Steve Heath, Finance Manager, introduced the Annual Audit Letter Report. Kevin Suter and Dan Cooke, auditors from Ernst and Young were also in attendance to present the report. The report requests that the Committee consider and notes the contents of the 2016/17 Annual Audit Letter.

Kevin Suter, provided the Committee with a brief outline of the report and stated that the key purpose of the report is to provide a summary of the audit without the technical language. As is required the Council have published the Annual Audit Letter on the website for members of the public to access.

Kevin Suter highlighted that the Committee held a detailed discussion in July when the accounts were approved and signed off with an unqualified opinion and a value for money conclusion. Kevin Suter confirmed that the report does not contain any additional information for the Committee to consider. Kevin Suter informed the Committee that looking forward to 2017/18, the Council was in a good place as it was already achieving the earlier deadline and had been doing so for a number of years.

RESOLVED that the Committee considered and commented on the contents of the 2016/17 Annual Audit Letter.

85. Mid-Year Internal Audit Assurance Report 2017/18

Andrew Weavers, Strategic Governance Manager, and Alan Woodhead, Mazars, introduced the Mid-Year Internal Audit Assurance Report 2017/18. The report requests that the Committee review and comment on the internal audit activity for the period 1 April 2017 to 30 September 2017 and the performance of internal audit by reference to national best practice benchmarks.

Andrew Weavers provided the Committee with a summary of the report and highlighted that an effective internal audit summary had been provided.

Questions from the Committee members included a request for more information about the audit of the events service. In response, Alan Woodhead stated that this particular audit was requested to provide guidance on the processes in place and to establish best practice. The audit was classed as a pre-audit as it is a new service combining functions from different areas of the authority. The number of recommendations outlined was in line with those expected from a new and complex service. A full audit will be undertaken in the future.

In response to further questioning regarding the events service and the audit standards prior to merging of the team. Andrew Weavers informed the Committee that the service had also refocused to become more commercialised. Ann Hedges, Chief Operating Officer, highlighted that the service had previously had five different service areas managing different elements of events, which creates a learning curve for the new members of staff.

A Committee member queried whether the Council should be concerned that no full audits had been received. In response Officers highlighted that full assurance levels are difficult to achieve and there are no concerns that the relevant controls are not in place. Ann Hedges confirmed the Council is pleased with substantial assurance levels as it shows that the required controls are in place.

The Committee also received assurances that the full detail of audit recommendations are included within the report. Further background details on the results and recommendations of an audit are provided to heads of services when the audit team reports back.

RESOLVED that the Committee reviewed the internal audit activity for the period 1 April to 30 September 2017 and the performance of internal audit by reference to national best practice benchmarks.

88. Treasury Management Strategy Statement – Mid-Year Review 2017-18

Steve Heath, Finance Manager introduced the Treasury Management Strategy Statement – Mid-Year Review 2017-18. The report requests that the Committee note the report and treasury activity and to recommend approval to Cabinet of any changes to the Treasury Management Strategy Statement for the year, including Prudential Indicators, the investment criteria and the credit methodology.

Steve Heath provided the Committee with a summary of the report. Steve Heath highlighted that the report serves as a review of the strategy as agreed by the Cabinet. There are no proposed changes or deviations from the strategy during the year so far. Steve Heath highlighted that the report includes information on the increase of the Bank Rate to 0.5%, with the expectation that this will increase to 1% by 2020. Steve Heath confirmed that all investments are within approved limits and had outperformed the benchmark over the last six months. The overall financial position is in line with the budget as reported in the Quarter 2 Revenue Monitoring report.

A Committee member questioned whether comparisons are made with previous treasury management reports to see whether the predictions made were consistent with what occurred. Steve Heath informed the committee that the report includes comparisons with the Treasury Management Strategy Statement predictions and the current situation. The general approach and tone of the forecast has been unchanged for some time.

In response to a question about the flexibility of the strategy, in relation to the Brexit negotiations and whether changes could occur quickly if required, Steve Heath confirmed that the situation is monitored on a regular basis with receipt of daily, weekly and monthly e-mail updates. In addition to this, face to face meetings occur with Link Asset Services twice a year to discuss strategy. If there were any shocks or significant events they would be reported in the next Capital Monitoring report.

A question was asked regarding how the Council decides the level of internal borrowing. Steve Heath stated that there are a number of considerations for the level of internal borrowing undertaken by the Council. With regard to external borrowing, the Council has an upper limit and has to ensure the sustainability and affordability of external borrowing. With regard to internal borrowing there are no stipulations, but the Council reviews the position regularly and needs to be aware of the implications of borrowing on the budget. Steve Heath also informed the Committee that the Treasury Management Strategy has a low risk approach, investing with counterparties that have the highest credit quality.

Committee members requested that the Cabinet be made aware that the Treasury Management Strategy Statement had been reviewed by the Committee and that no changes had been recommended.

RESOLVED that the Treasury Management Strategy Statement Mid-Year Review Report 2017/18 be noted.

87. Work Programme 2017-18

Councillor Barlow introduced the Work Programme 2017-18 which requests that the Committee note the report.

The Committee discussed the Review of Meetings and Ways of Working report was scheduled for the next Governance and Audit Committee meeting. Committee members stressed the importance of Councillors and Officers providing a response to a request for views about later start times of meetings, which could then be included in the report. A member of the Committee also suggested that the report include information about the possibility of visitors to the Committee being able to use video conferencing facilities to virtually attend and participate in the meeting.

Committee members were also informed that the Audit Plan 2017/18 could be brought to the January Committee meeting, rather than the March meeting and that the Interim Internal Audit Monitor scheduled for January was a duplicate item that could be removed.

RESOLVED that the Work Programme 2017-18 be noted.

Governance and Audit Committee

Item
7

16 January 2018

Report of	Assistant Director, Policy & Corporate	Author	Steve Heath ☎ 282389
Title	Certification of Claims and Returns – Annual Report 2016/17		
Wards affected	Not applicable		

1. Executive Summary

- 1.1 This report summarises the outcomes of the Auditor's certification work on the Council's claims and returns for 2016/17, and highlights the significant issues. The Auditors' work related to the housing benefits subsidy claim with a total value of £55m.
- 1.2 The Auditor issued a qualification letter for the housing benefit scheme claim. There was one new recommendation arising from the Auditor's work on the 2016/17 claim.
- 1.3 The Auditor is also due to commence work on the 2016/17 Housing pooling return in January 2018.

2. Recommended Decision

- 2.1 To note and comment on the contents of the 2016/17 Certification of Claims and Returns annual report from the external auditor, Ernst & Young.

3. Reason for Recommended Decision

- 3.1 The Accounts and Audit Regulations require the Council to consider this report.

4. Alternative Options

- 4.1 Not applicable.

5. Supporting information

- 5.1 The 2016/17 Certification of claims and returns annual report is attached to this report as an appendix.

6. Strategic Plan references

- 6.1 The objectives and priorities of the Strategic Plan informed all stages of the budget process for 2016/17.

7. Financial Implications

- 7.1 The actual fee for the housing benefit subsidy claim is expected to be £4k lower than the indicative fee for the year as the Council performed the initial housing benefit testing. This will be included in the projected outturn that will be reported to the Committee in the quarter 3 revenue monitoring report.

8. Other Standard References

- 8.1 Having considered publicity, equality, diversity and human rights, health and safety, community safety and risk management implications, there are none that are significant to the matters in this report.

Appendices

Appendix A - Certification of claims and returns annual report 2016/17

Background Papers

None

Certification of claims and returns annual report 2016-17

Colchester Borough Council

December 2017

Ernst & Young LLP





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11 December 2017

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Dear Members

Certification of claims and returns annual report 2016-17 Colchester Borough Council

We are pleased to report on our certification and other assurance work. This report summarises the results of our work on Colchester Borough Council's 2016-17 claims.

Scope of work

Local authorities claim large sums of public money in grants and subsidies from central government and other grant-paying bodies and must complete returns providing financial information to government departments. In some cases these grant-paying bodies and government departments require appropriately qualified auditors to certify the claims and returns submitted to them.

From 1 April 2015, the duty to make arrangements for the certification of relevant claims and returns and to prescribe scales of fees for this work was delegated to the Public Sector Audit Appointments Ltd (PSAA) by the Secretary of State for Communities and Local Government.

For 2016-17, these arrangements required only the certification of the housing benefits subsidy claim. In certifying this we followed a methodology determined by the Department for Work and Pensions and did not undertake an audit of the claim.

In addition to this, we also act as reporting accountant in relation to the CFB06 return which is outside the PSAA's regime.

Summary

Section 1 of this report outlines the results of our 2016-17 certification work and highlights the significant issues.

We checked and certified the housing benefits subsidy claim with a total value of £55,109,465. We met the submission deadline. We issued a qualification letter for the housing benefit scheme claim and details of the qualification matters are included in section 1.

We made no recommendations in the prior year and have made one recommendation this year, set out in section 5.



Building a better
working world

Fees for certification and other returns work are summarised in section 2. The housing benefits subsidy claim fees for 2016-17 were published by the Public Sector Audit Appointments Ltd (PSAA) in March 2016 and are now available on the PSAA's website (www.psaa.co.uk).

We welcome the opportunity to discuss the contents of this report with you at the 16 January 2018 Governance and Audit Committee.

Yours faithfully

Kevin Suter
Associate Partner
Ernst & Young LLP
Enc

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1. Housing benefits subsidy claim

Scope of work	Results
Value of claim presented for certification	£55,109,465
Amended/Not amended	Not amended
Qualification letter	Yes
Fee - 2016-17	£15,450
Fee - 2015-16	£13,640
Recommendations from 2015-16	Findings in 2016-17
None	The Council should formally review their risk based verification policy on an annual basis. Further details of these findings are included in section 5

Local Government administers the Government's housing benefits scheme for tenants and can claim subsidies from the Department for Work and Pensions (DWP) towards the cost of benefits paid.

The certification guidance requires auditors to complete more extensive '40+' or extended testing if initial testing identifies errors in the calculation of benefit or compilation of the claim. 40+ testing may also be carried out as a result of errors that have been identified in the audit of previous year's claims. We found errors and carried out extended testing in one area - the input and calculation of rent allowance case details.

This 40+ testing resulted in a further six errors. Therefore, we reported the outcome in a qualification letter, with an extrapolated error of £75,278.

There were no errors identified that resulted in an amendment to the claim form.

We also reported that the Council's risk based verification policy had not been formally reviewed during 2016-17. The review of this policy has been included as a recommendation in section 5 of this report.

2. Other assurance work

During 2016-17 we will also act as reporting accountant in relation to the following scheme:

- ▶ Housing pooling return

This work is due to commence in January 2018 when we will provide a separate report to the Council in relation to this return. This work will be undertaken outside the PSAA regime. The proposed fee for this is included in the figures in section 3. They are referred to here to ensure Members have a full understanding of the various returns on which we provide some form of assurance.

3. 2016-17 certification fees

The PSAA determine a scale fee each year for the audit of claims and returns. For 2016-17, these scale fees were published by the Public Sector Audit Appointments Ltd (PSAA's) in March 2016 and are now available on the PSAA's website (www.psa.co.uk).

Claim or return	2016-17	2016-17	2015-16
	Actual fee £	Indicative fee £	Actual fee £
Housing benefits subsidy claim	15,450	19,455	13,640
Housing pooling return		5,000	5,000

The housing benefit subsidy claim certification fee has increased for Colchester Borough Council from 2015-16 as the fees, set by the PSAA, are based on the quantum of work performed in previous years.

During 2016-17 the Council performed the initial housing benefit testing for the first time. This has enabled us to return £4,005, approximately 20%, of the audit fee.

Note that the reduction to the housing benefit subsidy fee is still subject to approval by PSAA.

4. Looking forward

2017/18

From 1 April 2015, the duty to make arrangements for the certification of relevant claims and returns and to prescribe scales of fees for this work was delegated to (PSAA) by the Secretary of State for Communities and Local Government.

The Council's indicative certification fee for 2017-18 is £13,640. This was set by PSAA and is based on final 2015-16 certification fees.

Details of individual indicative fees are available at the following web address:

<https://www.psa.co.uk/audit-fees/201718-work-programme-and-scales-of-fees/individual-indicative-certification-fees/>

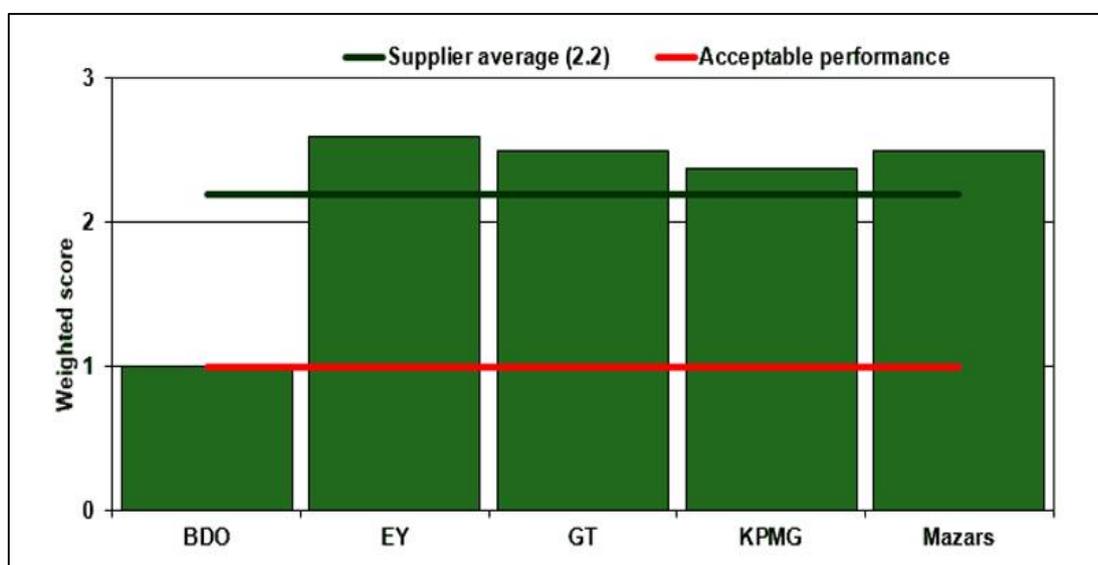
We must seek the agreement of PSAA to any proposed variations to these indicative certification fees. We will inform the Strategic Finance Manager before seeking any such variation.

2018/19

From 2018/19, the Council will be responsible for appointing their own reporting accountant to undertake the certification of the housing benefit subsidy claim in accordance with the Housing Benefit Assurance Process (HBAP) requirements that are being established by the DWP. DWP's HBAP guidance is under consultation and is expected to be published around January 2018.

We would be pleased to undertake this work for you, and can provide a competitive quotation for this work. Although we do not expect to be appointed by PSAA in December 2017 as your statutory auditor we can still provide a comprehensive assurance service, making efficiencies for you and building on the knowledge and relationship we have established with your Housing Benefits service.

We currently provide HB subsidy certification to 106 clients, through our specialist Government & Public Sector team. We provide a quality service, and are proud that in the PSAA's latest Annual Regulatory and Compliance Report (July 2017) we score the highest of all providers, with an average score of 2.6 (out of 3).



5. Summary of recommendations

This section highlights the recommendations from our work and the actions agreed.

Recommendation	Priority	Agreed action and comment	Deadline	Responsible officer
Housing benefits subsidy claim: Risk based verification policy.	Medium	As per the Housing Benefit and Council Tax Benefit Circular S11/2011 paragraph 15, the Council's risk based verification policy should be reviewed annually. The Colchester Borough Council risk based verification policy was not formally reviewed during 2016-17. We recommend that the policy is formally reviewed during 2017-18.	31 March 2018	Sean Plummer

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16 January 2018

Report of	Assistant Director of Policy and Corporate	Author	Andrew Weavers
Title	Review of Meetings and Ways of Working Update		
Wards affected	Not applicable		

1. Executive Summary

- 1.1 This report provides the Governance and Audit Committee with an update on the progress of the Review of Meetings and Ways of Working, which took place during the previous municipal year. The aim of the review was to look at and improve processes around Colchester Borough Council Committee meetings. The report will also review a trial of the later start times of meetings.

2. Recommended Decision

- 2.1 That the Committee note the progress made to date on the Review of Meetings and Ways of Working as contained within the report.
- 2.2 That the Committee consider whether to make a recommendation to Council in respect of the Review of Meetings and Ways of Working.

3. Reason for Recommended Decision

- 3.1 Following on from the conclusion of the review of meetings and ways of working this report provides the Committee with an update on all the different elements of the review.
- 3.2 The report also contains information collated following the end of the later start times trial period including feedback from both Councillors and Officers. The Committee are now invited to establish the next steps that they wish to take.

4. Background Information

- 4.1 The Governance and Audit Committee established the Review of Meetings and Ways of Working during the 2016-2017 municipal year.

Digital Agendas

- 4.2 The three month digital agenda trial commenced at the beginning of January. The Governance and Audit Committee, the Scrutiny Panel and the Revolving Investment Fund Committee have all agreed to be part of the trial.
- 4.3 As part of the trial, Councillors will no longer receive paper copies of the meeting agenda. Councillors will be required to access agendas from the website and use a PDF application to both read and annotate agendas. In line with legislative requirements, a paper copy will still be placed on deposit in the library and a reasonable number of paper copies will be made available for the public attending Committee meetings. Appropriate signage will be included in meeting rooms to highlight to members of the public that all agendas are available online and provide a link to the location.

- 4.4 A digital agenda training session demonstrating the method of accessing agendas and using the Adobe PDF application took place on 21 November 2017. This was attended by eleven Councillors. Further offers of training have been provided to members of all three Committees.
- 4.5 This meeting of the Governance and Audit Committee is the first meeting to use digital only agendas.
- 4.6 The circulation of e-Newsletters containing links to published agendas to Councillors and members of the public will continue. During the trial, to ensure that the visibility of Council agendas is increased, e-mails containing links to published agendas will be sent directly from the Democratic Service team to Councillors and relevant Officers.
- 4.7 Ready access to a power supply is likely to be a requirement for those attending these meetings. However, a fixed/permanent solution, given the restrictions on the listed building, is likely to be expensive. Accordingly, longer charging cables and multiple socket power towers will be provided for the different devices used by Councillors. In the meantime Councillors will be required to ensure that their devices are fully charged prior to attending meetings. Further work will be needed for a solution in the Council Chamber or Moot Hall.

Councillor ICT / Use of technology

- 4.8 The Democratic Services Team surveyed those Councillors participating in the digital agendas trial to establish whether they had a suitable device for meetings.
- 4.9 Councillors were offered one three different devices, all of which are capable of running the programs and applications for accessing digital agendas and Colchester Borough Council e-mail accounts. Below are the three devices offered;
- Android - Samsung Galaxy A Tablet
 - Apple - iPad (with Keyboard attachment)
 - Windows - Surface 3 laptop hybrid
- 4.10 A total of five devices have been provided on a loan basis and set up. All Councillors provided with a device have received an introduction on how to use the device, alongside offers of further support if required.
- 4.11 It should be acknowledged that further IT devices may need to be provided if a further roll out of digital agendas was considered.

Streaming of Committee meetings

- 4.12 Colchester Borough Council entered into a contract with Audiominutes following approval at the Council meeting on the 26 July 2017, this followed a short trial with the company.
- 4.13 The Audiominutes service provides a live streaming and archive streaming solution for all public Colchester Borough Council Committee meetings. Audiominutes is integrated into the Committee management system allowing for audio of the meeting to be located on the same webpage as the agenda and for recordings to be tagged under each agenda item. The system also automatically tweets both the beginning and end of live Committee streaming.

- 4.14 Audiominutes also provides a monthly and yearly report on the number of listeners. Below are listener statistics from the period between March 2017 and the last Committee meeting in December 2017.

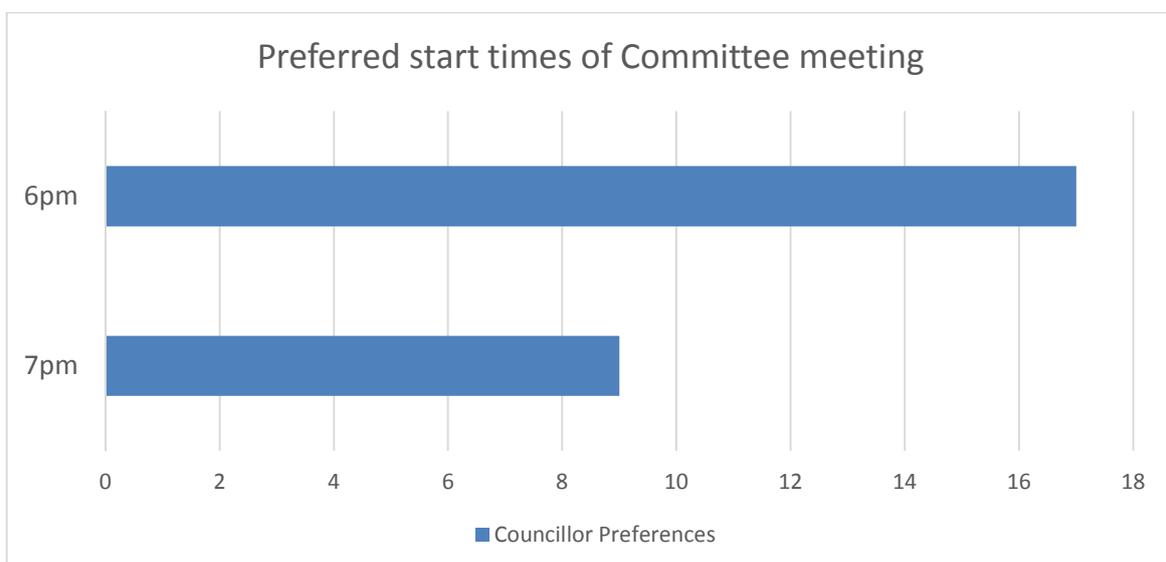
Statistic	Total
Total Live Listeners	488
Recorded meeting Listeners	2,716
Peak Live Listeners	92 (6 November 2017 – Local Plan Committee)
Most listened to meeting recording	313 (12 June 2017 – Local Plan Committee)
Amount of content listened to	338.4 hours

Shorter Meeting Agendas/Executive summary

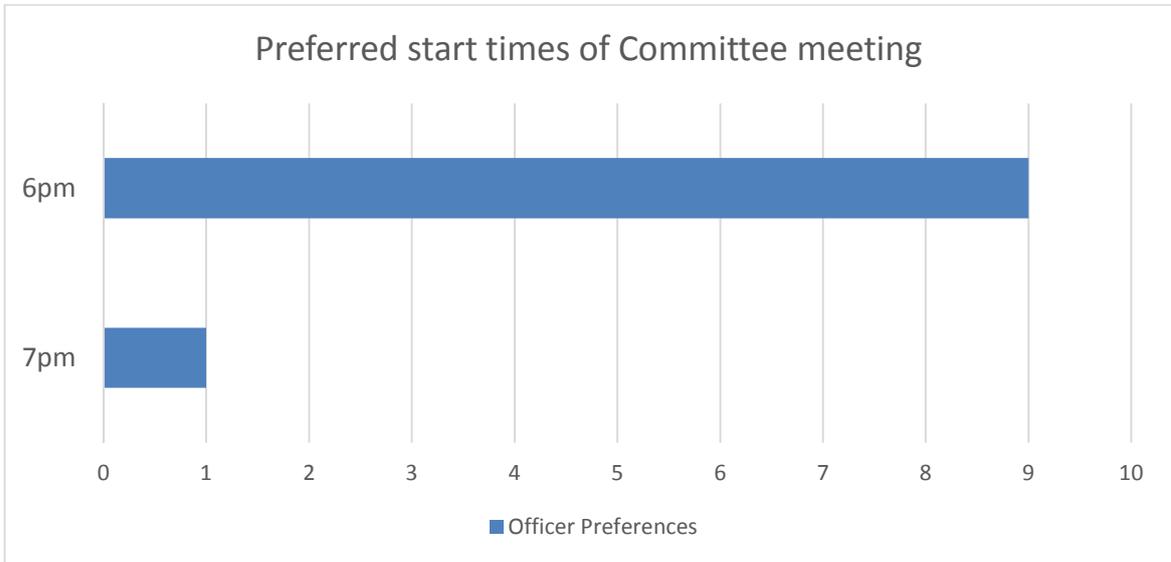
- 4.15 The Democratic Services team have rolled out new agenda format over the past few months. This has included more concise and simpler explanations of standard items on the agenda and public information sheets.
- 4.16 Report templates have also been reviewed and relaunched

Meeting Start times

- 4.17 The Governance and Audit Committee have held a total of five meetings at the later start time of 7pm. The average duration meetings of those meetings was 1 hour 19 minutes.
- 4.18 During that time the Committee received one Have Your Say! contribution from a member of the public and five contributions from Councillors. By way of comparison, not allowing for the different items of business which may prompt public interest the same period during the previous municipal year resulted in three public speakers and three Councillors attending to speak.
- 4.19 An online survey was launched for all Councillors on 7 December 2017 requesting feedback on the later start times. A total of 26 Councillors responded and a summary of the comments received is enclosed in **Appendix A**. The table below indicates the preferred start times of Committee meetings from Councillors.



4.20 A survey was also distributed to Officers and external partners who had attended a later start time Committee. Below is a table outlining the preference for Committee meeting start times, a more extensive summary of the responses received is included within **Appendix B** for the Committee to consider.



Review of Have Your Say!

- 4.21 Revised Have Your Say! provisions have been introduced at Committee meetings, with the exception of those committees exercising a quasi-judicial function. This entitles members of the public, at the discretion of individual chairmen, a further minute to address the public once they have received a response from the meeting that they are addressing.
- 4.22 Whilst not all members of the public who have spoken under Have Your Say! have wished to take advantage of this new arrangement, there has been some positive feedback from speakers about the opportunity to respond.

Social Media

- 4.23 The Democratic Services Team and Communications Team have continued to provide tweets when agendas for meetings have been published. The Audiominutes streaming service has also provided automated tweets at both the beginning and end of a Committee meeting.
- 4.24 Going forward, it is proposed that the tweet informing members of the public when an agenda is published be more informative and that a tweet also be sent out on the day of the meeting as a reminder and when the Cabinet meetings are published.

When Agendas are published

- The agenda for [Committee Meeting] at [Time] on [Date] is now online [Link]. Come along and #haveyoursay

Reminder on the Day

- Don't forget tonight's [Committee meeting] at 6pm at the Town Hall. Come along to #haveyoursay Can't make it? Check the agenda and listen to the live stream from 6pm here – [link]

Cabinet Minutes

- Missed yesterday's Cabinet meeting and want to see what was agreed? Minutes and meeting recording are now available here [link]

Member training issues

- 4.25 The Governance and Audit Committee requested that the Member Development Group examine whether there would be benefit in considering whether the range of subjects in which training and development is mandatory for Councillors should be widened. Possible examples suggested as part of the review were Chairmanship training for Chairman, scrutiny training for Scrutiny Panel members and safeguarding.
- 4.26 The Member Development Group considered this issue at its meeting on 14 December 2017. It made a recommendation to Cabinet that training on Safeguarding, Equality and Diversity and Data Protection be made mandatory for all Councillors from May 2018. In addition all new Chairman elected from May 2018 must undertake Chairmanship training, within three months of election, unless they already have extensive experience of chairing meetings in a local authority environment. The Group was also of the view that where mandatory training was not undertaken, the possibility of withholding allowances should be explored and Cabinet will be invited to seek the views of the Independent Remuneration Panel on this issue.
- 4.27 This recommendation will be considered by the Cabinet at its meeting on 31 January 2018, and it will be for Cabinet to consider whether to make a recommendation on the issue to Full Council.

Members Room

- 4.28 The Governance and Audit Committee requested that the Group Leaders give further consideration to the issue of improving the members' room.

5. Standard References

- 5.1 At this time there are no particular references to the Strategic Plan; publicity or consultation considerations; or financial; equality, diversity and human rights; community safety; health and safety or risk management implications.

Appendices

Appendix A – Councillor Survey Responses

Appendix B – Summary of Officer Survey Responses

Background Papers

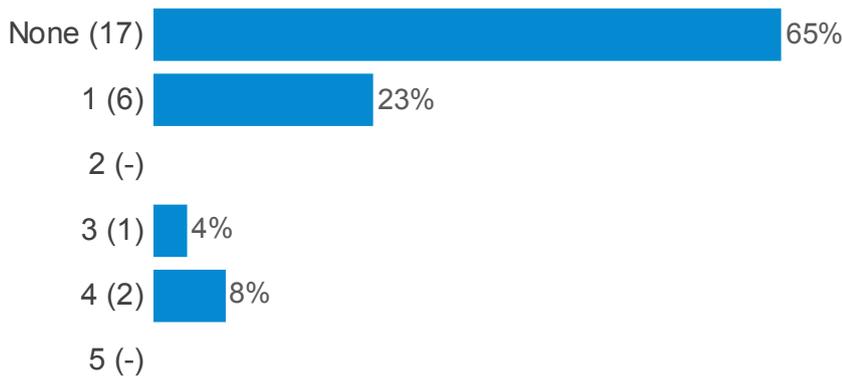
Previous Review of Meetings and Ways of Working Reports – 13 September 2016, 7 March 2017, 27 June 2017.

Review of committee meetings

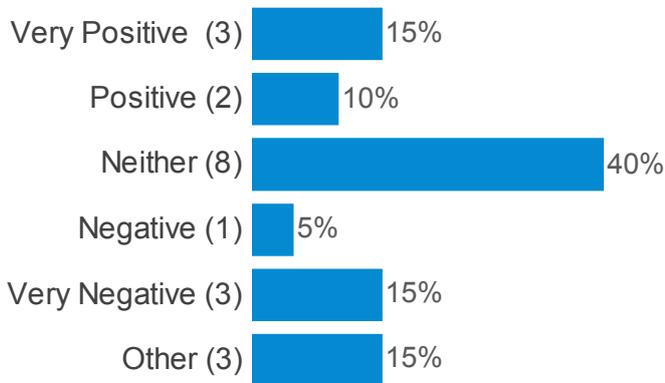
This report was generated on 05/01/18. Overall 26 respondents completed this questionnaire. The report has been filtered to show the responses for 'All Respondents'.

The following charts are restricted to the top 12 codes. Lists are restricted to the most recent 100 rows.

From June how many Governance and Audit Committee meetings starting at 7pm have you attended?



What was your experience of the later start time of the committee meeting?



Please use the space below to enter your experience

Did not attend.

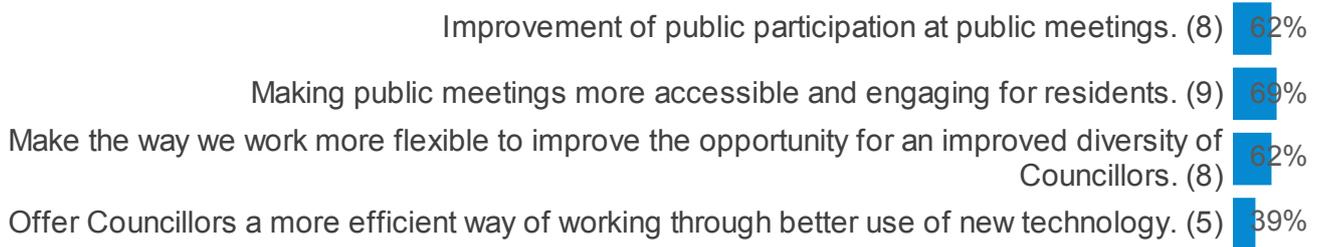
N/A

None

Review of committee meetings

Review of meetings and ways of working objectives are listed below, which do you feel a 6pm meeting start time achieves?

(select all that apply)



Review of meetings and ways of working objectives are listed below, which do you feel a 7pm meeting start time achieves?

(select all that apply)



What would be your preferred start time for a committee meeting?



Why would you prefer a 6pm start?

- A later start would just mean a later end to the meeting.
- Easier for many of public and those with caring responsibilities to attend. Avoids wasted Officer time and better for quest soakers
- Easier for many of public and those with caring responsibilities to attend. Avoids wasted Officer time and better for quest soakers
- More convenient and allows time to get to other meetings starting at 8pm or back home in time to eat something and have something of the evening left.
- Earlier to start earlier to finish!
- 6PM for committee meetings and maybe later for main council meetings. It should be up to the chair to discuss start times of their committee meetings.
- The one hour is the difference between getting to bed at midnight or 1am ,as I always have stuff to do late evening that must be done or added to my work load the next day.
- so you have more time to discuss items and not feel rushed to finish

Why would you prefer a 6pm start?

Those of us who have to travel a distance to get to a meeting prefer to be finished and home before 10 o'clock

As some meetings drag on

I really don't mind

The start time of 6pm was originally introduced to accommodate those councillors who lived and worked in or near Colchester. The same remains true today. The numbers who work out side Colchester are relatively few. Furthermore employers are expected to make reasonable provision for employees who under take civic duties in their own time.

It is a difficult balance but I believe that a 7pm start time could result in meetings ending much later. A 6pm start time is slightly more favourable to members of the public attending.

personal reasons--hearing impaired and the later the meeting starts the harder it is to hear

The earlier the start the earlier you finish, which means that meetings that tend to go on until late evening (e.g. planning) could go beyond the 10.00pm threshold if they were to start at 7.00pm.

It allows councillors to attend both CBC meetings in the Town Hall at 1800h and then meetings of other organisations which tend to start later. I have 11 parish councils in my ward, most of which meet from 1930h, which gives one a reasonable chance of getting to them before they finish. If the CBC meetings didn't start until 1900h, there would be no chance at all of getting to a PC meeting held on the same night.

Why would you prefer a 7pm start?

I work full time and meetings at 6pm go on too long, if 7pm they will focus more as less time available.

So I can attend after my day job with a chance of eating.

As a Councillor with a full time job I am home by 6pm less than 50% of the time. A 7pm Start time gives me probably a 75% chance of being there. At present I have to take the day off work to ensure that I am at meetings on time. It is almost impossible to get to a meeting and eat before hand.

If working or out in the daytime, I have time for a meal before hand and meet less traffic problems than earlier.

For work

To allow full time workers greater opportunity to participate as members and residents

For those that work both residents and councillors making attendance easier

I finish work at 6pm. Increased representation - It is challenging to encourage candidates to come forward who have full time jobs and arrive in time for a 6pm start.

Easier to get to from work, better for residents who want to attend and speak

What advantages would there be to you in retaining the 6pm start time?

Finishing a meeting before 9pm.

None

Early finish times.. unless the agenda can be smarter

Better able to fit into lifestyle and caring responsibilities

Better able to fit into lifestyle and caring responsibilities

More time for complex meetings

More convenient and see above.

Finishing earlier.

Earlier finish, but with our committee, this is no problem; with some committees such as planning, it could mean finishing too late. By too late, I would say 9.30-10.00

Review of committee meetings

What advantages would there be to you in retaining the 6pm start time?

N/A

Earlier finish

I do not have a job of work so the earlier time suits me best.

It mean we can run an efficient meeting which sometimes have gone on until 11pm! If we start later would a Midnight finish be realistic?

As set out above

Meetings vinish earlier

none

I can travel in before rush hour, do bit of shopping, have a cup of tea then be home before my husband goes to bed.

Less pressure on councillors who work early Currently works

Easier to come straight from other town business

None

None

The main advantage is that with the new procedural rules, the meetings will end earlier.

Earlier finishes to meetings.

as above

As described above.

See above. Of perhaps lesser importance, the same reasoning applies to social activities such as theatre and concert-going. You can catch a show at 2000h from a meeting that started at 1800h but probably not from one that started 1900h.

What disadvantages would there be to you in retaining the 6pm start time?

Disadvantages those Councillors who have a full time job and non flexible working.

Rushed and unprepared as work full time,

Working members will struggle to make meeting start

None

None

Those who work (even in Colchester) let alone London might struggle to get to these meetings.

None

Less attendance. Hungry!

Having to either manage to have a lunch, difficult sometimes, or a late dinner after the meeting. Traffic is bad for me for 6.00 start. Probably doubles my travel time from 20 minutes to 40 or more.

Problems with work

Limited time to get from work to meeting. No opportunity to eat.

It can mean people who work in London cannot attend but the Local Plan for instance always gets a very good turnout and participation with a 6PM start.

Traffic congestion

Too early for most people

none

None

Perhaps less residents participate but I doubt this improves with a 7pm meeting

Review of committee meetings

What disadvantages would there be to you in retaining the 6pm start time?

None

Carry on as I am, trying to rush to 6pm start, and missing any pre-meet. Also no chance to father thoughts or reread papers before the meeting (or even have some refreshment in between).

Having to leave work early to get to meetings.

None.

as above

None.

What advantages would there be for you in changing Committee meetings to 7pm?

None.

More relaxed on entry to meeting, pre meeting time

More relaxed journey into town as traffic will be less

None

None

People can grab a quick bite to eat.

None

Greater attendance. Greater chance of eating first.

Better meal times. Better travel.

Help balance life with my wok

A break between work and council activities. Opportunity to have a quick meal beforehand.

Only that more people may engage, but it would depend on the meeting content and the actual committee.

Ease of journey

Gives more time and less stress.

none

None

Easier for some who commute

None

A break to eat. Time for pre-meet and prepare papers.

Being able to remain longer at work or having a chance to get home properly between work and meetings to eat, change etc.

Absolutely none.

Slightly easier to balance work commitments and attending committee meetings

None that I can think of save avoiding traffic jams on the way in, which is not a very good reason because one can always park and walk.

Review of committee meetings

What disadvantages would there be for you in changing the Committee meetings to 7pm?

Later end. County Councillor meetings are during the day so could mean a 9am start - meetings starting later would mean later end time meaning more days would be 12 hours + long.

Less time if big agenda items

CBC staff will work longer hours Later finish times

Later finish times. Less public participation. Unable to combine a Council meeting with any other event in the ward. Allowing for travelling times would not be back for second meeting until after 9pm which would not suit the majority of my constituents

Later finish times. Less public participation. Unable to combine a Council meeting with any other event in the ward. Allowing for travelling times would not be back for second meeting until after 9pm which would not suit the majority of my constituents

Less time for lengthy meetings but this can be turned into a positive because people might be better prepared / focused.

More inconvenient and not in the best interests of members, staff or the public.

Later finish times.

None

Later finishing

Later finish

The later the meeting starts the later it will finish thus it can make it feel like a very long day!

Even later finish times - we may not get through business on the agenda. Could lead to more meetings with smaller agenda items.

As set out in question 1

If you start later you finish later

none

It is too early to eat beforehand , leave one hour for travel in rush hour then be home too late for a meal.

Later finishing times

Gap between daytime business and evening meetings. Later finish time

None

None

Vide supra. Generally, I am concerned that moving the time back to 7pm will mean that meetings will finish later, unless CBC adheres to the new termination time of 10pm. In which case there will be even less time for discussion than there is now. The new procedural rules were introduced with the 6pm start in mind. They will to be rewritten to accommodate a later start. I am also concerned by the possible impact on officers servicing meetings, they will have to finish later. I am also concerned by the possible impact on Planning Committee meetings. These require site visits that must be conducted during the hours of daylight only. A 7pm start will mean an additional hour hanging around the Town Hall. It is not an efficient use of time.

A later start time will result in a later end time. My experience is that the longer meetings go on into the evening, the less productive they become.

For a committee that I sat on, the potentially very late finish. For all committees, that the quality of debate and decision-making deteriorates as the evening progresses. No-one can be expected to be giving their full attention to a complex subject after 2100h but a meeting start time of 1900h will lead to late night working time after time.

Review of committee meetings

If you have any further comments on the start time of meetings please use the space below

We need to listen to all members and staff to ascertain impact

I would have said the same factors as I find positive in a 7.00 start apply equally to the majority of residents wishing to attend. However, I recognise everyone has different circumstances. I also recognise Council meetings have started at 6.00 for a long time and a change will need considerable publicity.

Offer the option to call into meetings and use technology.

I can see this would work for main council meetings but committee meetings less advantageous.

Whilst I appreciate it is a balance between the two times, I personally go for 6 pm

By starting later members may concentrate more so meetings do not go on too long

Reinstate the cafeteria so that we could avoid the rush hour and have a meal before the meetings and socialise like civilised human beings.

If necessary, chairs should be given more training, specifically on how to keep meetings shorter and on point.

I should be remembered that when a meeting has finished and on return home it usually takes about an hour or so to unwind. A later finish will have an impact on the performance of both officers and members the following day. So there is a well being issue at stake.

I have long felt that our meetings should be held earlier rather than later. Other authorities seem to manage satisfactorily with member meetings during the normal working day which would certainly be helpful to, say, parents of primary school age children who can't be left during the late afternoon or evening.

If you have any other comments about the Review of Meetings and Ways of working, please provide them below

I consider a 7.00 start time will help working councillors and especially those working in London. Also, it may make recruitment of councillors rather easier and may attract a wider range and age of candidates.

I am still of the view that all councillors should be offered a piece of up-to-date IT hardware at induction. This would ensure all members have the capability to electronically work. There would be savings from bulk purchase also. If cost to taxpayers is an issue councillors could repay this over a period of months or years.

I would prefer committee meetings to start at 6PM and that it would be up to the chair to decide on whether it would be better to start later.

A good chairman can make so much difference to the smooth running of a meeting

Members should be using technology rather than paper copies

7pm is still too early for someone working outside Colchester so there would be no benefit

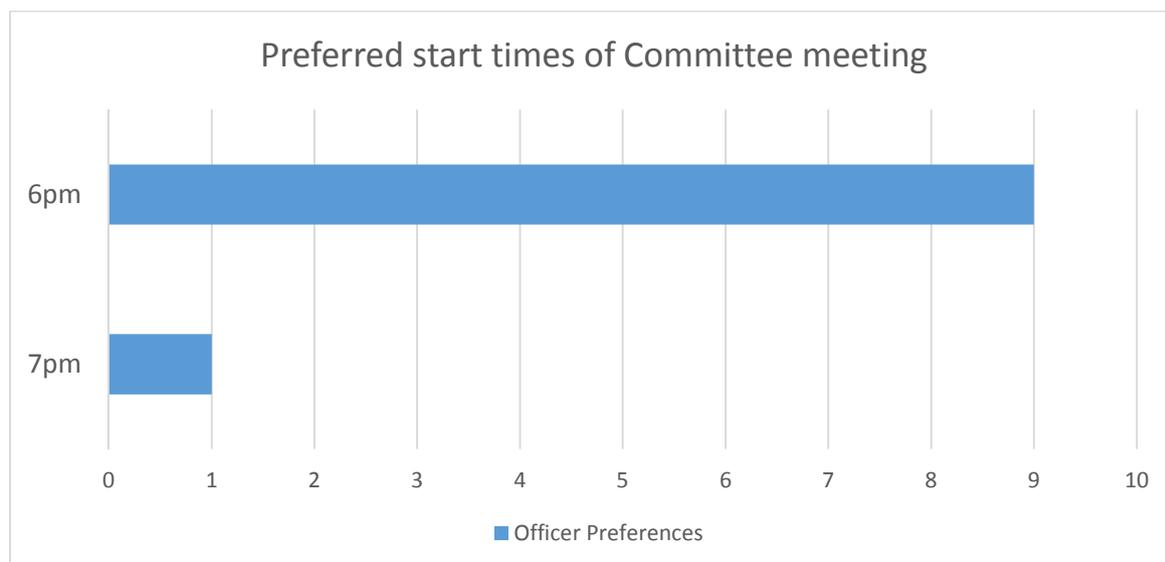
I have no problem with paperless technology, in principle, but the product does require further work.

Summary of Officer Responses

A survey was circulated to all officers and external partners who had attended one or more of the Governance and Audit Committee's that started at 7pm.

Below is a summary of the responses received from officers and external partners. A total of eleven responses were received.

What would be your preferred start time for a Committee meeting?



Summary of comments received in favour of a 6pm start –

- A 6pm start allows sufficient time for a meeting to be concluded, even if the agenda/debate is lengthy. There could be a risk that later start times may lead to items being deferred and to extra meetings being scheduled.
- A 7pm start time is likely to lead to later finish times. This will increase the length of the working day for officers who attend and support Committee meetings. Certain meetings, such as the Local Plan Committee and Council, regularly last three hours or more, which means a 10pm finish time. Given that officers (and members) are likely to have worked a full day beforehand, tiredness and concentration can be an issue at these late hours.
- Greater likelihood of availability of external partners to attend meetings is better for a 6pm start.
- Increases the likelihood of Officers retaining a part of the evening for themselves and allows for additional commitments.
- A better work/life balance.
- Less likely to experience difficulty travelling home on public transport.
- The 6pm starts is current practice widely known by Officers, Councillors and members of the public.
- Significant public attendance has been seen at a number of Committee meetings that started at 6pm. There is no particular time that would suit all members of the public.

- Some officers walk home from the Town Hall post meetings. Later finishes will increase the number of times officers walk home in darkness and through the town centre at night.
- More efficient use of time.
- Due to work commitments, although meetings were starting later, officers were not starting their working day later. This resulted in officers already having worked more than a full day by 6pm and then having to wait an extra hour for the meeting to start. This is an issue from the personal aspect for the officers themselves, this also causes an issue with the build-up of additional flex hours and results in an additional hour of 'leave' for the officers concerned, or potentially disadvantages the officer, if they are unable to use up their excess hours

Summary of comments received in favour of a 7pm start –

- Likely that traffic is improved due to the later start time.
- Acknowledgement that it may be easier for members to get to meetings with a later start time.



Governance & Audit Committee

Item

9

16 January 2018

Report of

Assistant Director of Policy and Corporate

Author

Hayley McGrath

508902

Title

Interim Review of the Annual Governance Statement Action Plan.

Wards affected

Not applicable

1. Executive Summary

- 1.1 This report reviews the implementation of the actions highlighted on the 2016/17 Annual Governance Statement (AGS), which was reported to the Governance and Audit Committee in June 2017. The report included an action plan for issues to be resolved during the current financial year (2017/18).
- 1.2 The annual governance review should be an ongoing process, therefore it is essential to ensure that issues identified in the AGS are monitored. Accordingly these issues have been discussed with the relevant lead officers, and the action plan has been updated with the progress made. The updated action plan is included at appendix A.
- 1.3 The key messages are that there has been progress against all of the issues identified in the action plan, and the external audit of the final accounts for 2016/17 did not raise any concerns with the Annual Governance Statement or the action plan.

2. Recommended Decision

- 2.1 Consider and comment on the work undertaken to implement the current Annual Governance Statement action plan.

3. Reason for Recommended Decision

- 3.1 Part 2 (3 & 6) of the Accounts and Audit Regulations 2015 requires the Council to ensure that it operates a sound system of internal control and to conduct an annual review of the effectiveness of its governance and internal control arrangements. The findings from this review, the Annual Governance Statement, must be reported to and approved by committee before being signed by the Leader of the Council and the Chief Executive, and then published for public inspection.
- 3.2 The regulations require the statement to be accompanied by an action plan for improving any issues identified. The CIPFA/SOLACE 'Good Governance' guidance highlights that the annual governance review should be a robust ongoing assessment, not just an annual year end exercise. Therefore it is essential to ensure that governance issues are considered during the year, and it was agreed that an interim report regarding progress against the action plan would be provided to this committee

4. Alternative Options

- 4.1 There are no alternative options to consider

5. Equality, Diversity and Human Rights implications

5.1 There are no equality, diversity or Human Rights implications as a result of this report.

6. Strategic Plan References

6.1 The achievement of the strategic plan requires a sound system of governance to ensure the effective delivery of services. Therefore improving on existing governance arrangements will help to ensure that the strategic plan objectives can be achieved.

7. Risk Management Implications

7.1 Risk Management is a fundamental part of the Governance process and a failure to implement the action plan may have an effect on the ability of the Council to control its risks.

8. Other Standard References

8.1 There are no particular references to consultation or publicity considerations or financial; community safety or health and safety implications.

9. Appendices

9.1 Appendix A – Annual Governance Statement Action Plan for 2017/18, updated Nov 17.

Colchester Borough Council
Annual Governance Statement – Action Plan for 2017/18
Interim Review November 2017

No.	Issue	Action	Due Date	Responsible Officer	Position Update
1.	<p>Payroll</p> <p>The internal audit review of the payroll function identified two key areas for improvement:</p> <ul style="list-style-type: none"> • The payroll contractor should be requested to provide an ISAE 3402 statement around the outsourced finance processes • All employee information relating to spinal column points and hours of work should be verified by budget holders in each service area and checked by the Payroll Manager. 	<p>The Payroll Manager has been in discussion with the contractor and at present the ISAE 3402 statement cannot be provided. However the contractor's auditors are providing the relevant assurance.</p> <p>The employee information is now complete, and ownership of data by operational teams is one of the key drivers for the move to self-serve. As part of the role out of self-serve the importance of managers reassuring themselves that their data is correct will be highlighted.</p>	31 July 2017	Payroll & Operational HR Manager	<p>Complete</p> <p>The external auditors were asked to consider if there were deficiencies in internal controls in light of the absence of the ISAE 3402. The auditors concluded:</p> <p><i>We have not identified any significant deficiencies in the design or operation of an internal control that might result in a material misstatement in your financial statements of which you are not aware.</i></p> <p>It should be noted that the payrolls service has been managed in house since December 2016 and additional checks have been introduced as part of the monthly payrun.</p>

No.	Issue	Action	Due Date	Responsible Officer	Position Update
3.	<p>Civica Application</p> <p>The internal audit review of the Civica application system identified several areas for improvement, however the most significant recommendation related to the reintroduction of the ability to recover data backups and the alignment of the disaster recovery plan to the business continuity plan.</p>	<p>The system itself is due to be replaced however It was agreed that this functionality will be reintroduced. This functionality is dependent on the successful introduction of the new HDS platform, which is a large corporate ICT project underway at Colchester.</p>	31 October 2017	ICT Manager	<p>Partially Complete</p> <p>Backups of the Civica application system are ongoing and robust. Work is ongoing to align Business Continuity plans with the Disaster Recovery plan.</p>
2.	<p>Contracting with Third Parties</p> <p>The internal audit review of contracting with third parties highlighted the need to develop and implement a tender submission checklist, covering the required documentation / evidence received as part of the tender submission process. It should be enforced that the contract is not signed until the checklist has been completed and be subject to independent authorisation.</p>	<p>The contract procedure rules and guidance are being reviewed and the checklist will form the basis of the instructions.</p>	31 October 2017	Procurement Business Partner	<p>In Progress</p> <p>The checklist is being drawn up in conjunction with the auditors and will form part of the strategic review of contract procedures, which is currently being undertaken.</p>

16 January 2018

Report of	Assistant Director of Policy & Corporate	Author	Hayley McGrath  508902
Title	Risk Management Progress Report		
Wards affected	Not applicable		

1. Executive Summary

- 1.1 Effective management of risk is essential to ensuring that the Council's aims and objectives are achieved. This report provides members with an overview of the Council's risk management activity during the period from 01 April 2017 to 30 September 2017.
- 1.2 The Council has a comprehensive risk management process that is embedded across the organisation. This includes a strategic risk register, which is the responsibility of the senior management team, operational risk registers which are produced by each service and specific risk mitigation initiatives.
- 1.3 The key strategic risks are:
 - The potential impact of future central government decisions to reduce public funding, including that of partners, and
 - Failure or inappropriate performance management of one or more strategic partnerships or key contracts.

2. Recommended Decision

- 2.1 Consider and comment on the Council's progress and performance in managing risk during the period from April to September 2017.
- 2.2 Consider and comment on the current strategic risk register.

3. Reason for Recommended Decision

- 3.1 The Risk Management Strategy, which forms part of the policy framework, identifies the Governance and Audit Committee as being responsible for reviewing the effectiveness of the risk management process and reporting critical items to cabinet as necessary.
- 3.2 Six monthly progress reports, detailing work undertaken and current issues, are provided to assist with this responsibility.

4. Alternative Options

- 4.1 There are no alternative options to consider

5. Background Information

- 5.1 The aim of the Council is to adopt best practice in the identification, evaluation, cost-effective control and monitoring of risks across all processes, to ensure that risks are properly considered and reduced as far as practicable.
- 5.2 In broad terms risks are split into three categories:
- Strategic – those risks relating to the long term goals of the Council
 - Operational – risks related to the day-to-day operation of each individual service
 - Project – the delivery risks of specific initiatives.
- 5.3 Identified risks, in all three categories, are judged against levels of probability and impact to give them an overall score. This allows the risks to be shown as 'high, medium or low' which enables a prioritised action plan to be set for managing risks. A high score does not mean that a risk has, or will definitely, occur.
- 5.4 In many cases the causes of risks are outside of the Council's control, such as general economic issues. The Council cannot stop these risks from occurring (the probability score) but can put plans in place to mitigate against their effect if they occur (the impact score). Likewise there are occasions that risks can be reduced with preventative actions but there is not much that can be done to mitigate their effect if they do occur, such as a failure to protect public resources. Therefore some risks will tend to maintain the same score, regardless of the controls that the Council puts in place.

6 Work undertaken during the period

- 6.1 Work has been undertaken to identify the insurance and risk frameworks for the new trading companies, to ensure that appropriate cover is in place to mitigate commercial risks as well as the standard organisational risks, when trading commences.
- 6.2 Due to national, and international events, there has been increased scrutiny of the security arrangements for public civic events. The Strategic Governance and Corporate Governance Managers have been working with Essex Police and the Garrison to ensure appropriate arrangements for security are in place.
- 6.3 Risk management funding has been provided to trial CCTV cameras on the refuse vehicles.
- 6.4 Support continues to be provided, reviewing the risk elements of event plans, to both the Colchester and the Community Stadium Safety Advisory Groups.
- 6.5 Following on from the last report to this panel in July 2017, the revised risk management strategy has been agreed by Cabinet and full Council, without amendment, and the policy framework has been updated accordingly.

7 Strategic Risk Register

- 7.1 The current strategic risk register is attached at appendix A with the score matrix attached at appendix B. The register was reviewed by senior management in November 2017.

8. Equality, Diversity and Human Rights implications

- 8.1 There are no equality, diversity or Human Rights implications as a result of this report.

9. Strategic Plan References

- 9.1 The strategic risk register reflects the objectives of the strategic plan and the actions have been set with due regard to the identified key strategic risks. Therefore the risk process supports the achievement of the strategic objectives.

10. Risk Management Implications

- 10.1 The failure to adequately identify and manage risks may have an effect on the ability of the Council to achieve its objectives and operate effectively.

11. Other Standard References

- 11.1 There are no particular references to consultation or publicity considerations or financial; community safety or health and safety implications.

Appendices

Appendix A – The strategic risk register

Appendix B – Strategic risk register score matrix

Colchester Borough Council – Corporate Strategic Risk Register
Oct 2017 – Jan 2018
Agreed by PMB 16 Nov 2017

1. AMBITION											
Specific Risks		SCORE						Consequences	Actions	Owner	
		Current			Previous						
		P	I	O	P	I	O				
1a	In a period of public sector resource reductions the ability to have ambition and to deliver on that ambition.	3	2	6				Major changes needed to the town would not be delivered thus affecting the quality of life of its residents and businesses.	Ensure the KPI and SPAP reporting processes are effectively used to inform senior management and politicians about the performance and direction of the organisation.	Assistant Director Policy and Corporate	Jan 2018
1b	Unrealistic internal and external expectations on the speed of delivery.	3	3	9				Major downturn in public sector resourcing over the next few years will hamper the speed of delivery across the services provided.	Ensure that the organisation has a clear strategy for working effectively with businesses in the borough, to develop the economy.	Strategic Director of Policy and Place	Jan 2018
1c	The Council is unable to effectively influence changes in the Borough economy.	3	4	12				Poorer external assessments by independent agencies and loss of Council reputation.			
1d	Over reliance on a limited number of people limits ability to deliver our ambition.	3	3	9				The Borough Council loses its status and influencing ability at sub-regional, regional and national levels.	Manage the recruitment and development processes to ensure that the organisation has the appropriate skills and expertise.	Chief Executive	Jan 2018

P - Probability I – Impact O – Overall score

Low = 1 – 4 Medium = 5 – 9 High = 10 – 25

2. CUSTOMERS											
Specific Risks		SCORE						Consequences	Actions	Owner	Timing
		Current			Previous						
		P	I	O	P	I	O				
2a	The expectations of our customers, set alongside the financial constraints will create challenges to service delivery, our channel shift ambitions and the reputation of the authority.	4	3	12				The Authority fails to deliver the standards of service and delivery which our customers expect, especially in relation to self-service and the reliance on IT capabilities.	Monitor the engagement and consultation processes, to ensure customers are able to inform service priorities and delivery, whilst managing their methods of interaction with the organisation. This will be evidenced by reporting the pattern of usage of the routes used by customers and savings achieved.	Strategic Director of Customer and Relationships	Jan 2018
2b	The expectation remains that the Council will step in to deliver services when other providers either fail or reduce service provision	3	3	9				The Council suffers from a loss of reputation as customers' expectations are not met. There is increased demand on existing services leading to a reduction in standards of delivery.	Ensure that Cabinet set a clear and consistent message about the role of CBC for customers and partners.	Strategic Director of Customer and Relationships	Jan 2018
2c	Impact of Welfare Reform will pose challenges to our resources in responding to rising customer need.	2	4	8				The Council fails to support our most vulnerable residents leading to an increase in crisis intervention.	Regularly monitor the impact of the resources allocated to the welfare reform project, to ensure that customers are supported with signposting to appropriate providers/partners.	Strategic Director of Customer and Relationships	Jan 2018

3. PEOPLE											
Specific Risks		SCORE						Consequence	Actions	Owner	Timing
		Current			Previous						
		P	I	O	P	I	O				
3a	Unable to compete with the private sector in the recruitment (and retention) of staff with key marketable skills	4	3	12				Decline in service performance	Communicate job opportunities and benefits of working at CBC clearly and imaginatively.	Assistant Director Policy and Corporate	Jan 2018
								Disengaged and demotivated staff			
3c	Staff motivation declines with an impact on service delivery, our capacity to make changes and implementation of budget efficiencies	3	4	12				Inability to meet changing requirements and needs	Monitor staff morale and trends using staff surveys and by monitoring the People Dashboard; and ensure good communications with staff, exploiting new technologies such as Yammer.	Assistant Director Policy and Corporate	Jan 2018
								Customer perceptions decline as we deliver less			
								Loss of key staff			
								Implement the action plan for the People Strategy; ensuring that performance is regularly monitored.	Assistant Director Policy and Corporate	Jan 2018	
								Regularly report the progress of the learning and development strategy, including financial considerations and business behaviours, and exploring training alternatives.	Assistant Director Policy and Corporate	Jan 2018	

3. PEOPLE											
Specific Risks		SCORE						Consequence	Actions	Owner	Timing
		Current			Previous						
		P	I	O	P	I	O				
3e	There is an increase in challenging behaviour from customers, towards officers, when the Council cannot meet the customer's expectations. Alongside partners being unable to provide support or having incorrectly signposted the customer to the Council.	3	3	9				<p>Officers suffer potential mental and physical issues as a result of confrontations.</p> <p>The ability to assist the customer is reduced.</p> <p>Service delivery declines</p>	<p>Ensure that the Health & Safety reporting process is used to record instances of violence and aggression, with regular reporting to senior management.</p> <p>Develop an on-line training tool for staff, for managing difficult situations.</p> <p>Liaise with partners, such as Police and health, about expectations for vulnerable customers. Both in terms of emergency response to issues and services that the Council can, and cannot, provide.</p>	Strategic Director of Customer and Relationships	Jan 2018

4. HORIZON SCANNING

Specific Risks		SCORE						Consequence	Actions	Owner	Timing
		Current			Previous						
		P	I	O	P	I	O				
4a	To continuously assess future challenges to ensure Council is fit for future purpose	2	4	8				<p>If not properly managed then either the Council will lose the opportunity to develop further or will have enforced changes to service delivery.</p> <p>Adverse impact on local residents / resources.</p> <p>Missed opportunities to boost local economy.</p> <p>Conflict between Council / Government agendas.</p> <p>Reduction in levels of service provision and potential withdrawal of services.</p>	Regularly monitor national trends and policy changes, ensure that CBC is represented on specialist network groups.	Strategic Director of Customer and Relationships	Jan 2018
4b	Not taking or creating opportunities to maximise the efficient delivery of services through shared provision, partnerships or commercial delivery	4	3	12					Identify and maintain skill set required to meet future challenges, maintain partnership relationships	Strategic Director of Policy and Place	Jan 2018
4c	Failure by the Council to spot / influence at an early stage the direction of Central Government policies / new legislation.	3	3	9					Ensure that responses are considered and provided for consultations. Utilise specialist officer knowledge and ensure CBC representation on relevant working groups.	Assistant Director Policy and Corporate	Jan 2018
4d	Potential impact of future central government decisions to reduce public funding, including that of our partners	5	4	20					Maintain a constant review of the budget situation, incl impact of decisions from central government. Identify additional actions and areas for spending as necessary.	Chief Operating Officer	Jan 2018
4e	The outcome of the referendum to leave the European Union is leading to a number of uncertainties. At the moment it is unclear how this will impact on the Council, our communities and businesses. However, it does raise a potential set of risks that will need to be monitored.	5	3	15					Continue to monitor the progress of the exit from the EU, ensuring that there is a formal process for reporting potential impacts.	Strategic Director of Policy and Place	Jan 2018

5. PARTNERSHIPS											
Specific Risks		SCORE						Consequence	Actions	Owner	Timing
		Current			Previous						
		P	I	O	P	I	O				
5a	Failure or inappropriate performance management of one or more strategic partnerships or key contracts E.g. Haven Gateway, LEP, Health, CBH	4	4	16				<p>The cost of service delivery is increased however quality decreases.</p> <p>Failure to deliver key priorities.</p> <p>Reputational and financial loss by the Authority.</p> <p>Failure to deliver expected outcomes through partnerships</p>	Set an assessment process for proposed strategic partnerships (to ensure that they will satisfy the Council's objectives) that needs to be signed off by EMT before commitment to new partnerships is made.	Strategic Director of Customer and Relationships	Jan 2018
5b	Change of direction / policy within key partner organisations and they revise input / withdraw from projects.	4	3	12				<p>Requirement to repay external funding granted to partnership – taking on the liabilities of the 'withdrawn' partner.</p> <p>External assessment of the Councils partnerships are critical and score poorly.</p>	Set a formal relationship / performance review process to be used by all partnerships and ensure results are reported to senior management. Ensure that Exec Board and Leadership review partnerships on a regular basis. Embed Scrutiny Cttee process for key partnerships including CBH and the Safer Colchester Partnership.	Strategic Director of Customer and Relationships	Jan 2018
5c	Potential inability to agree shared outcomes/ agendas with partners and the Council's ability to influence partner's performance.	3	4	12							
5d	Working across the partners for delivery of the garden communities project encounters delay. The partners - Colchester BC, Tendring DC, Braintree DC, Essex CC and the landowners fail to agree objectives and actions	2	4	8				The project fails to deliver its objectives leading to increased costs as there would be delays in local plan progress and loss of reputation, as well as the long term effect on ability to generate investment into the area and meet housing and employment needs.	There is a joint shadow delivery Board that allows the Authorities to co-ordinate their actions and resolve issues.	Strategic Director of Policy and Place	Jan 2018

6. ASSETS & RESOURCES											
Specific Risks		SCORE						Consequence	Actions	Owner	Timing
		Current			Previous						
		P	I	O	P	I	O				
6a	Failure to protect public funds and resources – ineffective probity / monitoring systems	3	4	12				Service delivery failure Financial and reputational loss by the Authority Personal liability of Officers and Members. Legal actions against the Council Loss of stakeholder confidence in the Borough Inability to sustain costs	Ensure the outcomes of the assurance systems that form the internal control environment, (including Internal Audit, Risk Management, Budget process, Corporate Governance and performance management) are appropriately reported so that issues and concerns are managed and variances are spotted at an early stage.	Chief Operating Officer	Jan 2018
6b	Risk that Asset Management is not fully linked to strategic priorities and not supported by appropriate resources	3	4	12				Failure to deliver a balanced budget as planned. A need to use balances / reserves or to adapt financial plans to deal with impact of changes.	Review the budget monitoring process to ensure it reflects the structure and co-ordinates finances across the whole Council not just individual service areas.	Chief Operating Officer	Jan 2018
								Required to use Reserves & Resources to fund capital priorities Severe impact on cash-flow leading to negative effect on performance targets	Ensure the continued development of the Revolving Investment Fund (RIF) and ensure that assets are used to their full commercial potential.	Strategic Director Policy and Place	Jan 2018

Continued.

6. ASSETS & RESOURCES

Specific Risks		SCORE						Consequence	Actions	Owner	Timing
6c	Inability to deliver the budget strategy as planned.	3	4	12					Ensure effective use of the controls built into the annual budget strategy, to enable the organisation to respond quickly to changes. Include sensitivity analysis to consider the impact of potential changes to external funding/ income streams and the capacity of the organisation to deliver services. Consider income risks as part of budget strategy / budget plans.	Chief Operating Officer	Annual exercise. Council approves budget in Feb annually
6d	Failure to set aside sufficient capital funds for strategic priorities	3	4	12					Monitor the review processes for the medium term financial outlook, capital programme and HRA business plan processes, to ensure they are kept up to date and realistic.	Chief Operating Officer	Jan 2018
6e	Significant reliance on our ICT presents challenges in maintaining customer service in the event of service interruptions.	2	5	10					Ensure that the IT Disaster Recovery plan, and service plans, adequately reflect the organisation's requirements and provide an effective framework for maintaining service provision. Regularly review the IT development strategy to ensure it continues to support the organisations ambitions.	Assistant Director Policy and Corporate	Jan 2018

6. ASSETS & RESOURCES												
Specific Risks		SCORE					Consequence		Actions		Owner	Timing
6f	Increasing demands around information security create a risk in the event that security breaches occur	2	5	10					Review the IT security policies to ensure that they are fit for purpose and implement a training program for all staff.	Assistant Director Policy and Corporate	Jan 2018	

SCORE DEFINITIONS	1 Very Low	2 Low	3 Medium	4 High	5 Very High
Impact	Insignificant effect on delivery of services or achievement of Strategic Vision & Corporate Objectives.	Minor interruption to service delivery or minimal effect on Corporate Objectives.	Moderate interruption to overall service delivery/effect on Corporate Objectives or failure of an individual service.	Major interruption to overall service delivery or severe effect on Corporate Objectives.	Inability to provide services or failure to meet Corporate Objectives
Probability	10% May happen – unlikely	10 -25% Possible	26 – 50% Could easily happen	51 – 75% Very likely to happen	Over 75% Consider as certain

Risks Removed

1e The resource implications, including ICT, staffing and financial, of the UCC FSR are greater than anticipated. Removed July 15.

1f The organisation fails to recognise the tensions between aspirations and statutory functions. Removed June 17

3b Failure to sustain adequate resource to support training and development because of the financial situation. Removed July 15.

3d Failure to provide effective and visible political and managerial leadership. Removed July 15

RISK MATRIX
Oct 17 - Jan 18

Approved by PMB 16 November 17

Low Risks	Medium Risks	High Risks
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Scoring 1-5

Risk Tolerance Line

Probability of Occurrence	5 Very High			4e	4d	
	4 High			2a 3a 4b	5a	
	3 Medium		1a	1b 1d	1c 5c 6a	
	2 Low			2b 3e 4c	6b 6c 6d	
	1 Very Low				2c 4a	6e 6f
		1 Very Low	2 Low	3 Medium	4 High	5 Very high
Severity of Impact						

Removed Risks

- 1e The resource implications, including ICT, staffing and financial, of the UCC FSR are greater than anticipated. R
- 3b Failure to sustain adequate resource to support training and development because of the financial situation. Re

16 January 2018

Report of	Assistant Director of Policy & Corporate	Author	Hayley McGrath
Title	Annual Review of Business Continuity		 508902
Wards affected	Not applicable		

1. Executive Summary

- 1.1 Colchester Borough Council provides a wide range of services to the local community. Any unexpected interruption to those services can have a negative impact on both the community and the authority. As such, the Council has established a Business Continuity process to minimise, as far as possible, the likelihood of an incident occurring and the potential impact if it does happen.
- 1.2 This report provides Members with an overview of the of the Council's Business Continuity activity for the period from 01 January 2017 to 31 December 2017.

2. Recommended Decision

- 2.1 Consider and comment on the business continuity work undertaken during the period.
- 2.2 Endorse the Business Continuity Strategy for 2018

3. Reason for Recommended Decision

- 3.1 The Risk Management Strategy, which forms part of the policy framework, identifies the Governance & Audit Committee as being responsible for reviewing the effectiveness of the risk management process and reporting critical items to cabinet as necessary. Business continuity is an integral part of the risk management process and it is appropriate that a detailed progress report is provided to this Committee.

4. Alternative Options

- 4.1 There are no alternative options to consider

5. Background Information

- 5.1 Whilst Business Continuity primarily relates to the delivery of the Council's own services, it sits alongside the Council's responsibilities for Emergency Planning, where the Council is required to assist the emergency services in dealing with events in the borough (such as flooding) as set out in the Civil Contingencies Act 2004. Under the act there are two duties relating specifically to business continuity:

1. To be able to carry on providing its own services in the event of a disruption
2. To provide advice and guidance relating to business continuity to local businesses and voluntary organisations.

- 5.2 The responsibility for ensuring that the Council has effective business continuity plans rests with the Chief Operating Officer and the function is delivered by the Corporate Governance Team. The role is to provide advice and guidance to services including the co-ordination of individual service plans as well as the overall Council plan. Issue specific plans, such as responding to a flu pandemic, are also required.
- 5.3 Business continuity issues are primarily reported to the 'First Call Officer' group, this consists of the senior management team and other key staff. The primary role of this group is to provide the strategic management of any emergency – either internal or external. The group meets every two months to review plans and consider emergency planning and business continuity issues.

6. Summary of Work Undertaken

- 6.1 Alongside the normal process of working with services to review and update plans, the following work has also been completed:
- 6.2 In conjunction with the Essex Resilience Forum, flu & mass death plans have been developed, working with services to determine requirements, and in respect of the mass death plan, the capacity of the cemetery and crematorium.
- 6.3 Senior officers participated in Exercise Cygnus, a national operation to test responses to a major flu pandemic, that was co-ordinated by the Department of Health.
- 6.4 The bomb threat and fire processes were reviewed, to incorporate national guidance.
- 6.5 Several officers were actively involved in a live multi agency operation to evacuate residents of Tendring and Colchester, following a warning of potential coastal flooding. The Environment Agency issued a flood warning for West Mersea and as a result CBC worked in conjunction with Essex Police and Essex Fire and Rescue to identify vulnerable residents, implement evacuation plans and set up rest centres.
- 6.6 The Council uses the Resilience Direct website to store Emergency Planning information. This allows remote access to plans in the event that the Council's IT systems are unavailable and also allows collaboration with other authorities in Essex. The Councils Business Continuity plans have now been added to the website, and the incident above was an opportunity to test ease of use during an emergency and enabled partners plans to be shared easily.

7.0 Business Continuity Strategy for 2018

- 7.1 The Business Continuity Strategy was agreed for the first time in 2009. A requirement within the strategy, and also of the regular internal audit assessment, is that it is reviewed annually to ensure that it is still appropriate to the Council's needs.
- 7.2 Therefore a review has been undertaken and the strategy has been updated for 2018. The revised strategy is attached at appendix A. It is considered that the strategy continues to meet the needs of the organisation and therefore there are no fundamental changes to the strategy or the business continuity process.

8. Equality, Diversity and Human Rights implications

- 8.1 There are no equality, diversity or Human Rights implications as a result of this report.

9. Strategic Plan References

- 9.1 The ability of the Council to carry on providing critical services, even when dealing with a major disruption, is fundamental to ensuring the achievement of the strategic plan objectives.

10. Risk Management Implications

- 10.1 The failure to adequately manage a business interruption may have an effect on the ability of the Council to achieve its objectives and operate effectively.

11. Other Standard References

- 11.1 There are no particular references to consultation or publicity considerations or financial; community safety or health and safety implications.

Appendices

Appendix A – Business Continuity Strategy for 2018



Business Continuity Strategy 2017/18

A framework for developing plans to minimise disruption, when unplanned events significantly interrupt normal business.

September 2017

Contents

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BUSINESS CONTINUITY STRATEGY – 2017/18

1.0 Introduction

Colchester Borough Council provides a wide range of services to the local community, many of which are statutory functions. Any failure, actual or perceived, to deliver the full range of services will have a negative impact on both the community and the authority. As such, all reasonable measures should be adopted to minimise the likelihood of business or service interruption.

The Civil Contingencies Act 2004 places a specific duty on local authorities to ensure that they have prepared, as far as reasonably practical, to continue to provide critical functions during any disruptive incident.

However the Civil Contingencies Act is just one of the key drivers for business continuity. External assessments, such as the benefits inspection and the Lexcel accreditation, require robust business continuity arrangements to provide assurance that quality services will continue to be provided at all times. But above all, business continuity is critical to the Council in its ability to survive an incident with as little disruption to services and reputation as possible.

This Business Continuity Strategy provides the framework for developing plans that will prevent or mitigate the severity of potential disruptions and enable the Council to effectively respond to incidents.

The plan will identify the mitigation measures, specific recovery objectives, the structure for implementation and the communication process to keep staff, partners and the public informed of necessary changes to service delivery.

2.0 Overview

The strategy adopted for development of the business continuity plans can be summarised as follows:

- The Corporate Incident Management Plan will form the basis of the Council's response. This is an operational document designed to assist the authority in the event of a disruption occurring. The plan sets priorities and communications to ensure an appropriate response to any disruption.
- The Corporate Incident Management Plan is the overall tool for the Council and event controllers. However this is supported by service specific business continuity plans which ensure that each service is able to respond appropriately to an incident whether it is a corporate or service specific interruption.
- Incident specific plans are also developed for corporate issues where the risk indicates sufficient likelihood of occurrence and the impact is seen to be severe, such as pandemics, power failures and technology failure.
- Business Impact Analyses (B.I.A.s) are undertaken to be able to develop the plans. B.I.A.s assess the key risks and key services at both corporate and service level, and their maximum tolerable period of disruption (MTPD), which will help to identify preventative measures that can be undertaken.

3.0 Aim and Objectives

The aim of the strategy is:

- To support the Council in anticipating risks for the purpose of mitigating them and having flexible plans in place, which are already tested, to minimise disruption when unplanned events significantly interrupt normal business.

The objectives are:

- To identify preventative measures that can be carried out to minimise the likelihood of an incident occurring.
- To ensure the Council can continue to exercise its functions in the event of an emergency, ensuring that statutory requirements are maintained.
- To integrate the Business Continuity requirements with the Emergency Planning responsibilities of the Authority to ensure that in the event of a major disruption the Authority can respond appropriately both internally and externally.
- To identify the essential services, in order to determine overall priorities for recovery of functions if disruption takes place.
- To ensure all Council service areas are involved in the preparation of the Plan, so that there is an effective and consistent response to service continuity.
- To provide a basis for cost benefit analysis to determine which contingency plans will be developed.
- To develop a process to review and update the overall Plan and develop service area, functional or specific plans where necessary, in order to protect the services and reputation of the Council.
- To undertake training and awareness programmes for staff, elected members, suppliers and partners.
- To carry out regular tests of the Plan to validate the arrangements.

4.0 The Business Continuity Process

Irrespective of an unusual or disruptive event, occurring internally or externally, the capabilities of the Council to provide its statutory and legal duties, services to the community and income generation must be maintained. This process aims to address the issues likely to arise, and to identify measures to mitigate them.

The Business Continuity process aims to address the issues likely to arise, and potential solutions, grouped in the following three areas:

- MITIGATION - Identify and select proactive measures to reduce likelihood of disruption
- CONTINUITY AND RECOVERY - Maintenance of essential services and set timescales for recovery, returning to normality
- INCIDENT RESPONSE STRUCTURE - Provide a mechanism for responding to an incident

Business Continuity is an on-going cyclical process of risk assessment, management and review with the purpose of ensuring that the business can continue if risks materialise.

The effective implementation of business continuity has 6 stages:

- Policy and Programme Management
- Embedding business continuity
- Analysis
- Design
- Implementation
- Validation

5.0 Responsibility for Business Continuity

To be effective Business Continuity should be fully endorsed and actively promoted by senior management and there should be a clearly defined responsibility for co-ordination of Business Continuity. However it does not belong to one person, or role, and every service has a responsibility for ensuring that they are capable of responding to an interruption.

There are three levels of responsibility for managing the business continuity process:

1. Co-ordinator
2. Corporate Response Team
3. Service Teams

There is a core role of co-ordinating the process and ensuring that services have access to information and assistance when building their own plans. The co-ordinator also has responsibility for ensuring that key partners are involved in the process.

In the event that there is a disruption there should be a defined corporate response team who will have overall control of the situation. The co-ordinator is responsible for maintaining details of this team ensuring that they are fully briefed on executing the plan and are informed of any potential issues that may arise.

There are also individual service action teams who are responsible for ensuring that their service has its own response plan and can manage the continuity and recovery for the functions within that service. The team is likely to consist of one person for the process of defining the response plans and day to day co-ordination of Business Continuity, but will call upon other senior managers if and when the plan needs to be put into practice.

Appendix 1 sets out the roles and responsibilities for Business Continuity at all levels.

6.0 Links

To be an effective management tool and to truly embed the process throughout the organisation the plan should recognise and be influenced by the Council's operational and strategic risk registers, this will lead automatically to the plan linking into the Internal Audit plan, the strategic plan and the budget process. The plan should also recognise the Community Risk Register, maintained by the Essex Resilience Forum, to ensure that external impacts are recognised and allowed for.

The Business Continuity process must also be closely linked to the Emergency Planning process. In any major scenario it is likely that other organisations in the Borough will be effected as well, and it is essential for the Council to be able to respond to their requirements as well as its own. Due to the nature of the response required from Emergency Planning it is likely that they will be the first service to receive external information regarding potential issues and it is imperative that there is a system for incorporating these issues in the Business Continuity process.

The Plan should also be aligned to the International standard for Business Continuity ISO 22301 – 2012 and the BCI 'Good Practice Guidelines 2018'.

7.0 Training

All members of the Corporate Response Team and the Service Teams need to be trained, and exercised, on an annual basis to ensure that they are fully aware of how to implement the plan. All staff should be informed of the process and further training should be available if required. Members should be trained to ensure that they know of the existence of the plan and also how they can assist, politically, in the continuity and recovery process.

8.0 Review Process

The Plan will be reviewed annually to ensure that it is still relevant to the Council's needs. However the individual plans for each service will be subject to review every six months to ensure that information on service functions and contact details are kept up to date. The high risks and priority services will also be re-assessed annually.

Appendix 1

ROLES & RESPONSIBILITIES FOR BUSINESS CONTINUITY

	Strategy And Plan	Defence	Continuity	Recovery
Members	Agreeing the strategy and plan determined by officers.	Endorsing the defence plans and ensuring that political decisions are taken with due regard for Business Continuity.	Political will to ensure that there is a united approach to continuity.	Political will to ensure that there is a united approach to recovery.
Corporate Governance Manager & Resilience Officer	Devising and co-ordinating the strategy and plan.	Ensuring that the defence actions are appropriately implemented, are regularly reviewed and that services have developed own plans.	Co-ordination of the Corporate Response Team and the Service Action Teams. Guidance on the plan and mitigating actions during the incident.	Co-ordination of the Service Action Teams. Guidance on the plan and reporting progress of recovery to senior management.
Senior Management Team	Approval and support of the strategy and plan. Completion of service plans.	Critical review and approval of the defence actions.	Support of the actions of the Corporate Response Team during the incident.	Support the actions of the Service Action Teams , endorse recovery priority for services.
Corporate Response Team (Senior Management Team acting in First Call Officer Capacity)	Overview of strategy and plan. Review of 'new issues'.	Critical review of the defence plans. Ensuring that the information contained within the plan is accurate. Annual testing of the plan.	Control the response to the incident until such time as the organisation enters the recovery stage. Ensuring that priority services are afforded the proper support. Ensuring information is available to members and staff. Keeping SMT informed.	Review the actions of the Service Action Teams. Facilitate full recovery and ensure that recovery follows the correct priority. Liaison with external agencies. Ensuring information is available. Keeping SMT informed
Service Action Teams	Input into the formulation of the strategy and plan.	Development of defence plans and implementation of control actions. Ensure that checklists of key info are compiled. Identification of service priorities.	Co-ordinate their service's response. Act as a liaison between Corporate Response Team and Service. Respond to Corporate Response teams requests during an incident.	Implement their own team recovery plan whilst maintaining the link with the Corporate Response Team. Briefing staff. Overseeing alternative accommodation.
Employees, contractors and partners	Knowledge of the strategy and plan, and awareness of impact on own job / service.	Knowledge of the defence plans and awareness of impact on own job / service	Assist with the incident where required. Know how to / who to contact in emergency.	Assist with recovery where required. Understand how they fit into the recovery of their service.

16 January 2018

Report of	Assistant Director of Policy and Corporate	Author	Jonathan Baker
Title	Work Programme 2017-18		 282207
Wards affected	Not applicable		

1. Executive Summary

- 1.1 This report sets out the current Work Programme 2017-2018 for the Governance and Audit Committee. This provides details of the reports that are scheduled for each meeting during the municipal year.

2. Recommended Decision

- 2.1 The Committee is asked to note the contents Committee's Work Programme for 2017-18.

3. Alternative Options

- 3.1 This function forms part of the Committee's Terms of Reference and, as such, no alternative options are presented.

4. Background Information

- 4.1 The Governance and Audit Committee deals with the approval of the Council's Statement of Accounts, audit, other miscellaneous regulatory matters and standards.
- 4.2 The Committee's work programme will evolve as the Municipal Year progresses and items of business are commenced and concluded. At each meeting the opportunity is taken for the work programme to be reviewed and, if necessary, amended according to current circumstances.

5. Standard References

- 5.1 There are no particular references to publicity or consultation considerations; or financial; equality, diversity and human rights; community safety; health and safety or risk management implications.

6. Strategic Plan References

- 6.1 Governance is integral to the delivery of the Strategic Plan's vision themes of a vibrant, prosperous, thriving and welcoming Borough.
- 6.2 The Council recognises that effective local government relies on establishing and maintaining the public's confidence, and that setting high standards of self governance provides a clear and demonstrable lead. Effective governance underpins the implementation and application of all aspects of the Council's work.

WORK PROGRAMME 2017-18

Meeting date / Agenda items
Governance and Audit Committee - 27 June 2017
Governance and Audit Committee briefing – 26 June 2017
<ol style="list-style-type: none"> 1. 2017/18 Audit and Certification Fees letter 2. Draft Annual Statement of Accounts 2016/17 3. Review of Meetings and Ways of Working 4. Year End Internal Audit Assurance Report 2016/17 5. Review of the Governance Framework and Draft Annual Governance Statement
Governance and Audit Committee - 25 July 2017
Governance and Audit Committee briefing – 20 July 2017
<ol style="list-style-type: none"> 1. Annual Statement of Accounts 2016/17 2. 2016/17 Year End Review of Risk Management 3. Colchester Borough Homes Annual Report and Governance Statement
Governance and Audit Committee - 19 September 2017
Governance and Audit Committee briefing – 18 September 2017
<ol style="list-style-type: none"> 1. Complaint in relation to Councillor Lilley 2. Local Government and Social Care Ombudsman Annual Review 2016/17 3. Publication of Annual Statement of Accounts 2016/17 4. Financial Monitoring Report – April to June 2017 5. Capital Expenditure Monitor 2017/18
Governance and Audit Committee - 17 October 2017
Governance and Audit Committee briefing – 10 October 2017
<ol style="list-style-type: none"> 1. Health and Safety Policy and Annual Report 2. Review of the Council's Ethical Governance Policies 3. Review of the Members' Code of Conduct and the Council's "Arrangements" 4. Gifts and Hospitality – Review of Guidance for Councillors and Policy for Officers 5. Review of Local Code of Corporate Governance 6. Income and Debt Policy 7. Equality and Safeguarding Annual Update 8. Member/Officer Protocol Review
Governance and Audit Committee - 28 November 2017
Governance and Audit Committee briefing – 21 November 2017
<ol style="list-style-type: none"> 1. Annual Audit Letter 2. Mid-Year Internal Audit Assurance Report 2017/18 3. Treasury Management – Half Yearly Update
Governance and Audit Committee - 16 January 2018
Governance and Audit Committee briefing – 11 January 2018
<ol style="list-style-type: none"> 1. Certification of Claims and Returns – Annual Report 2016/17 2. Review of Meetings and Ways of Working Update

- | |
|---|
| <ol style="list-style-type: none">3. Interim Review of the Annual Governance Statement Action Plan4. Risk Management Progress Report5. Annual Review of Business Continuity |
| Governance and Audit Committee - 6 March 2018 |
| Governance and Audit Committee briefing – 26 February 2018 |
| <ol style="list-style-type: none">1. Audit Plan 2017/182. 2017-18 Revenue Monitor, period April – December3. 2017-18 Capital Monitor, period April – December |

