

Audit Committee

29 March 2018



Report of: Acting Executive Director, Resources

Title: Bundred Report and Annual Governance Statement Tracker – February/March 2018

Ward: N/A

Officer Presenting Report: Denise Murray

Contact Telephone Number: 0117 92 22452

Recommendation

The Audit Committee note progress made to date against the Action Plan and consider any issues arising.

Summary

The 2016/17 Annual Governance Statement and Bundred review identified a number of issues that needed to be addressed to ensure continuous improvement in the governance framework, financial and budget management, and the process for managing the achievement of savings .

The improvements identified have been incorporated into a separate Annual Governance Statement Action Plan to be regularly monitored in 2017/18 and progress reported to the Audit Committee.



1. Purpose

- 1.1. To report on progress made to date against the Annual Governance Action Plan arising from the Bundred Review and the 2016/17 Annual Governance Statement.

2. Background

- 2.1 The members of the Audit Committee previously endorsed, in their meeting on 23rd June 2017, that the Committee should receive regular monitoring reports advising of progress against the Annual Governance Statement Action Plan. The last report was presented to Committee in January, and this report sets out the progress made since then.
- 2.2 The progress made to date against the implementation of the agreed actions arising from the Councils response to the Bundred review is summarised below and the high level narrative and detailed schedule is outlined in Appendix A.

Table 1 - Changes in the Implementation of Actions from the Bundred Review

Status	March 2018	January 2018
Green – Completed and Evidenced	58 (68%)	56 (66%)
Amber – In Progress with Evidence	27 (32%)	28 (33%)
Red – Not Started / Started but not Evidenced, date at risk	0 (0%)	1 (1%)
Total	85	85

- 2.3 Since the previous report to the Audit Committee in January 2018, the principal changes in the implementation of the Bundred review have been:

- **B18** – Decision Pathway -- Red to Green
- **B32** – Review of current officer working groups and terms of reference -- Amber to Green
- **B48** - Ensuring that performance objectives for all managers flow from our strategic objectives – Green to Amber
- **B71** – Peer review of the Internal Audit function – Amber to Green

- 2.4 For those actions that are deemed to have remained amber, a number of which are ongoing, the narrative sets out the progress made since the previous report.

- 2.5 The progress made to date against implementation of the actions required from the Annual Governance Statement for 2016/17 is summarised below and the high level narrative and detailed schedule is outlined in Appendix B:

Table 2 - Changes in the Implementation of Actions from the Annual Governance Statement

Status	March 2018	January 2018
Green – Completed and Evidenced	5 (23%)	4 (18%)
Amber – In Progress with Evidence	17 (77%)	18 (82%)
Red – Not Started / Started but not Evidenced, date at risk	0 (0%)	0 (0%)
Total	22	22

2.6 Since the previous report to the Audit Committee in January 2018, the principal change in the implementation of the Annual Governance Statement has been:

- **AGS 6.3** – Improve the timing and advanced planning for procurement and subsequent post award Contract Management -- Amber to Green

3. Proposal

3.1. The Audit Committee considers the progress made to date against the Action Plan and consider any issues arising and raising challenge where appropriate.

4. Other Options Considered – N/A

5. Risk Assessment

5.1. The publication of an Annual Governance Statement is a legal requirement and the processes of implementation, monitoring and reporting of improvement actions arising therefore constitute an important element of the Council's governance arrangements. The actions identified within the response to the Bundred report and the Annual Governance Statement constitutes important measures whereby the Council's overall management of organisational risk can be enhanced.

6. Public Sector Equality Duties

6.1. Before making a decision, section 149 Equality Act 2010 requires that each decision-maker considers the need to promote equality for persons with the following "protected characteristics": age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation. Each decision-maker must, therefore, have due regard to the need to:

- i) Eliminate discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act 2010.
- ii) Advance equality of opportunity between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to --
 - remove or minimise disadvantage suffered by persons who share a relevant protected characteristic;
 - take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of people who do not share it (in relation to disabled people, this includes, in particular, steps to take account of disabled persons' disabilities);
 - encourage persons who share a protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

iii) Foster good relations between persons who share a relevant protected characteristic

and those who do not share it. This involves having due regard, in particular, to the need to –

- tackle prejudice; and
- promote understanding.

6.2 No Equality Impact anticipated from this report.

7. Legal and Resource Implications

Legal – N/A

Financial – N/A

Land – N/A

Personnel – N/A

8. Appendices:

- Appendix A – Bundred Review Actions
- Appendix B – Annual Governance Actions

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

9. Background Papers:

None.

Appendix A – Bundred Review Actions

Bundred Actions by Recommendation		Total Actions	All			% Complete
		Green	Amber	Red		
1	1 - For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight	14	14	0	0	100%
2	2 - Wherever possible, the Council should ensure that responsibility for the delivery of specific savings initiatives is allocated to Directorates so that ownership of savings programmes and accountability for them is clear	1	1	0	0	100%
3	3 - The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved	7	7	0	0	100%
4	4 - The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice	13	11	2	0	85%
5,6	5 - Members should be less tolerant of poor quality reports than they appear to have been in the past					
	6 - Where they do not already exist, arrangements should be made for report authors to receive feedback from Member or senior officer discussion of their reports as a matter of routine	2	0	2	0	0%
7	7 - Relevant officers should be reminded of their responsibilities to keep backbench and Opposition Members properly informed	6	5	1	0	83%
8	8 - The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings	17	9	8	0	53%
9	9 - The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Relevant outstanding recommendations of the review commissioned in December 2015 should be actioned as a matter of urgency	11	6	5	0	55%
10	10 - The previous recommendation that the Council should "Develop a Competency Framework and agree the way forward re Assessment and Development centres" in relation to its Finance staff is overdue and should be given priority	4	0	4	0	0%
11	11 - This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure	5	0	5	0	0%
12	12 - The more timely reporting of budget monitoring information that has now been introduced should continue into the future. If the Council opts to return to quarterly budget monitoring and the first quarter report cannot be considered in July, there should be routine reporting in June or July of the position as at the end of May	5	5	0	0	100%
		85	58	27	0	68%

Bundred Review Document Reference							
No.	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service)	Revised Date (if applicable)	R/A/G	Comments on RAG - February 2018
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B1	A new process has been designed and implemented that issues all budget Managers with 'Directorate Cash Limits'	Denise Murray	Ongoing	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B2	Each savings proposal has been allocated a named Strategic and Service Director lead as accountable officers	Denise Murray	Mar-17	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B3	A new governance and delivery assurance framework provides a robust framework for tracking and monitoring delivery, and provides early sight of any issues that may arise allowing for early intervention and mitigations - this new governance will be kept under review and adapted to ensure maximum effectiveness	Denise Murray	n/a	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B4	All savings proposals now undergo a formal sign off procedure to ensure that appropriate accountability is clearly and transparently defined and responsibilities are clearly delegated to the appropriate Strategic or Service Director for delivery and tracking	Denise Murray	Mar-17	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B5	Alignment and combination of the monthly mechanisms for managers and Service/Strategic directors to submit a holistic view of savings delivery from a financial and action focussed perspective	Denise Murray	Mar-17	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B6	Member oversight as an element to the governance process that now includes a Delivery Executive	Denise Murray	Mar-17	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B7	An OSMB led review of the Council's arrangements for Scrutiny	Shahzia Daya	May-18	G	Activity complete - no update required

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No.	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service)	Revised Date (if applicable)	R/A/G	Comments on RAG - February 2018
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B8	Updated position in respect of the delivery of savings will be routinely reported as part of the budget monitoring report	Denise Murray	Jun-17	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B9	A one-off investment fund has been allocated to support savings related change activity across the council	Denise Murray	Feb-17	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B10	Further consultation is expected to be required in respect of some areas of savings proposals and will commence when the General Elections have concluded	Shahzia Daya	Underway & reviewed by PGL 6 monthly	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B11	Where there is a risk to the delivery of savings, mitigation plans will be developed immediately in conjunction with the relevant Portfolio Holder	Denise Murray	Oct'17 - in terms of next steps identified. Other 'evidence based' items already in place	G	Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B12	Directorates will be challenged to explore alternative options for meeting the cost pressures faced within their existing resources or seek supplementary estimate to increase the directorate spending limit	Denise Murray	Ongoing	G	Please see comments above. Activity complete - no update required
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B13	The first budget monitoring report will be reported to Cabinet in June 2017	Denise Murray	Ongoing	G	Activity complete - no update required

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No.	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service)	Revised Date (if applicable)	R/A/G	Comments on RAG - February 2018
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B14	Between March 2017 and June 2017, when there is no Cabinet a draft budget monitoring report will be made available to Members as per normal procedure	Denise Murray	Jun-17	G	Activity complete - no update required
2	2. Wherever possible, the Council should ensure that responsibility for the delivery of specific savings initiatives is allocated to Directorates so that ownership of savings programmes and accountability for them is clear (paragraph 66).	B15	Cross cutting projects allocated to specific Strategic and Service directors, who will design and ensure delivery of the saving	Denise Murray	Mar-17	G	Complete - see the comments in B2
3	3. The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved (paragraph 65).	B16	A new business case template has been implemented which covers all development gateway stages and adopts the principles of the HM Treasury Green Book best practice methodology	Denise Murray	Mar-17	G	Activity complete - no update required
3	3. The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved (paragraph 65).	B17	Ensure that the protocols regarding the independent assurance of reports is refreshed and strengthened to make sure that all of the relevant professionals e.g. legal, HR, finance, ICT, Property services are given ample time to comment on reports	Denise Murray	May-17	G	Activity complete - no update required
3	3. The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved (paragraph 65).	B18	Review of the decision pathway, associated protocols and process map to ensure consistent implementation	Shahzia Daya	Feb-18	G	New Decision Pathway launched: http://intranet.bcc.lan/cm/navigation/policy-and-procedures/decision-making/
3	3. The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved (paragraph 65).	B19	Business Case training for managers when required along with support from a Change Business Partner	Denise Murray	Nov'18	G	Activity complete - no update required

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3	3. The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved (paragraph 65).	B20	All officers have access to the new business case template through the source which provides a step by step guide to developing a robust business case at all stages in the project lifecycle	John Walsh	Apr-17	G	Template in place as of Mar'17 please see B16 above
3	3. The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved (paragraph 65).	B21	The Change Business Partners will work alongside service leads and signpost them to the guidance available on The Source as required	John Walsh	Apr-17	G	Activity complete - no update required
3	3. The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved (paragraph 65).	B22	The officer responsible for delivering the agreed business case, will be responsible for tracking the assumptions underpinning the business case and, where there is a material change are expected to report this to SLT and their portfolio holder(s) in a timely manner, particularly with respect to benefits realisation	CLB - for each of its Directors	Mar-17	G	Activity complete - no update required
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B23	All reports must include all of the feasible options available to be implemented and be supported by a robust evidence base or business case	CLB - for each of its Directors	Mar-17	G	Activity complete - no update required
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B24	SLT have reinforced the need for reports rather than presentations to be used as the basis of discussions and decisions at all meetings.	CLB	Mar-17	G	Activity complete - no update required
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice	B25	In future each report should have sufficient detail to 'stand- alone', key messages and recommendations must be clear and succinct, supported by appropriate evidence and relevant professional advice; and where necessary, reports must enable councillors to refer easily to relevant policies and previous decisions and discussions	CLB	Mar-17	G	Activity complete - no update required

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4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice	B26	Each report / business case requires Director & Portfolio holder sign off	CLB	Mar-17	G	Activity complete - no update required
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B27	Officers are currently developing a new development programme for the Bristol Manager framework that will assist managers with the key competency requirements	John Walsh	Mar-18	G	<p>Work to date includes: Change services have provided coaching support for individuals. Improved templates and online guidance Leadership development programme (Bristol Leads) for team managers and team leaders that will include core business skills Planning for leadership development programme for third tier managers that will include core business skills. This won't come onstream until after any restructure of this group which would inform the development programme.</p> <p>In the meantime L&D and Change Service colleagues are planning informal learning events where colleagues can look at good and bad examples and help develop guidance for others; share their own advice; hear from Board members what makes a good report</p> <p>Activity complete - no update required</p>
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice	B28	In addition to formal arrangements for reporting and challenging budget performance, such as Cabinet and Scrutiny, the Council will also develop more informal, but nevertheless robust arrangements for Member briefings on key issues or ward matters	Shahzia Daya, and CLB	Ongoing	G	Activity complete - no update required
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B29	Strategic and Service Directors ensure that sufficient time is provided to enable reports to be fully considered and signed off by all the relevant professionals (Legal, Finance, HR etc.) and in accordance with the protocol prior to submission for inclusion on agendas	CLB	Ongoing	A	The frequency of incomplete papers and late submission for sign-off's have increased. The new pathway has been introduced with clarity on the necessity for early engagement and this will be monitored for effectiveness during quarter 1

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4	The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B30	SLT and Service Directors will ensure that the minute taking of meetings and working groups is improved ensuring that a summary of the report and discussion is included along with clear agreements/recommendations and timescales	Shahzia Daya	Oct-17	G Activity complete - no update required
4	The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B31	New protocols will be issued to emphasise the need to comply with internal storage of documents to facilitate audit trails and transparency	Shahzia Daya	Jun-17	A The document retention schedule to be reviewed and refreshed as appropriate. This was covered in part by the information security training that has taken place across the organisation. The New Retention schedule will go to the Information Assurance Group before publication. It will then be reviewed every 12 months Modern.Gov records are available for up to five years currently, the documentation retention policy is six years and the retention policy for our public and modern record is being reviewed with our ICT and Data Protection leads.
4	The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B32	As part of the development of the revised working arrangements for the Council, the necessity for all of the current officer working groups will be reviewed, terms of reference will be refreshed / or developed	CLB	Feb-18	G Please see B18 above for response
4	The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B33	Review of levels of delegation of working groups and Boards, linking back to the constitution, decision pathway and budget and policy framework	Shahzia Daya	Nov-17	G A review of the Scheme of Delegations in the light of the new Senior Management Structure is underway

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4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B34	The schemes of internal officer delegations will also be reviewed at least annually	Shahzia Daya	Oct-17	G	A review of the Scheme of Delegations in the light of the new Senior Management Structure is underway
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B35	A learning and development programme will be created that will help support colleagues across the council to have the right skills and tools to enable them to do their job to a high standard	John Walsh	Mar-18	G	As per B27 above. Longer term plans for leadership development programme for third tier managers. In the meantime online support, coaching and informal learning opportunities are in place.
5,6	5. Members should be less tolerant of poor quality reports than they appear to have been in the past (paragraph 120). 6. Where they do not already exist, arrangements should be made for report authors to receive feedback from Member or senior officer discussion of their reports as a matter of routine (paragraph 113).	B36	Members will be supported through the Member Development programme to recognise & challenge when a report is of poor quality	Shahzia Daya	Ongoing	A	Officers, supported by the LGA, are drafting a programme for Members to develop a programme of essential and desirable skills for all members which is to include support in how to constructively challenge. The member development programme will continue to be supported by the LGA and once endorsed will be rolled out in accordance with an agreed implementation plan. Launch date to be agreed 1/2/18
5,6	5. Members should be less tolerant of poor quality reports than they appear to have been in the past (paragraph 120). 6. Where they do not already exist, arrangements should be made for report authors to receive feedback from Member or senior officer discussion of their reports as a matter of routine (paragraph 113).	B37	All Strategic and Service Directors will provide the appropriate support and guidance to ensure that the quality of reports improve	CLB	Ongoing	A	Lunch time clinics are to be offered to all officer report writers as part of the roll out of the new leadership boards and decision pathway in February 2018.
7	7. Relevant officers should be reminded of their responsibilities to keep backbench and Opposition Members properly informed (paragraph 125).	B38	Strategic and Service Directors will make arrangements to brief Members on major issues e.g. MTFP, corporate strategy, savings proposals and policy changes concerning the Council and, more specifically, about issues and events affecting the Ward areas as appropriate	Shahzia Daya	Mar-17	G	See B40 below

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7	7. Relevant officers should be reminded of their responsibilities to keep backbench and Opposition Members properly informed (paragraph 125).	B39	Portfolio holders will also facilitate briefings with backbenchers and opposition members to ensure Councillors are fully briefed on key policy decisions as they evolve	Shahzia Daya	Oct-17	G	Activity complete - no update required
7	7. Relevant officers should be reminded of their responsibilities to keep backbench and Opposition Members properly informed (paragraph 125).	B40	The development of a Protocol On Councillor/Officer Engagement	Shahzia Daya	Jun-17	G	Activity complete - no update required
7	7. Relevant officers should be reminded of their responsibilities to keep backbench and Opposition Members properly informed (paragraph 125).	B41	Strategic Directors will provide the appropriate support and guidance to ensure these protocols are embedded throughout their Directorates	Shahzia Daya, and CLB	Ongoing	A	Following adoption by full Council of the revised codes and protocols training will be provided through management brief for cascading and placed on the source. Target date May 2018
7	7. Relevant officers should be reminded of their responsibilities to keep backbench and Opposition Members properly informed (paragraph 125).	B42	Officers will continue to reflect upon the feedback from OSMB and other Members to further enhance the approach adopted to engaging with all Members on the 2017/18 budget issues in the development of key strategic documents	Denise Murray	Ongoing	G	Activity complete - no update required
7	7. Relevant officers should be reminded of their responsibilities to keep backbench and Opposition Members properly informed (paragraph 125).	B43	In developing the Medium Term Financial Plan we will provide comprehensive information on the challenges and options we face and stage a series of early engagement meetings with political groups and scrutiny to listen to the views and seek input into the process	Denise Murray	May to July 2017	G	Complete - as per the above

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8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B44	Development of a programme to address the weaknesses identified in this report and issues raised in the staff survey	John Walsh	Oct-17	G A plan of leadership development and improving organisational culture was signed off by SLT on 28 November and the Mayor on 13 December. The corporate induction has launched and received positive feedback, during February the roll-out of the organisational values for all colleagues will commence, followed by the launch of a leadership development programme for 4/5 tier managers in March. This incorporates the feedback of the staff survey, Bundred recommendations and uses the funding allocated by the Mayor for the 17/18 and 18/19 budget. Leadership Development programme sits within the emerging workforce plan. A series of learning and development programmes are being designed, this includes management development support at all levels; creative problem solving; tools and techniques for having better conversations; core business skills inc report writing. In addition career coaching is being offered to those managers who are at risk in the senior management restructure, and for those who are appointed to new roles in the structure will be required to undertake a development centre against the new leadership framework - following which an individual and group development plan will be prepared. Support for the new transitional leadership team is currently being planned

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8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B46	Clarify and focus on strategic priorities with measurable success factors	Tim Borrett	Apr-18	A In flight - Corporate Strategy approved by Cabinet on 23 January and is set for Full Council on 20 February. Business Planning for 2018/19 has been launched with 23 February deadline for services. These will inform our performance framework and will link us from Corporate Strategy priorities through to individual objectives set throughout April - June by line managers undertaking My Performance reviews. RAG reflects that whilst this is all underway and on-track, the work is not finalised and fully approved.

Bundred Review Document Reference						
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8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B47	Develop and pilot a programme to ensure a single culture in BCC	John Walsh	Ongoing	G Draft Organisational values have been through the decision pathway and are part of the Corporate Strategy due for debate at Full Council in Feb. An organisation wide roll-out will commence in January, which will be for all colleagues in the organisation to take part. This will be an opportunity for everyone to connect with the organisation vision and priorities in the Corporate Strategy and the values and behaviours which underpin it. The emerging performance framework will be based on these organisational values and behaviours as part of a wider leadership framework. These will underpin the wider organisational culture work programme (B34) and the emerging corporate narrative (based on the Corporate Plan).
8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an C(paragraph 129).	B48	Ensuring that performance objectives for all managers flow from our strategic objectives but equally are a demonstration of commitment to values and behaviours	John Walsh	Apr-18	A A dedicated workstream under the Workforce plan is looking at our performance management framework which will link to the business planning process. It aims to review the council's approach to performance management to drive a high performance culture where people feel valued. The key activities include survey BCC employees and holding focus groups, research private/ public sector approach to PM, Systems and Culture, explore statutory obligation for PM. The work will be linked with the emerging organisational values and leadership framework which sets out our expectations of our colleagues and will introduce a 360 feedback framework. Resources DLT considered an options report in December which approved the extension of the current My Performance system for one year whilst the new framework is developed and the new HR and Payroll system is procured.

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8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B50	The Chief Executive to visit a range of workplaces to listen and talk with colleagues, providing an opportunity for them to share work priorities and challenges	CLB	Completed	G	Activity complete - no update required
8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B51	Creation of space for working collaboratively and transparently on cross-cutting issues	Bill Edrich	Sep-17	G	Activity complete - no update required
8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B52	Develop a single shared view amongst colleagues of our strategic priorities and our progress against them	Tim Borrett	Apr-18	A	See B46 above. Strategic priorities set out in Corporate Strategy following extensive colleague engagement. This will be rolled out extensively alongside leadership development and values/culture work, and individual objectives linked to the CS priorities will be set in April-June.

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8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B54	A learning and development programme will be created for The Bristol Manager	John Walsh	Oct-17	G
8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B55	Actively seek opportunities to recognise and celebrate success	John Walsh and CLB	Ongoing	A Recognition of success and our learning is an integral part of the communication strategy that supports the organisational culture work programme. Its important that colleagues can see the values reflected in their own and peers' work. Good news and shared learning is shared with colleagues on Source. A proposal on a more formal recognition of success can be expected
8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B56	A fund to be allocated to support the work on culture development and invest in colleagues learning and development	John Walsh	Ongoing	G Activity complete - no update required

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8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B58	Participation in the Housing Delivery and HRA Peer Challenge	Alison Comley	TBC	A	
8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B59	Participation in the Children's Social Care Peer Challenge	Jacqui Jensen	TBC	A	There has been a Joint Targeted Area Inspection around neglect which has provided a slice through the Childrens system and we have participated in a LGA SEND peer review. We have received the Ofsted formal 'Annual Conversation', the statutory element of the Inspection Framework and are actively preparing for an Inspection of Local Authority Childrens Services (ILACS). The LGA have funded a deep dive into our Early Help services which will support the Overview and Scrutiny task and finish work. The LGA have also funded an ongoing review of Childrens data and performance, and an independent financial review which informed the savings schedule for the next 5 years and the whole system transformation programme 'Strengthening Families'. The programme board will continue to operate in an open and transparent way with accurate minutes and actions and is chaired by an LGA independent advisor, which the LGA have funded for the duration of the programme.

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9	9. The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Response: Finance functions are being restructured to implement a more robust business partnering delivery model. This will enable finance to be at the heart of the organisation and influence business decision. The finance	B61	Finance functions are being restructured to implement a more robust business partnering delivery model	Chris Holme	Ongoing	G Activity complete - no update required
9	9. The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Response: Finance functions are being restructured to implement a more robust business partnering delivery model. This will enable finance to be at the heart of the organisation and influence business decision. The finance function will improve the efficiency of transactional processes Relevant outstanding recommendations of the review commissioned in December 2015 should be actioned	B62	The finance function will improve the efficiency of transactional processes which will bring insight, intelligence and support complex propositions	Chris Holme	Ongoing	G Activity complete - no update required

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9	9. The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Response: Finance functions are being restructured to implement a more robust business partnering delivery model. This will enable finance to be at the heart of the organisation and influence business decision. The finance function will improve the efficiency of transactional processes Relevant outstanding recommendations of the review commissioned in December 2015 should be actioned as a matter of urgency (paragraph 130).	B64	Monitoring and proactively managing non-compliance	Chris Holme	Ongoing	A	We have reports to show where Budget managers are and are not completing spend forecasts and initial (rather than retrospective) purchase order compliance. A review of debt management is underway that will require an element of cultural change within the organisation Substantial progress has been made in ensuring compliance with budgetary control and other key financial processes, but there is still much to be done in terms of self serve. We have reports to show where Budget managers are and are not completing spend forecasts and purchase order compliance, but a formal process still needs to be implemented via DLTs and SLT to ensure measurable improvements in compliance rates.
9	9. The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Response: Finance functions are being restructured to implement a more robust business partnering delivery model. This will enable finance to be at the heart of the organisation and influence business decision. The finance function will improve the efficiency of transactional processes Relevant outstanding recommendations of the review commissioned in December 2015 should be actioned as a matter of urgency (paragraph 130).	B65	Transformation of the Finance function. It will be necessary to take an end-to-end approach and combine top down and bottom up initiatives	Chris Holme	Ongoing	A	A Procurement Card review is ongoing with a view to Finance Transformation Programme is in flight and progressing. There are a number of project and ongoing workstreams that will deliver continuous improvement and efficiencies

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9	9. The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Response: Finance functions are being restructured to implement a more robust business partnering delivery model. This will enable finance to be at the heart of the organisation and influence business decision. The finance function will improve the efficiency of transactional processes Relevant outstanding recommendations of the review commissioned in December 2015 should be actioned	B67	Continued implementation of the Improvement Plan which will be updated to take into account the recommendations of the Bundred Report	Chris Holme	Ongoing	A Financial Regs and Procurement Rule refresh will be presented with update of Constitution. Capital Strategy to be developed in line with updated Prudential Code and Period 4 monitoring report to include review of capital programme and updated programme implications of digital strategy
9	9. The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Response: Finance functions are being restructured to implement a more robust business partnering delivery model. This will enable finance to be at the heart of the organisation and influence business decision. The finance function will improve the efficiency of transactional processes Relevant outstanding recommendations of the review commissioned in December 2015 should be actioned	B68	DUPLICATION of above B66 - A more robust approach to providing assurance through the Annual Governance Statement	Chris Holme	Oct-17	G Item duplicated with B66 above
9	9. The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Response: Finance functions are being restructured to implement a more robust business partnering delivery model. This will enable finance to be at the heart of the organisation and influence business decision. The finance function will improve the efficiency of transactional processes Relevant outstanding recommendations of the review commissioned in December 2015 should be actioned	B69	The Resources Directorate are piloting a new delivery model in accordance with the approved policy framework to test internal shared service arrangements in the first instance, which also responds to the advice from the external review of finance	Chris Holme	Ongoing	A Finance Transformation Programme is in flight and progressing. The final model will reflect the agreed operating model for the Council and wider business needs of services. This is now scheduled for completion by June 18. Outline draft structure progressed and planned for consultation during April

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9	9. The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Response: Finance functions are being restructured to implement a more robust business partnering delivery model. This will enable finance to be at the heart of the organisation and influence business decision. The finance function will improve the efficiency of transactional processes Relevant outstanding recommendations of the review commissioned in December 2015 should be actioned	B71	Peer review of the Internal Audit function has been commissioned which will also embed Key Audit deliverables in Service BAU	Chris Holme	Mar-18	G	Draft Peer Review report received mid January 2018. Meeting at Sheffield Council Feb 1st to discuss the draft. Outcome will be reported to Audit Committee March 2018.
10	10. The previous recommendation that the Council should "Develop a Competency Framework and agree the way forward re Assessment and Development centres" in relation to its Finance staff is overdue and should be given priority (paragraph 134).	B72	Appointment of a permanent structure based on CIPFA principles	Chris Holme	Apr-18	A	on schedule as per B69 above
		B73	Utilise an assessment centre based on those which have been developed and used in other authorities	Chris Holme	TBC	A	on schedule as per B69 above
		B74	The finance function needs to create the conditions that enable it to be agile, adaptable, and accountable and to learn from success as well as failure so that responding quickly to change is second nature, constantly striving for the best possible services and outcomes	Chris Holme	Apr-18	A	on schedule as per B69 above
		B75	A transitional structure will be implemented	Chris Holme	Ongoing	A	Transitional structure was implemented

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11	11. This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure (paragraph 134).	B76	Business Partners and the new internal shared service will lead the Business Support function, ensuring the smooth, seamless coordination and execution of the finance service provider function, including project delivery	Chris Holme	Apr-18	A The function is moving towards a model which facilitates a more agile, skills based matrix approach. Fully embedding the line management principles identified will however require the implementation of the new permanent structure. This will be one aspect of B80 L&D on which activity has commenced.
11	11. This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure (paragraph 134).	B77	Interim and final Finance structures will incorporate a mentoring and larger trainee scheme to enable BCC to "grow its own"	Chris Holme	Ongoing	A
11	11. This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure (paragraph 134).	B78	Appointment of Business Partner roles on a skills based assessment	Chris Holme	Apr-18	A Restructure of finance due to go out to consultation in the coming weeks and skills based assessments will form part of the recruitment process for senior roles.
11	11. This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure (paragraph 134).	B79	A competency framework will be implemented which outline the set of competencies needed to perform each of the roles effectively and career progression pathway	Chris Holme	Apr-18	A A restructure is planned for the function with tiers which are conducive to career progression. Support will be commissioned from internal L&D and CIPFA to develop a competency framework that aligns to the revised role profiles.
11	11. This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure (paragraph 134).	B80	The organisation is in the process of building the learning & development programme	Chris Holme	Apr-18	A Work has commenced with the initial focus on workforce resourcing: ensuring that we have the right level of resource with the right skills, and a planned pipeline for the future. Additional interim resource has been recruited to provide capacity and complement / enhance existing skills and work has commenced on introduction of a revised L&D programme which will provide supported Professional training and provide clarity on the expectation from our employees in return. A pipeline of trainee's / apprentices is also being considered.
12	12. The more timely reporting of budget monitoring information that has now been introduced should continue into the future. If the Council opts to return to quarterly budget monitoring and the first quarter report cannot be considered in July, there should be routine reporting in June or July of the position as at the end of May (paragraph 118).	B81	Members and scrutiny receive regular, detailed budget reports that provide information on progress, variance against plans and corrective action already underway or planned	Chris Holme	Ongoing	G Activity complete - no update required

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12	12. The more timely reporting of budget monitoring information that has now been introduced should continue into the future. If the Council opts to return to quarterly budget monitoring and the first quarter report cannot be considered in July, there should be routine reporting in June or July of the position as at the end of May (paragraph 118).	B82	Clear links between the Council's capital programme and its service and revenue budget planning processes, both of which take account of the MTFP	Chris Holme	Oct-17	G	Activity complete - no update required
12	12. The more timely reporting of budget monitoring information that has now been introduced should continue into the future. If the Council opts to return to quarterly budget monitoring and the first quarter report cannot be considered in July, there should be routine reporting in June or July of the position as at the end of May (paragraph 118).	B83	Finalise the guidance for the new monthly monitoring process and embed these processes for 2017/2018	Chris Holme	Mar-17	G	Activity complete - no update required
12	12. The more timely reporting of budget monitoring information that has now been introduced should continue into the future. If the Council opts to return to quarterly budget monitoring and the first quarter report cannot be considered in July, there should be routine reporting in June or July of the position as at the end of May (paragraph 118).	B84	Publish the 2017/2018 budget monitoring timetable that reflects the 6 weekly cabinet cycle	Chris Holme	Apr-17	G	Activity complete - no update required
12	12. The more timely reporting of budget monitoring information that has now been introduced should continue into the future. If the Council opts to return to quarterly budget monitoring and the first quarter report cannot be considered in July, there should be routine reporting in June or July of the position as at the end of May (paragraph 118).	B85	Capital reporting to be automated and reflect multiple year programme direct from the Finance System	Chris Holme	May-17	G	Activity complete - no update required

Appendix B – Annual Governance Statement Actions

Annual Governance Statement Actions by Recommendation		Total Actions	All			% Complete
		Green	Amber	Red		
2	Internal Audit introduce more rigorous tracking of Internal Audit recommendations, incorporating more regular provision of Monitoring Information to Strategic and Service Directors.	1	1	0	0	100%
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	3	1	2	0	33%
4	Performance objectives to be linked to the Council's overarching principles and priorities outlined in the TOM.	2	0	2	0	0%
5	Capital governance to be reviewed and project management / profiling and monitoring strengthened to ensure the Council achieves its investment aspiration and does not unnecessarily lock revenue	1	0	1	0	0%
6	Improve the timing and advanced planning for procurement and subsequent post award Contract Management	3	1	2	0	33%
7	The number of decision documents and processes need to be simplified bringing together the Mayor and Cabinet's decision making and internal working groups	3	1	2	0	33%
8	Partnership Agreements be reviewed and to provide guidelines on best practice, value for money and minimising the risk to which the Council is exposed.	2	0	2	0	0%
9	An information security risk assessment has been completed to identify risks, lessons learnt and Action Plan developed. This will inform the Internal Audit plan for 2017/18	1	0	1	0	0%
10	Risk Management processes need further embedding to provide forward looking views of risk which anticipate risk rather than retrospective reporting of how already known risks are managed	2	0	2	0	0%
11	The Member Development Programme be reviewed and approved.	1	0	1	0	0%
12	The Protocol for Member /Officer Relations be updated and approved.	1	0	1	0	0%
13	The Audit Committee should formally review its effectiveness annually in year and prioritise any improvements for the subsequent reporting period.	1	0	1	0	0%
14	Audit report relating to the control and treatment of Council assets identifying lessons learnt from assets disposal be concluded.	1	1	0	0	100%
		22	5	17	0	23%

Ref	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date	R/A/G	Comments on RAG - February 2018
1	The responses to the Bundred report agreed at Cabinet will be regularly monitored in 2017/18 in line with the AGS action plan.	AGS 1.1	See Actions 1-12 above	CLB		N/A	See supplementary schedule
2	Internal Audit introduce more rigorous tracking of Internal Audit recommendations, incorporating more regular provision of Monitoring Information to Strategic and Service Directors.	AGS 2.1	More rigorous monitoring of the implementation of Internal Audit recommendations is scheduled for 2017/18 accompanied by the enhancing of communication and escalation to Strategic Directors and Service Directors, who will then be held to account for their performance by the Chief Executive and Members.	Denise Murray	n/a	G	Actions as previously set out in January 2018 remain relevant.
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	AGS 3.1	Developing a wider strategic approach to delivering the Mayor's vision and strategic priorities including : 20-50yr City wide plan, the Economic Growth Strategy, Refreshed Corporate Strategy, Target Operating Model (TOM), Medium Term Financial Plan (MTFP), Business plans, Performance management framework, Workforce plan, the employee offer, experience and development, Transformation plans, Communication and employee engagement plan and Values and behaviours framework	CLB	Ongoing	A	The overarching action outlines the golden thread from vision to individual performance which is invariably the TOM (see below). The Economic Strategy is one of the key documents in the strategic framework that provides the golden thread from the Mayor's vision to baseline individual delivery. Resources have been commissioned to support its development and early scoping work has ensued. This is a significant piece of work and remains on track for delivery within this financial year.
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	AGS 3.2	Target Operating Model components to be finalised and approved.	Denise Murray	Apr-18	A	Development work complete and shared with the Mayor (as per Bundred B45). The Tom is being delivered by the following component parts: Corporate Strategy, Business Plans, MTFP, Workforce Plan etc. This item can be closed once Corporate Strategy and Workforce Plan are approved alongside the Leadership Framework and completion of the senior management restructure.
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	AGS 3.3	Medium Term Financial Plan to be finalised and approved.	Denise Murray	n/a	G	Activity complete - no update required

Ref	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date	R/A/G	Comments on RAG - February 2018
4	Performance objectives to be linked to the Council's overarching principles and priorities outlined in the TOM.	AGS 4.1	Our employees are supported by a comprehensive individual performance management process, with objectives that link to the Council's overarching principles and priorities outlined in the TOM. (see 3 above)	CLB	Jun-18	A	A change of strategic direction means a single organisational TOM is not being produced but our principles and priorities are outlined in our draft Corporate Strategy, approved by Cabinet on 23 January and set for Full Council adoption on 20 February. Between January and April 2018 these high level priorities and measures will inform Business Planning with managers against the Corporate Strategy themes, which will include more detailed performance measures. These will go on to inform team-level plans and individual objectives, which managers should be in a position to set between April – June 2018.
4	Performance objectives to be linked to the Council's overarching principles and priorities outlined in the TOM.	AGS 4.2	Where the management of employee performance management is not as per the Council's target completion rates, remedial action plans be implemented.	Denise Murray	Ongoing	A	A dedicated work stream under emerging Workforce plan is looking at our performance management framework which will link to the business planning process. The work will be linked with the emerging organisational values and leadership framework which sets out our expectations of our colleagues and will introduce a 360 feedback framework. Resources DLT considered an options report in December which approved the extension of the current My Performance system for one year whilst the new framework is developed and the new HR and Payroll system is procured, work group will consider our future approach to performance management including moving away from traditional scoring system. A re-launch of current system and reminders to complete reporting will be launched in 18/19 to improve reporting rates (1/2/18)
5	Capital governance to be reviewed and project management / profiling and monitoring strengthened to ensure the Council achieves its investment aspiration and does not unnecessarily lock revenue	AGS 5.1	Capital governance to be reviewed and project management / profiling and monitoring strengthened to ensure the Council achieves its investment aspiration and does not unnecessarily lock revenue	Denise Murray	Ongoing	A	Terms of reference are being prepared for a new approach which merges the Property and Capital Boards into a single Investment Working Group with a governance approach which will reflect that adopted for revenue and strengthen project management support.

Ref	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date	R/A/G	Comments on RAG - February 2018
6	Improve the timing and advanced planning for procurement and subsequent post award Contract Management	AGS 6.1	A Commissioning and Procurement Group has been established to consider all procurement requests including requests for waivers. The Council must instigate robust Council-wide contract monitoring governance and guidelines in order to ensure best practice for all procurement activities, value for money is achieved and poor contract management arrangements are quickly identified. Internal Audit to continue to undertake assurance reviews of the effectiveness of Procurement and Contract Management arrangements which support the Council in achieving value for money and delivering on corporate objectives	Denise Murray	Ongoing	A	The Commissioning and Procurement Group (CPG) was established and operates a gateway approach in considering all procurement requests including requests for waivers, officers are now clear on the approach and gateways, which has invariably resulted in greater transparency on the number of commissioned activity that was previously not subject to a compliant contract or services with contracts due to expire. The approach to waivers has been strengthened in the refreshed Contract Procurement Regulations due to be presented to Cabinet in February 2018. A discussion document was prepared for SLT, to discuss the future approach to procurement and CPG. A Category Management strategic approach is being adopted within the procurement function which aims to organise procurement resources to focus on specific areas of spend and improved contract management. This enables category managers to focus their time and conduct in depth market analysis to fully leverage their procurement decisions on behalf of the whole organisation. In relation to CPG - SLT recommendations are being discussed with the relevant Cabinet Member.
6	Improve the timing and advanced planning for procurement and subsequent post award Contract Management	AGS 6.2	Contract Monitoring governance and guidelines to be reviewed and disseminated throughout the Council.	Denise Murray	n/a	A	Please see the response above
6	Improve the timing and advanced planning for procurement and subsequent post award Contract Management	AGS 6.3	Internal Audit to complete assurance reviews of the effectiveness of procurement and contract management arrangements.	Denise Murray	n/a	G	Several investigations and audits have now been completed in relation to procurement and contract management arrangements. As advised at the Audit Committee training session on 25.01.18, several other reviews will be completed in this area will be completed by the end of the financial year.
7	The number of decision documents and processes need to be simplified bringing together the Mayor and Cabinet's decision making and internal working groups	AGS 7.1	The review of both the Decision Pathways and internal working groups to be completed with specific reference to the complexity of existing decision making.	Shahzia Daya	Ongoing	A	Reviews of internal working groups have been undertaken and meetings / attendee's streamlined as appropriate. An officer draft rolling 12 month forward view of possible Key decisions and Officer executive decisions has been developed for planning purposes. The decision pathway itself still remains WIP and on the basis that 2 of the 3 planned tasks have been completed this RAG is Amber.

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7	The number of decision documents and processes need to be simplified bringing together the Mayor and Cabinet's decision making and internal working groups	AGS 7.2	Briefing sessions provided on the Constitution and the Scheme of Delegation for all managers.	Denise Murray	n/a	G	Activity complete - no update required
7	The number of decision documents and processes need to be simplified bringing together the Mayor and Cabinet's decision making and internal working groups	AGS 7.3	The Constitution, Scheme of Delegation and Financial Regulations be submitted to full Council for full approval.	Shahzia Daya	Nov-17	A	The Constitution, Scheme of Delegation and Financial Regulations have been reviewed with a number of changes proposed, not all of which were supported. In light of this the documents have been further refined for endorsement by the Mayor and Cabinet and submission to full Council for approval no later than May 2018.
8	Partnership Agreements be reviewed and to provide guidelines on best practice, value for money and minimising the risk to which the Council is exposed.	AGS 8.1	Partnership agreements to be reviewed to improve governance and provide guidelines in order to ensure best practice, value for money and minimise the risk to which the Council is exposed. The Work Plan of BDO (External Audit) includes review of both the Council's partnership arrangements and its interest in companies. The findings will be reported to the Audit Committee.	Denise Murray	Ongoing	A	Partnership / Contract life cycle management requires efficient management from contract creation, execution, governance and analysis for maximising operational and financial performance and minimising risk arrangements for service delivery. We need to ensure that the arrangements continue to be satisfactory to all parties to the agreement, and the expected business benefits and value for money are being realised. Work is underway within the Council to improve process (see point 8 below) and major partnerships agreements e.g. PFI under review. A fundamental requirement is that the Council fully understands the obligations of all parties under the contract; following which an assessment can be made as to whether value for money is being achieved and a professional and objective discussion over changes and issues arising can be had. This will remain an ongoing work stream to which the management response to the governance review of companies will inform.

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8	Partnership Agreements be reviewed and to provide guidelines on best practice, value for money and minimising the risk to which the Council is exposed.	AGS 8.2	External Audit reporting of both the Council's partnership arrangements and its interest in companies be reported to the Audit Committee	Denise Murray	Ongoing	A	The Governance Report has been reviewed and an Action Plan drawn up responding to each issue that the report draws attention to. This will be agreed with the Shareholder Group on the 8 th of Feb 2018. The Governance documents dealing with the Shareholders relationship to the companies have been revised and updated and will be issued as a pack by 9 Feb, following another round of consultation which finishes on the 3 rd February. The Council representation on the Company Boards is being reviewed at the Shareholder Group on the 8 th February.
9	An information security risk assessment has been completed to identify risks, lessons learnt and Action Plan developed. This will inform the Internal Audit plan for 2017/18	AGS 9.1	An information security risk assessment has been completed to identify risks, lessons learnt and Action Plan developed. This will inform the Internal Audit plan for 2017/18	Shahzia Daya	Ongoing	A	The PSN certificate has now been awarded and having resolved the outstanding issues, we are accredited as an authority Compliance is an ongoing activity whereby we address items arising from regular health checks and our annual compliance check. Action plans are available and under continuous review.
10	Risk Management processes need further embedding to provide forward looking views of risk which anticipate risk rather than retrospective reporting of how already known risks are managed	AGS 10.1	The Risk Management Policy be reviewed and approved. Internal Audit will review Risk Management arrangements and recommend improvements to arrangements.	Denise Murray	Ongoing	A	Actions as previously set out in January 2018 remain relevant.
10	Risk Management processes need further embedding to provide forward looking views of risk which anticipate risk rather than retrospective reporting of how already known risks are managed	AGS 10.2	The Corporate Risk Register be reviewed, refreshed and approved.	Denise Murray	Ongoing	A	Actions as set out in January 2018 remain relevant. The next update is due at Audit Committee in March 2018.
11	The Member Development Programme be reviewed and approved.	AGS 11.1	The Members Development Programme is currently being reviewed and formulated. Training sessions and financial briefings to be provided to members	Shahzia Daya	Ongoing	A	Officers, supported by the LGA, are drafting a programme for Members to develop a programme of essential and desirable skills for all members which is to include support in how to constructively challenge. The member development programme will continue to be supported by the LGA and once endorsed will be rolled out in accordance with an agreed implementation plan. Launch date to be agreed 1/2/18

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12	The Protocol for Member /Officer Relations be updated and approved.	AGS 12.1	The Protocol will be reviewed and updated as part of the Constitution review and will be presented to Full Council November 2017	Shahzia Daya	Ongoing	A	The member Protocol will be specifically reviewed and updated as part of the Constitution review, which will be presented to Full Council for approval no later than May 2018
13	The Audit Committee should formally review its effectiveness annually in year and prioritise any improvements for the subsequent reporting period.	AGS 13.1	The Audit Committee should formally review its effectiveness annually in year and prioritise any improvements for the subsequent reporting period.	Denise Murray	Ongoing	A	2016/17 Self assessment carried out and reported to full council, the improvements noted will be implemented in year and this process will continue for 2017/18 and feedback will be sought from the Chair of the Committee re; its effectiveness.
14	Audit report relating to the control and treatment of Council assets identifying lessons learnt from assets disposal be concluded.	AGS 14.1	Audit report to be concluded to identify lessons learnt from asset disposal.	Denise Murray	n/a	G	Actions as previously set out in January 2018 remain relevant.