

Audit Committee

18 September 2018



Report of: Director of Finance

Title: Annual Governance Statement Tracker 2016/17 and 2017/18

Ward: N/A

Officer Presenting Report: Denise Murray

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Recommendation

The Audit Committee note progress made to date against the Action Plan for 2016/17 and new draft proposed action plan for 2017/18 (subject to final approval of the statement of accounts and Annual Governance Statement (AGS) by external audit) and consider any issues arising.

Summary

The AGS identified a number of issues that needed to be addressed to ensure continuous improvement in the governance framework and financial and budget management within the Council.

The areas identified for improvements have been incorporated into a separate AGS Action Plan for 2016/17 and 2017/18 (draft) to be regularly monitored in 2018/19 and progress reported to the Audit Committee.



1. Purpose

1.1. To report on progress made to date against the Action Plan for 2016/17 and new draft proposed action plan for 2017/18 (subject to final approval of the statement of accounts and AGS by external audit).

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 AGS Action Plan. The last report was presented to Committee in March and this report sets out the progress made since then as well as the actions to address the improvements identified in the 2017/18 AGS.

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	September 2018
Green – Completed and Evidenced	58 (68%)	75 (88%)
Amber – In Progress with Evidence	27 (32%)	10 (12%)
Red – Not Started / Started but not Evidenced, date at risk	0 (0%)	0 (0%)
Total	85	85

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

- **B29** – Timeliness of reports - Amber to Green
- **B31** – Documentation Protocols - Amber to Green
- **B36** – Member Development - Amber to Green
- **B37** – Quality of reports - Amber to Green
- **B46** – Focus on strategic priorities - Amber to Green
- **B48** – Performance Objectives - Amber to Green
- **B52** – Strategic Priorities - Amber to Green
- **B59** – Children's Social Care Peer Challenge - Amber to Green
- **B64** – Managing non-compliance - Amber to Green
- **B65** – Transforming Finance - Amber to Green
- **B67** – Implementation of improvement plan - Amber to Green
- **B69** – Pilot for testing internal shared service arrangements - Amber to Green
- **B70** – IT systems development - Amber to Green
- **B75** – Structure implementation - Amber to Green
- **B76** – Business support function - Amber to Green
- **B77** – Mentoring and trainee scheme - 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 AGS 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 AGS

Status	March 2018	September 2018
Green – Completed and Evidenced	5 (23%)	15 (68%)
Amber – In Progress with Evidence	17 (77%)	7 (32%)
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 March 2018, the principal change in the implementation of the AGS has been:

- **AGS 4.1** – Performance Management Process - Amber to Green
- **AGS 4.2** – Employee Performance Management - Amber to Green
- **AGS 6.1** – Commissioning and Procurement Group - Amber to Green
- **AGS 7.1** – Decision Making - Amber to Green
- **AGS 7.3** – Constitution, Scheme of Delegation and Financial Regulations- Amber to Green
- **AGS 8.2** – External Audit Reporting - Amber to Green
- **AGS 10.1** – Risk Management Policy - Amber to Green
- **AGS 10.2** – Corporate Risk Register - Amber to Green
- **AGS 12.1** – Review of protocol - Amber to Green
- **AGS 13.1** – Effectiveness of Audit Committee - Amber to Green

2.7 Attached in Appendix C are the 12 draft areas of improvement identified as part of the 2017/18 Annual Governance Review which still remain draft until formally endorsed by external auditors. In anticipation that the areas outlined remain unchanged, we have prepared our proposed action plan to address these. Thereafter these will form part of regular monitoring reports to Audit Committee.

3. Proposal

3.1. The Audit Committee considers the progress made to date against the Action Plan and proposed actions to address 2017/18 improvement areas, consider any issues arising and challenge where appropriate.

4. Other Options Considered – N/A

5. Risk Assessment

5.1. The publication of an AGS 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 AGS constitute 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 2016/17
- Appendix C - Annual Governance Statement 2017/18 – Proposed Action

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	13	0	0	100%
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	2	0	0	100%
7	7 - Relevant officers should be reminded of their responsibilities to keep backbench and Opposition Members properly informed	6	6	0	0	100%
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	13	4	0	76%
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	11	0	0	100%
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	1	3	0	25%
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	2	3	0	40%
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	75	10	0	88%

Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date (if applicable)	R/A/G	Comments on RAG - Sept 2018
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 Feb 2018 - no update required
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 Feb 2018 - no update required
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 Feb 2018 - no update required
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 Feb 2018 - no update required
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 Feb 2018 - no update required
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 Feb 2018 - no update required
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	Quentin Baker	Completed	G	Activity complete Feb 2018 - no update required
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 Feb 2018 - no update required

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 Feb 2018 - no update required
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	Quentin Baker	completed	G	Activity complete Feb 2018 - no update required
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 Feb 2018 - no update required
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	Activity complete Feb 2018 - no update required
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 Feb 2018 - no update required
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 Feb 2018 - no update required
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	Activity complete Feb 2018 - no update required
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 Feb 2018 - no update required

<p>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).</p>	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 Feb 2018 - no update required
<p>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).</p>	B18	Review of the decision pathway, associated protocols and process map to ensure consistent implementation	Quentin Baker	Completed	G	Decision Pathway has been implemented with associated protocols and templates
<p>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).</p>	B19	Business Case training for managers when required along with support from a Change Business Partner	Denise Murray	Nov'18	G	Activity complete Feb 2018 - no update required
<p>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).</p>	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	Activity complete Feb 2018 - no update required
<p>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).</p>	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 Feb 2018 - no update required
<p>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).</p>	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	completed	G	Activity complete Feb 2018 - no update required
<p>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).</p>	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	completed	G	Activity complete Feb 2018 - no update required
<p>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).</p>	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	completed	G	Activity complete Feb 2018 - 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).	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	Completed	G	Activity complete Feb 2018 - 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).	B26	Each report / business case requires Director & Portfolio holder sign off	CLB	Completed	G	Activity complete Feb 2018 - 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).	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	Work to date includes: - Change services have provided coaching support for individuals. - Improved templates and online guidance - L&D and Change Service colleagues are running regular learning events for report writing skills and the decision pathway. Over 50 managers have attended so far. - Leadership development programme (Bristol Leads) for team managers and team leaders that will include core business skills. First tranche complete and a further 100 managers to be recruited for tranche 2 in October/November. - Leadership development programme for second and third tier managers will include core business skills - currently in planning stage. (SG 06/9/18)
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).	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	Quentin Baker and CLB	Completed	G	Activity complete Feb 2018 - 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).	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	G	New Decision Pathway includes clear guidance on professional advice, but timeliness needs to be monitored. In addition to this a star chamber of officers (Deputy Monitoring Officer / Head of Democratic Engagement / Head of Executive Office / Mayor's Office Policy Advisor / Cabinet DSO) meets twice to review the papers in the run up to publication and is providing regular feedback on quality of reports and timing back to report authors and CLB.
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	Quentin Baker	Completed	G	Activity complete Feb 2018 - 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	Quentin Baker	Completed	G	The document retention schedule has been reviewed and refreshed in Dec 2017. This was covered in part by the information security training that has taken place across the organisation. The New Retention schedule will 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.

<p>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).</p>	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	Completed	G	Activity complete May 2018 - no update required
<p>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).</p>	B33	Review of levels of delegation of working groups and Boards, linking back to the constitution, decision pathway and budget and policy framework	Quentin Baker	closed	G	Schemes of Delegation published 7/9/18
<p>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).</p>	B34	The schemes of internal officer delegations will also be reviewed at least annually	Quentin Baker	closed	G	Schemes of Delegation published 7/9/18
<p>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).</p>	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 (SG 6/9/18)
<p>5. Members should be less tolerant of poor quality reports than they appear to have been in the past (paragraph 120).</p>	B36	Members will be supported through the Member Development programme to recognise & challenge when a report is of poor quality	Quentin Baker	Dec-18	G	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. Officers are waiting on availability from the LGA. A gap analysis has been completed against the LGA Chartermark and action plan developed from this. Members Development Group will meet on the 10th October when the timetable and programme will be provisionally agreed. The session on challenge and feedback will be delivered in November/December 18
<p>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).</p>	B37	All Strategic and Service Directors will provide the appropriate support and guidance to ensure that the quality of reports improve	CLB	Completed	G	New Decision Pathway includes clear guidance on professional advice, but timeliness needs to be monitored. In addition to this a star chamber of officers (Deputy Monitoring Officer / Head of Democratic Engagement / Head of Executive Office / Mayor's Office Policy Advisor / Cabinet DSO) meets twice to review the papers in the run up to publication and is providing regular feedback on quality of reports and timing back to report authors and CLB.
<p>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).</p>	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	Quentin Baker	Completed	G	

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	Quentin Baker	Completed	G	
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	Quentin Baker	Completed	G	Activity complete Feb 2018 - no update required
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	Quentin Baker and CLB	Sep-18	A	Following adoption by full Council of the revised codes and protocols training will be shared and cascaded through a number of channels, of which Management Brief may be one. The next Management Briefing is planned for early September
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 Feb 2018 - no update required
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	Denise Murray	May to July 2017	G	Activity complete Feb 2018 - no update required
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	An organisational culture and leadership development plan is underway. This includes the values and behaviour roll-out, leadership development programme for team managers and team leaders, the launch of diversity and inclusion initiatives such as Stepping Up, a new corporate induction, a refreshed internal comms strategy and a broadening of the L&D offer. The next phase will include development programme for the new senior leadership team, further communication and engagement enhancements, diversity and inclusion initiatives and an ongoing programme of L&D. This programme has been built around the feedback from the staff survey, Bundred report recommendations, feedback from staff reference groups and uses the funding allocated by the Mayor for the 17/18 and 18/19 budget. This work contributes to the overarching 'organisational improvement programme' which supports the council's Workforce Plan (SG 06/9/18)
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).	B45	Development of a new target operating model that will provide the necessary clarity to ensure the organisation is clear about its priorities, values and behaviours	Denise Murray	Senior management restructure Dec 2018 Values & Behaviours/Corporate Plan/Business Plans final approval at Full Council Feb 2018	G	

<p>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).</p>	B46	Clarify and focus on strategic priorities with measurable success factors	Tim Borrett	Jun-18	G	<p>Corporate Strategy 2018 - 2023 approved; Business Plan 2018/19 approved (see earlier RAG comments). Performance Framework now approved via Statutory and Policy Board on 10 May 2018 following widespread engagement with CLB and EDMs. This activity is now complete and can be closed (save for ongoing monitoring, refreshing and communications as part of business as usual).</p>
<p>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).</p>	B47	Develop and pilot a programme to ensure a single culture in BCC	John Walsh	Ongoing	G	<p>Organisational values have been approved as part of the Corporate Strategy at Full Council in Feb. An organisation wide roll-out commenced in February, with sessions for team leaders and staff to connect with the values and how they work within their work areas. Over 2000 staff have participated so far, with further sessions planned for the Autumn. This includes tailored sessions for off-site or off-line teams to ensure everyone has the opportunity to engage. Sessions are also being designed for Members and companies.</p> <p>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. There is also a wide ranging communications plan to give visibility to the values.</p> <p>A refreshed performance management framework for 18/19 includes the organisational values and behaviours as part of a wider leadership</p>
<p>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).</p>	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	G	<p>The 'My Performance' reporting system has been updated for 18/19 to include the organisational values and leadership framework - which sets out our expectations of our colleagues' behaviour. A re-launch of the system and the approach to performance management was launched in mid-June.</p> <p>A project is about to get under way which will take a look at a whole new approach to performance and talent management for all levels of the organisation - to drive a high performance culture where people feel valued. It is due for launch in April 19 to coincide with the new HRPayroll system which will include a new performance reporting system. a 360 feedback process designed around the leadership framework is being piloted in September (SG 6/9/18)</p>
<p>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).</p>	B49	Strategic Directors will monitor and challenge the number of Officers at meetings	CLB	Completed	G	Activity complete Feb 2018 - no update required
<p>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).</p>	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 Feb 2018 - no update required

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	Gemma Dando	Sep-17	G	Activity complete Feb 2018 - no update required
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	Jun-18	G	Corporate Strategy 2018 - 2023 approved; Business Plan 2018/19 approved (see earlier RAG comments). Performance Framework now approved via Statutory and Policy Board on 10 May 2018 following widespread engagement with CLB and EDMs. This activity is now complete and can be closed (save for ongoing monitoring, refreshing and communications as part of business as usual).
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).	B53	A culture that ensures it is "safe for truth to be spoken to power", encourages two way feedback and values honesty integrity and transparency	John Walsh	01-Sep-17	G	<p>Our organisational values set out how we will work with each other and expected behaviours. It is supported by the leadership framework which sets out the behaviours and qualities we expect of our senior leaders - and this has been the basis on which we have recruited the new senior team. These include showing respect and treating each other fairly.</p> <p>An organisation wide roll-out commenced in February, with sessions for team leaders and staff to connect with the values and discuss what they mean for their work. Our refreshed internal communication and engagement strategy has introduced new products which give greater visibility and approachability of senior leaders and encourage greater dialogue. These include Executive Director weekly blogs, a regular celebrating success bulletin to recognise and value the contribution and achievements of colleagues. There are plans for cross-council town-hall events.</p> <p>The values and leadership framework is built in to a refreshed performance management framework for 18/19 and a leadership development programme for our senior leaders is in the planning stages</p>
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	As B27 and B34 above
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	<p>Recognition of success and our learning is an integral part of the refreshed internal communication strategy that supports the organisational culture work programme. Its important that colleagues can see the values reflected in their own and peers' work.</p> <p>A weekly celebration of success bulletin has been introduced where CLB review the achievements of the workforce each week and publish them each Wednesday. This will be supplemented with a quartely printed staff bulletin with feature length stories of the values in action and celebrating colleagues' success.</p>

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	The additional OD funding has been used to fund the organisational culture work programme and other actions in the organisational improvement programme. This includes L&D, OD, communications, continued work on embedding the values, diversity and inclusion initiatives as outlined in B44 above. (SG 6/9/18)
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).	B57	Participation in the LGA Corporate Peer Challenge	Mike Jackson	Sep-18	A	The Council has invested in a comprehensive programme to develop and imbed a set of values and behaviours across the organisation. A new internal communications programme has been developed, and is being implemented, with regular communication in the Source from Executive Directors, and a revamped 'Leadership Forum' to ensure more effective engagement. The Peer Challenge has been organised for 11-14 September, and will be a very helpful independent measure of our progress.
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	Patsy Mellor	TBC	A	
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	G	The requirement for a LGA peer review of children's services has been superceded by the Ofsted ILAC inspection commenced 3rd September 18
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).	B60	Participation in the Adult Social Care Peer Challenge	Jacqui Jensen	TBC	A	A decision will be made after the Corporate Peer Challenge whether an Adult Social Care Peer Challenge should be initiated. Any Peer Challenge will take place before March 2019 if the decision is taken to have one.
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	B61	Finance functions are being restructured to implement a more robust business partnering delivery model	Denise Murray	Ongoing	G	Activity complete - no update required
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).	B62	The finance function will improve the efficiency of transactional processes which will bring insight, intelligence and support complex propositions	Denise Murray	Ongoing	G	Activity complete Feb 2018 - no update required

<p>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).</p>	B63	<p>Improve how reports produced by the internal / external auditor, other regulators and inspectors are dealt with and shared and continue to strengthen our approach for responding to recommendations</p>	Denise Murray	Oct-17	G	Activity complete - no update required
<p>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).</p>	B64	Monitoring and proactively managing non-compliance	Denise Murray	Ongoing	G	Improvements in MTFP, budget process and monitoring has facilitated early identification of potential overspends, other risks and opportunities. Financial resilience of the Council has been significantly improved - savings programme and benefits realisation processes embedded, and systems improvements both delivered or in train
<p>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).</p>	B65	<p>Transformation of the Finance function. It will be necessary to take an end-to-end approach and combine top down and bottom up initiatives</p>	Denise Murray	Ongoing	G	Finance Transformation Programme is in flight and progressing. There are a number of project and ongoing workstreams that will deliver continuous improvement and efficiencies
<p>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).</p>	B66	<p>A more robust approach to providing assurance through the Annual Governance Statement has been developed, ensuring that all budget managers and responsible officers are an integral part of the overall governance assessment. All responsible officers now complete and sign off an AGS statement that feeds into the wider overall assurance across the authority</p>	Denise Murray	Oct-17	G	
<p>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).</p>	B67	Continued implementation of the Improvement Plan which will be updated to take into account the recommendations of the Bundred Report	Denise Murray	Ongoing	G	Financial Regs and Procurement Rule have been refreshed and 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 ICT strategy and Future Service Assessment

<p>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).</p>	B68	<p>DUPLICATION of above B66 - A more robust approach to providing assurance through the Annual Governance Statement</p>	Denise Murray	Oct-17	G	
<p>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).</p>	B69	<p>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</p>	Denise Murray	Ongoing	G	<p>This is an ongoing objective, and given improvements delivered to date considered achieved. However Finance Transformation Programme is continuous. There are a number of project and ongoing workstreams that will deliver continuous improvement and efficiencies. Significant changes to business partner roles and personnel have been implemented and individuals are supporting key transformational projects whilst taking ownership of finance teams</p>
<p>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).</p>	B70	<p>Work continues on the Finance systems to progress the identified requirement to conclude the IT system developments and avoid the need for significant use of spreadsheets etc. which jeopardises the "single version of the truth"</p>	Denise Murray	Ongoing	G	<p>During 17/18 we introduced a new monthly monitoring and reporting framework for Cabinet and Scrutiny. This facilitated early identification of areas of likely overspend in areas such as Adults and Childrens Social Care and Property Services, and a process for budget scrutiny that enabled in year mitigations to be implemented. Further developments to dashboard reporting are scheduled for 2018/19, as part of a continuous improvement programme, along with improved system based techniques for triangulating the process. Also programmed improvements on key issues incl. improving debt management reporting and payments, as part of end-to-end review of procure to pay processes</p>
<p>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).</p>	B71	<p>Peer review of the Internal Audit function has been commissioned which will also embed Key Audit deliverables in Service BAU</p>	Denise Murray	Mar-18	G	<p>Activity complete - no update required</p>
<p>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).</p>	B72	<p>Appointment of a permanent structure based on CIPFA principles</p>	Denise Murray	Oct-18	A	<p>Structural review in progress and on target for September launch</p>
	B73	<p>Utilise an assessment centre based on those which have been developed and used in other authorities</p>	Denise Murray	Oct-18	A	<p>Preparations for assessment centre in hand and will take place following completion of consultation process on new structure</p>
	B74	<p>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</p>	Denise Murray	Oct-18	A	<p>New structure aimed to enhance the service, making it more agile, proactive and adaptable. There will be a new focus on professional qualifications and continued professional development and learning embedded in team planning.</p>
	B75	<p>A transitional structure will be implemented</p>	Denise Murray	Ongoing	G	<p>Structural review in progress and on target for September launch</p>

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	Denise Murray	Apr-18	G	Competency framework will be implemented as part of new structure
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"	Denise Murray	Ongoing	G	Learning and development framework agreed and arrangements in hand for partnership arrangement with Cipfa
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	Denise Murray	Sep-18	A	Structural review in progress and on target for September launch
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	Denise Murray	Sep-18	A	Competency framework will be implemented as part of new structure
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	Denise Murray	Sep-18	A	Learning and development framework agreed and arrangements in hand for partnership arrangement with Cipfa
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	Denise Murray	Ongoing	G	Activity complete Feb 2018 - no update required
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	Denise Murray	Oct-17	G	Activity complete Feb 2018 - no update required
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	Denise Murray	Mar-17	G	Activity complete Feb 2018 - no update required

<p>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).</p>	B84	Publish the 2017/2018 budget monitoring timetable that reflects the 6 weekly cabinet cycle	Denise Murray	Apr-17	G	Activity complete Feb 2018 - no update required
<p>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).</p>	B85	Capital reporting to be automated and reflect multiple year programme direct from the Finance System	Denise Murray	May-17	G	Activity complete Feb 2018 - no update required

Appendix B – Annual Governance Statement Actions 2016/17

Annual Governance Statement Actions by Recommendation		Total Actions	All			% Complete
		Green	Amber	Red		
#	Recommendation					
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	2	0	0	100%
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	2	1	0	67%
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	3	0	0	100%
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	1	1	0	50%
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	2	0	0	100%
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	1	0	0	100%
13	The Audit Committee should formally review its effectiveness annually in year and prioritise any improvements for the subsequent reporting period.	1	1	0	0	100%
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	15	7	0	68%

Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Point of contact	Revised Date	R/A/G	Comments on RAG - September 2018
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	see above		N/A	See supplementary schedule.
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	Jonathan Idle	n/a	G	Actions as previously set out in January 2018 remain relevant. No change in RAG rating.
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	Ben Mosely	Ongoing	A	Actions as previously set out in February 2018 remain relevant. No change in RAG rating.
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.	Mike Jackson	Steph Griffin	Jun-18	A	Corporate Strategy, Business Plan and Performance Framework complete and approved (all component part of the TOM). Workforce Plan and an organisational improvement plan are in development. Senior management structure recruitment ongoing, with the final two vacancies now out to advert with selection in late October/early November. (SG 6/09/18)
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	Chris Holme	n/a	G	Actions as previously set out in January 2018 remain relevant. No change in RAG rating.
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	Steph Griffin & Tim Borrett	Jun-18	G	A full Performance Framework was approved at Statutory and Policy Board on 10 May 2018. My Performance reviews taking place and some are still outstanding but corporate instruction to complete has been issued. A review of our approach to performance and talent management is underway and will launch in April 19 to coincide with the new HR and Payroll system which includes a performance management tool. This action can be closed once HR report completion rates of My Performance 18/19 reviews are adequate. In addition a 360 feedback mechanism is being piloted in Sep 18 (SG 6/09/18)
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.	Mike Jackson	John Walsh	Ongoing	G	The My Performance reporting system has been updated for 18/19 to include the organisational values and leadership framework - which sets out our expectations of our colleagues. A re-launch of the system and the approach to performance management was launched in mid-June and completion rates will be monitored throughout the year. A project is under way which will take a look at a whole new approach to performance and talent management for all levels of the organisation - to drive a high performance culture where people feel valued. It is due for launch in April 19 to coincide with the new Payroll system which will include a new performance reporting system. In addition a 360 feedback mechanism for senior leaders is being piloted in September 18 (SG 6/09/18)

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	Chris Holme	Ongoing	A	Actions as previously set out in February 2018 remain relevant. No change in RAG rating.
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	Chris Holme	Ongoing	G	The Commissioning and Procurement Group (CPG) was established and operates a gateway approach in considering all procurement requests including requests for waivers, officers are clear on the approach and gateways. A discussion document was prepared for SLT to discuss future approach to procurement and CPG to which further consideration is required. A Category Management strategic approach is being adopted within the procurement function which aims to organise procurement resources to focus on specific areas of spends. 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. Category manager recruitment is underway.
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	Chris Holme	n/a	A	Please see response above.
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	Jonathan Idle	n/a	G	Various audits have now been concluded in respect of procurement and contract arrangements including reports on Contract Waivers, Contract Publication Requirements and Contract Management arrangements. RAG rating changed to Green.
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.	Quentin Baker	Andrea Dell and Ben Mosley	Complete	G	Reviews of internal meetings 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 has been reviewed http://intranet.bcc.lan/cm/navigation/policy-and-procedures/decision-making/

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	Shahzia Daya	n/a	G	Management Brief - Thursday 4 May: Governance process and decision making; DLT'S
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.	Quentin Baker	Quentin Baker	Complete	G	The Constitution has been approved. Delegations will follow in July
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.	Mike Jackson	Quentin Baker	Ongoing	A	This is being monitored via the AGS 2017/18 tracker.
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	Mike Jackson	Quentin Baker	Ongoing	G	The Governance Report has been reviewed and an Action Plan drawn up responding to each issue that the report draws attention to. This has been agreed with the Shareholder Group on the 8 th of Feb 2018. and submitted to Scrutiny and Cabinet. Actions will continue to be monitored by the Shareholder Group.
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	Quentin Baker	Quentin Baker	Nov-18	A	We are resubmitting this month for a new PSN certificate and will continue with the PSN compliance activities. There are concerns about the long decommissioning times (April - December 2019) for the Windows Server 2003 systems used by HR as they dependant on HR projects. PSN Phase one (actions arising from ITHC 2017) is due for completion 01/11/18 – this should ensure continuation of PSN compliance.
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	Jan Caddy	Ongoing	G	Risk Manager appointed CRR / DRR refreshed

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	Jan Caddy	Ongoing	G	This will be formally assessed in both the AGS for 2017/18 and the Annual Internal Audit report, both of which will be taken to the Audit Committee in May 2018. There have been developments which will be reflected in this assessment but the Corporate Risk Register was only formally reviewed once in 2017/18, which does not equate to stating that risk management is embedded.
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	Quentin Baker	Lucy Fleming	Dec-18	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. Officers are waiting on availability from the LGA. A gap analysis has been completed against the LGA Chartermark and action plan developed from this. The work has been delayed slightly following a series of requests from the Members Development Group to postpone meetings. The next one will be on the 10th October when the timetable and programme will be provisionally agreed. The session on challenge and feedback will be delivered in November/December 18
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	Quentin Baker	Shahzia Daya	Complete	G	COMPLETE - The member Protocol has been reviewed and updated as part of the Constitution review, presented to Full Council for approval in May 2018
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	Chair of Audit Committee	Ongoing	G	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. Completed 2018.
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	Jonathan Idle	n/a	G	Actions as previously set out in January 2018 remain relevant. No change in RAG rating.

Appendix C – Annual Governance Statement 2017/18 – Proposed Action

Issue No.	Issue Identified	Suggested Action Owner	Action Plan	Lead
1	The Local Government and Social Care Ombudsman report into the treatment of a homeless family identified a number of recommendations to be addressed. This report was considered by Cabinet in May 18 with a further detailed action plan to be considered at a future Cabinet meeting, date to be confirmed.	Acting Executive Director, Communities	A follow up report will be going to Cabinet on the 2 nd October 2018 and any actions for BCC will be outlined in the report.	Pam Wharfe
2	The Multi-Agency review following the death of Mr Bijan Ebrahimi identified recommendations for the Council which require ongoing monitoring.	Executive Director, Adults, Children and Education	An action plan for the partnership is being produced with support from Avon & Somerset police. This plan will enable the commitments made by all the relevant agencies (BCC, SARI and Avon & Somerset Police) following the review to be monitored.	Pam Wharfe
3	There is a need to enhance the support of the integration of health and social care by ensuring effective governance is in place in relation to delayed transfers of care.	Executive Director, Adults, Children and Education	<ul style="list-style-type: none"> • The Third Tier Structure review will provide further capacity to support the work around integration and DTOC. The work on DTOC is governed through the Urgent Care Oversight Board (UCOB) which meets monthly and oversees how the ring-fenced spend is distributed. The outcome of this meeting is to assure NHS England that the DTOC system is being managed and supported and the Better Care Fund is being spent appropriately. • Work on the wider integration of health and social care is managed through the STP framework which has Executive Director membership and will ultimately lead to recommendations on how integration should be progressed. • The application by the CCG and Council to join the National Integrated Care System programme has been approved and the programme will bring system leaders together through the next six months to progress integration on both provider 	Terry Dafter

			and commissioning.	
4	A detailed review is required and plan developed which supports schools to deliver a good or improved level of education within a reduced funding envelope.	Executive Director, Adults, Children and Education	<p>A new Director of Education, Learning and Skills has been appointed and starts at the beginning of October 2018. They will continue the work underway in bring together a fully costed whole system improvement. This will include the following::</p> <ul style="list-style-type: none"> • A plan for school improvement which will optimise the successful funding bid for £1m for school improvement. • Attendance strategy signed off by schools and partners • SEND transformation plan • Inclusion approach implemented 	Sue Rogers / Alan Stubbersfield
5	The Future State Assessment of ICT within the Council has recognised the need to stabilise ICT and ensure it supports transformation going forward. This should include reviewing disaster recovery arrangements.	Executive Director Resources	<p>A governance board has been set up to oversee the delivery of FSA. The FSA Delivery Board commenced on 28th August, chaired by Head of Paid Service with Cabinet Member oversight.</p> <p>BCC is currently represented and considering is being given as to whether this should be extended.</p> <p>The review will consist of the following things:</p> <ul style="list-style-type: none"> • Outline business cases in line with the FSA plan. • Key project around data centre migration and migration out of the data centre back to BCC site in a precursor to maintain services as the Swindon data centre contract expires. • Migrate out systems to both Azure cloud and Ark data centres in line with our data centre strategy. 	Simon Oliver
6	Having a strong business led digital vision and strategy for the organisation will support service change and drive the organisation to delivery to citizen expectations with regards to the digitisation of services.	Executive Director Resources	<p>Director of digital Transformation has been appointed and this role will lead the development of our digital vision.</p> <p>Current actions in relation to digital strategy are:</p> <ul style="list-style-type: none"> • Currently building enabling platforms for future digital transformation to utilise; FSA does not provide this transformation. <ul style="list-style-type: none"> - The strategy (technology, process and 	Simon Oliver

			<p>procurement) will be developed based on the direction taken within FSA (decisions still to be made).</p> <ul style="list-style-type: none"> - The CRM deliverable is the first proof of concept of the digital approach and this will help form the final approach. <ul style="list-style-type: none"> • Disaster recovery will be addressed via two approaches: <ul style="list-style-type: none"> - Cloud hosting which provides a range of resilience and DR capabilities. - A move to an improved physical asset data centre which removes some of the issues with our current arrangements. <p>The physical hosting will not provide the level of resilience as our cloud option, so further work (outside of FSA) will need to be commissioned to move some key systems to the new arrangements; some of these will involve re-procurements so best wait for the CRM approach to be proven. Some will be part of an already planned Phase 2 where possible/compatible.</p>	
7	<p>Arrangements for the Council's approach to working in partnerships have been set up with varying levels of formality. Governance and risk management arrangements are inconsistent in the absence of clearly defined governing principles. (This was reported in the 2016/17 AGS).</p>	<p>Executive Director Resources</p>	<ol style="list-style-type: none"> 1. Reviewing and refreshing the Partnership Policy and Toolkit by end October 2018. 2. 2. Creating a central Partnership Register including SLAs, ToRs and contracts where appropriate by end October 2018. 3. Creating a template TOR and porting existing TORs to it by end October 2018. 4. Scope and review need for Commercial Training for relevant managers as part of Procurement and Commercial Strategy. <p>This has now been updated and replaces the item on the 2016/17 AGS tracker.</p>	<p>1,2, 3 – Andrea Dell 4 – Penny Fell</p>

8	Risk Management processes need to be consistently applied in order to embed risk management across the Council. (This was reported in the 2016/17 AGS).	Executive Director Resources	<ul style="list-style-type: none"> • Appointment of a Risk and Insurance Manager. • Risk Management Assurance Strategy. • Risk Management Improvement Plan. • Strengthening and further embedding the risk management process, reporting and alignment to other business processes. • Focused risk workshops rolled out across the organisation. • Risk Management Awareness training and supporting E-learning package. <p>This has now been updated and replaces the item on the 2016/17 AGS tracker.</p>	Jan Cadby
9	There has been significant slippage in delivery of key capital projects in line with the agreed capital programme. (This was reported in the 2016/17 AGS)	Interim Executive Director: Growth and Regeneration	<p>Corporate deep dive of all capital projects due in September 2018.</p> <p>Transport Delivery Board in transport division will review their capital programme fortnightly, and is governed by the Growth and Regeneration Board (G&R Board).</p> <p>G&R Board currently review capital programmes within G&R and will continue to do so.</p> <p>Finance and G&R officers have drafted new TOR for the G&R Board which will incorporate reviewing the whole capital programme as part of its remit. Chris Holme to review this with Mike Jackson.</p> <p>This has now been updated and replaces the item on the 2016/17 AGS tracker.</p>	Colin Molton

10	<p>Audit reviews and responses in the Assurance Statements identified weaknesses in the consistency of contract management arrangements and also the use of contract waivers continues to be high and reflects the need for improved contract planning have been identified by both. (This was reported in the 2016/17 AGS)</p>	Executive Director Resources	<ol style="list-style-type: none"> 1. Use Category Planning to help better manage contracts through their lifecycle 2. Make use of corporate Contract Templates with Standardised Language to improve consistency and common approaches 3. Empower Procurement leaders to continuously engage service area plans and approved budgets, to increase commitments to contract management. 4. Make intelligent use of technology and software to improve visibility of contracts 5. Design, assess and gain commitment to bespoke performance goals, before setting contracts in place, always based on an understood need 6. Standardise the approach for contract management across all service areas, using corporate training to deliver key principles, embed performance measurement based on importance of need and increase quality standards <p>This has now been updated and replaces the item on the 2016/17 AGS tracker.</p>	Gareth Spencer
11	<p>It has been identified that there is a need for the member development programme to focus on members' core skills, community leadership and decision making roles. (This was reported in the 2016/17 AGS).</p>	Executive Director Resources	<p>The aim: Officers, supported by the LGA, to draft a programme for Members to develop a programme of essential and desirable skills for all members. This is to include support in how to constructively challenge.</p> <ul style="list-style-type: none"> • A gap analysis has been completed against the LGA Chartermark. • Members Development Group will meet on the 10th October when the timetable and programme will be provisionally agreed • The member development programme will be supported by the LGA and once endorsed will be rolled out in accordance with an agreed implementation plan. • The session on challenge and feedback will be delivered in November/December 18 	Quentin Baker

			This has now been updated and replaces the item on the 2016/17 AGS tracker.	
12	Performance management of our employees has been inconsistent with only 42% having registered completed performance reviews. (This was reported in the 2016/17 AGS)	Executive Director Resources/CLB	<p>1. The My Performance reporting system has been updated for 18/19 to include the organisational values and leadership framework - which sets out our expectations of our colleagues.</p> <p>2. A re-launch of the system and the approach to performance management took place in June and completion rates will be monitored throughout the year. There is also a statutory 'Knowledge skills framework' for social worker's which is widely used in the service.</p> <p>3. A corporate project is underway which will look at the whole approach to performance management for all levels of the organisation - to drive a high performance culture where people feel valued. This will be launched during 2019.</p> <p>4. A 360 feedback mechanism for senior leaders is being piloted in September 2018</p> <p>5. Performance management will also be reviewed by HR committee and it is on their forward plan for 18/19.</p> <p>This has now been updated and replaces the item on the 2016/17 AGS tracker.</p>	John Walsh