

Audit Committee

21 January 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 2017/18 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 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 September 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	September 2018	January 2019
Green – Completed and Evidenced	75 (88%)	77 (91%)
Amber – In Progress with Evidence	10 (12%)	8 (9%)
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 September 2018, the principal changes in the implementation of the Bundred review have been:

- **B55** – Celebrating success – Amber to Green
- **B57** – LGA Corporate Peer Challenge – Amber to Green

2.4. For those actions that are deemed to have remained amber, these are predominantly aligned to the finance restructure which has been developed to ensure the functions that are appropriately resourced are fit for purpose, with staff that is professionally qualified and suitably experienced. Supported by CIPFA, a competency framework has been developed and appointment to roles will follow an independent development assessment.

Due to the competency and development element, this will be implemented in a tiered approach and is expected to conclude and be fully implemented by the end of March and will be closed going forward.

- **B58** – Housing Delivery and HRA Peer Challenge - Amber
- **B60** – Adult Social Care Peer Challenge – Amber
- **B72** – Permanent Finance Structure – Amber
- **B73** – Assessment Centre for Finance restructure – Amber
- **B74** – Conditions for Finance Function – Amber
- **B78** – Appointment of Business Partner – Amber

- **B79** – Implementation of Competency Framework – Amber
- **B80** – Learning and Development Programme – Amber

2.5. The progress made to date against implementation of the actions required from the AGS 2016/17 is summarised in table 2 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 2016/17

Status	September 2018	January 2019
Green – Completed and Evidenced	15 (68%)	16 (73%)
Amber – In Progress with Evidence	7 (32%)	6 (27%)
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 September 2018, the principal changes in the implementation of the AGS 2016/17 review have been:

- **AGS 9.1** – Information Security Risk Assessment - Amber to Green

2.7. The propositions that remain Amber on the schedule and in progress have been identified in the 2017/18 AGS as outstanding issues that still present a significant weakness in governance and internal control and must be appropriately addressed. These are as follows:

- **AGS 3.1** – Delivery of Mayors Vision and Strategic Priorities – Amber
- **AGS 3.2** – Target Operating Model - Amber
- **AGS 5.1** – Review of Capital Governance - Amber
- **AGS 6.2** – Contract Monitoring Governance - Amber
- **AGS 8.1** – Partnership Agreements - Amber
- **AGS 11.1** – Member Development Programme - Amber

These have been carried forward into the 2017/18 schedule and will be monitored in the 2017/18 progress reports going forward. As a result the 2016/17 AGS will be closed.

2.8. The progress made to date against implementation of the actions required from the AGS 2017/18 is summarised in table 3 below and the high level narrative and detailed schedule is outlined in Appendix C:

Table 3 - Changes in the Implementation of Actions from the AGS 2017/18

Status	September 2018	January 2019
Green – Completed and Evidenced	0 (0%)	1 (8%)
Amber – In Progress with Evidence	0 (0%)	7 (53%)
Red – Not Started / Started but not Evidenced, date at risk	13 (100%)	5 (38%)
Total	13	13

2.9. The two following items have been identified as recommended areas of improvement following the LGA peer review and to prevent duplication will be monitored by Cabinet as part of the LGA improvement action plan.

- **AGS 11.1** – Member Development Programme - Red
- **AGS 12.1** – Performance Management – Amber

Proposal

3. 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

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	15	2	0	88%
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	77	8	0	91%

Bundred Review Document Reference							
No.	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date (if applicable)	R/A/G	Comments on RAG - Jan 2019
	8.8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B55	Actively seek opportunities to recognise and celebrate success	John Walsh and CLB	Ongoing	G	<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 quarterly printed staff bulletin with feature length stories of the values in action and celebrating colleagues' success.</p> <p>A twice yearly town-hall event is in the planning stages which will bring colleagues from across the council to discuss our progress against our priorities and celebrate success. A proposal on a more formal recognition of success is an action on the organisational improvement programme.</p>
	8.8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B57	Participation in the LGA Corporate Peer Challenge	Mike Jackson	Sep-18	G	We held a Peer Challenge 11-14 September 2018, the outcomes of which were published in Nov 2108, an action plan wil be taken to Cabinet on 22nd Jan 2019.
	8.8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B58	Participation in the Housing Delivery and HRA Peer Challenge	Julian Higson	Mar-19	A	A decision was made to delay the peer challenge until after the Corporate Peer review had completed and until the housing senior management changes were in place. An update in this regard will be provided at the March meeting.
	8.8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B60	Participation in the Adult Social Care Peer Challenge	Jacqui Jensen	Mar-19	A	The Adult Social Care Peer Challenge has now been scheduled and will take place in March 2019 .

10	10. The previous recommendation that the Council should “Develop a Competency Framework and agree the way forward re Assessment and Development centres” in relation to its Finance staff is overdue and should be given priority (paragraph 134).	B72	Appointment of a permanent structure based on CIPFA principles	Denise Murray	Mar-19	A	The new 'To Be' finance structure for Internal Audit and Finance have been developed to ensure the functions that are appropriately resourced to be fit for purpose, with staff that is professionally qualified and suitably experienced. Supported by CIPFA, a competency framework has been developed for Finance and appointment to roles will be follow an independent development assessment. The council is committed to investing in the short, medium and long term professional development of our people, systems and processes, with a support package to ensure that the function can meet the objectives of the council and adopt a culture that embraces continuous improvement. Consultation has now closed and following consideration of the feedback, documentation will be finalised and the appointment process begin. Key roles such as the Chief Internal Auditor, Chief Accountant and Risk & Insurance Manager have been recruited to outside of this process.
		B73	Utilise an assessment centre based on those which have been developed and used in other authorities	Denise Murray	Mar-19	A	Please see comments to B72 above
		B74	The finance function needs to create the conditions that enable it to be agile, adaptable, and accountable and to learn from success as well as failure so that responding quickly to change is second nature, constantly striving for the best possible services and outcomes	Denise Murray	Mar-19	A	Please see comments to B72 above
11	11. This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure (paragraph 134).	B78	Appointment of Business Partner roles on a skills based assessment	Denise Murray	Mar-19	A	Please see comments to B72 above
11	11. This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure (paragraph 134).	B79	A competency framework will be implemented which outline the set of competencies needed to perform each of the roles effectively and career progression pathway	Denise Murray	Mar-19	A	Please see comments to B72 above
11	11. This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure (paragraph 134).	B80	The organisation is in the process of building the learning & development programme	Denise Murray	Mar-19	A	Please see comments to B72 above

Appendix B – Annual Governance Statement Actions 2016/17

		Total Actions	All			% Complete
#	Recommendation		Green	Amber	Red	
2	Internal Audit introduce more rigorous tracking of Internal Audit recommendations, incorporating more regular provision of Monitoring Information to Strategic and Service Directors.	1	1	0	0	100%
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	3	1	2	0	33%
4	Performance objectives to be linked to the Council's overarching principles and priorities outlined in the TOM.	2	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	1	0	0	100%
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	16	6	0	73%

Ref	Recommendation	Activity Type	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date	R/A/G	Comments on RAG - January 2019
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	Action	AGS 3.1	Developing a wider strategic approach to delivering the Mayor's vision and strategic priorities including : 20-50yr City wide plan, the Economic Growth Strategy, Refreshed Corporate Strategy, Target Operating Model (TOM), Medium Term Financial Plan (MTFP), Business plans, Performance management framework, Workforce plan, the employee offer, experience and development, Transformation plans, Communication and employee engagement plan and Values and behaviours framework	CLB	Ongoing	A	Closed rolled into 2017/18 AGS 12
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	Action	AGS 3.2	Target Operating Model components to be finalised and approved.	Mike Jackson	Ongoing	A	Closed rolled into 2017/18 AGS 12
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	Narrative	AGS 5.1	Capital governance to be reviewed and project management / profiling and monitoring strengthened to ensure the Council achieves its investment aspiration and does not unnecessarily lock revenue	Denise Murray	Ongoing	A	Closed rolled into 2017/18 AGS 9
6	Improve the timing and advanced planning for procurement and subsequent post award Contract Management	Action	AGS 6.2	Contract Monitoring governance and guidelines to be reviewed and disseminated throughout the Council.	Denise Murray	n/a	A	Closed rolled into 2017/18 AGS 10

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.	Action	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	Ongoing	A	Closed rolled into 2017/18 AGS 7
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	Narrative	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	Denise Murray	Complete	G	This action was concluded prior to the commencement of 2017/18
11	The Member Development Programme be reviewed and approved.	Action	AGS 11.1	The Members Development Programme is currently being reviewed and formulated. Training sessions and financial briefings to be provided to members	Tim O'Gara	Ongoing	A	Closed rolled into 2017/18 AGS 11

Appendix C – Annual Governance Statement Actions 2017/18

AGS 18-19 Actions by Recommendation		Total Actions	All	Amber	Red	% Complete
Recommendation			Green	Amber	Red	
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.	1	0	1	0	0%
2	The Multi-Agency review following the death of Mr Bijan Ebrahimi identified recommendations for the Council which require ongoing monitoring.	1	0	1	0	0%
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.	1	1	0	0	100%
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.	1	0	1	0	0%
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.	1	0	0	1	0%
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.	1	0	0	1	0%
7	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).	2	0	1	1	0%
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).	1	0	1	0	0%
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)	1	0	0	1	0%
10	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)	1	0	1	0	0%
11	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).	1	0	0	1	0%
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)	1	0	1	0	0%
		13	1	7	5	8%

Ref	Issue Identified	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date	R/A/G	Comments on RAG - Jan 2019
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.	AGS 1.1	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.	Colin Molton	Ongoing	A	The RAG status has changed to Amber. The report and action plan were endorsed by Cabinet in October. The Ombudsman has also approved the action plan, which is currently delivering against target
2	The Multi-Agency review following the death of Mr Bijan Ebrahimi identified recommendations for the Council which require ongoing monitoring.	AGS 2.1	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.	Colin Molton	Ongoing	A	The RAG status has changed to Amber. A comprehensive multi-agency action plan is in place, which includes every commitment from relevant agencies. The plan has been communicated to the Ebrahimi family. Progress is monitored by the Safer Bristol Partnership Board; monitoring will continue until all actions are complete.
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.	AGS 3.1	<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 and commissioning. 	Jacqui Jensen	Completed	G	The RAG status is currently Green - There is a formal Better Lives Programme Board which both the Executive Director of Resources and ACE attend. The BSF is being undertaken. Jacqui Jensen is on the STP Healthier Lives Exec Board and the Director for Adult Social Care, Terry Dafer is on the DTOC Urgent Care Oversight Board Overall there are 50 partnership and health meetings monthly that routinely drive integration and scrutinise DTOC in the health and social care system

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.	AGS 4.1 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: • 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	Jacqui Jensen	Ongoing	A	The RAG status is currently Amber. People too have been commissioned to undertake a deep dive into the education budget, identify further opportunities for Trading with Schools savings and an analysis of the resource required to complete the work identified to meet SEND requirements. This work has started and is due to be completed by the end of January. Monitoring is via ACE EDM who receives quarterly reports on performance progress against educational outcomes and the Excellence in Schools group supports work with partners.
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.	AGS 5.1 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. BCC is currently represented and considering is being given as to whether this should be extended. The review will consist of the following things: • 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.	Mike Jackson	Ongoing	R	The FSA Transformation Programme is currently undertaking the necessary preparation activity to commence delivery. Some activity such as the implementation of a business-focused Delivery Board, preparation for move to cloud hosting, skills and capacity analysis for the ICT Team and evaluation of the delivery partner market are well underway. The full programme, timescales, technical roadmap and financial analysis is currently being developed alongside delivery partner options. The programme is subject to Scrutiny Committee oversight.
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.	AGS 6.1 Director of digital Transformation has been appointed and this role will lead the development of our digital vision. Current actions in relation to digital strategy are: • Currently building enabling platforms for future digital transformation to utilise; FSA does not provide this transformation. - The strategy (technology, process and procurement) will be developed based on the direction taken within FSA (decisions still to be made). - The CRM deliverable is the first proof of concept of the digital approach and this will help form the final approach. • Disaster recovery will be addressed via two approaches: - 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. 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	Mike Jackson	Ongoing	R	Following the appointment of a new Director for Digital Transformation in August 2018, work is progressing to develop understanding of the baseline capability within the Council and to shape the FSA Programme to act as an enabler for future Digital Transformation. This scope of work has also included Smart City ambitions and the opportunity of the 'Bristol is Open' Council-owned company. As the full scope of the FSA Programme is developed, the digital strategy will be developed alongside to augment the Council's wider strategic objectives, ICT Strategy, Information Management strategy and future One City vision.

7	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).	AGS 7.1	<p>1. Reviewing and refreshing the Partnership Policy and Toolkit by end October 2018.</p> <p>2. 2. Creating a central Partnership Register including SLAs, ToRs and contracts where appropriate by end October 2018.</p> <p>3. Creating a template TOR and porting existing TORs to it by end October 2018.</p>	Mike Jackson	Ongoing	A	<p>Work is underway to review and test our current Disaster Recovery arrangements (from a technical capability) and the FSA Programme has work included to analyse, review and implement improvements beyond the current arrangements. It will be necessary for the Council to assess their requirements for ICT resilience/recovery within DR/BCP scenarios considering workplace recovery and temporal aspects. The ICT Service will then revise the approach to Disaster Recovery to meet these demands where possible and advise where alternative arrangements are necessary. This requirement has been discussed with the Council's Head of Risk and Insurance.</p>
7	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).	AGS 7.2	1. Scope and review need for Commercial Training for relevant managers as part of the developing commercial strategy.	Mike Jackson	Ongoing	R	<p>As part of Bristol City Council's New Commercialisation Strategy 2018-21, the Directorate: Commercialisation and Citizens will deliver a Commercialisation, Tender Submission and Contract Renewal training programme. The Commercialisation, Tender Submission and Contract Renewal training programme will provide improved business case preparation, evaluation, approval, monitoring and scrutiny by the introduction of a council-wide commercialisation training programme to up-grade officer skills and knowledge in presenting projects for consideration. Progress on the delivery of the New Commercialisation Strategy 2018-21 and its rolling Business Plan Objectives will be the subject of regular reports to the Council's Commercialisation and Innovation Working Group and Resources Scrutiny Commission, as well as relevant forums in the council's Decision Making Pathway. Finally, an additional Objective of the New Commercialisation Strategy 2018-21 is the provision, monitoring, management and dissemination of an up-to-date, fit for purpose, council-wide Tendering and Funding portal, the training for which will address the Council's needs to achieve efficiency savings and income growth, in addition to further contributing to addressing training development needs identified in the council's staffing establishment.</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).	AGS 8.1	<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>	Mike Jackson	Ongoing	A	<p>Significant progress is being made on consistency being applied across the Council. Business risks are recored on the Service Risk Registers on a quarterly basis which form the Directorate Risk Report and then the significant and core risks escalated to form the Corporate Risk Report. The leadership receive and review the risks prior to escalation.</p> <p>The risk management process is a cyclical live process and should not have an end point. In 2019 performance of compliance will be introduced to monitor and report on progress and maturity of the process.</p> <p>Project Management are progressively for new projects adopting the scoring criteria as set out in the Policy.</p> <p>The refreshed Policy will be launched in January 2019 which will further embed the framework going forwards.</p>

<p>9</p> <p>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)</p>	<p>AGS 9.1</p>	<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>	<p>Colin Molton</p>	<p>Ongoing</p>	<p>R</p>	<p>Progress to reduce / correct the slippage in delivery of key Capital Projects in 2018/19, and re-profiling. Details as follows:</p> <ol style="list-style-type: none"> 1. Since September 2018 the Growth and Regeneration (G&R) Board has held deep dives into Transport and Housing Delivery. The G&R Board is planning to undertake further deep dives in early 2019, including Property and Temple Quarter. 2. Following the Corporate Capital Workshop on 19 September to review the Capital Programme, G&R EDM held further sessions on 7 November 2018 and 5 December 2018 to review and re-profile Capital Projects in 2018/19 (and future years). 3. Only 43% 2018/19 Capital Programme had actually been spent against a reset budget £162.6m reported to Cabinet (finance P6) in December 2018. This reset budget was the output of the discussions undertaken during Capital workshops, September - December 2018 (above). 4. Future recommendation to benchmark spend trajectory against previous year's run rate. <p>In summary, although progress is being made as a result of the Capital deep dive sessions above, this remains a work in progress and over 50% still needs to be spent in 3-4 months and on that basis the risk of achieving full spend is limited and therefore remains at Red status.</p>
<p>10</p> <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>	<p>AGS 10.1</p>	<ol style="list-style-type: none"> 1. Develop and utilise Category Planning to help better manage contracts through their lifecycle 2. Standardise the language on contract templates to improve consistency and common approaches 3. Greater engagement of Procurement leaders with EDMs and commissioning leads to increase commitments to contract management. 4. Commission and make intelligent use of technology and software to improve visibility of contracts. 5. Design, assess and gain commitment from the commissioner to bespoke performance goals, before setting contracts in place (ongoing). 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>	<p>Mike Jackson</p>	<p>Ongoing</p>	<p>A</p>	<p>Targets have been revised to ensure that they are smart.</p> <ol style="list-style-type: none"> 1. Category Management/Planning is on-going and encapsulates Lifecycle costs, TCO (Total Cost of Ownership) to ensure best VFM is obtained 2. A suite of standard documents has been created for contract templates and a document control system is in place for these documents. 3. Category teams have created and implemented regular client engagement programmes to ensure early engagement and commitment to contract management and compliance 4. Each Category Team has put together a master contract plan and pipeline activity for its respective service area. These master plans capture all live contracts contracts/projects which then feeds down into a yearly pipeline activity based on their respective expiry dates. These are regularly updated. 5. Category teams work closely with commissioners to establish KPI's /Performance /Bench Marking to ensure they are an integral part of every contract that is let. 6. TARGET 1 Make use of industry standard and corporate training to deliver and implement key principles. The proposal is to make use of a central hub to develop standard contract management practices. To ensure that training is mandatory and integral to service plans. Embedding contract performance measures upfront and based on importance of need and increased quality standards. Use procurement professionals and key contracts such as PFI contracts to exemplify improved performance and best practice. <p>TARGET 2 Identify performance improvement opportunities. Corporately capturing & report on VFM benefits as a result of managing contracts.</p>

<p>11 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>	<p>AGS 11.1</p>	<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 <p>This has now been updated and replaces the item on the 2016/17 AGS tracker.</p>	<p>Mike Jackson</p>	<p>Ongoing</p>	<p>R</p>	<p>This has been identified as a recommended area of improvement following the LGA peer review and to prevent duplication will be monitored by Cabinet as part of the LGA improvement action plan.</p>
<p>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)</p>	<p>AGS 12.1</p>	<ol style="list-style-type: none"> 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. 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. 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. 4. A 360 feedback mechanism for senior leaders is being piloted in September 2018 5. Performance management will also be reviewed by HR committee and it is on their forward plan for 18/19. <p>This has now been updated and replaces the item on the 2016/17 AGS tracker.</p>	<p>Mike Jackson / CLB</p>	<p>Ongoing</p>	<p>A</p>	<p>This has been identified as a recommended area of improvement following the LGA peer review and to prevent duplication will be monitored by Cabinet as part of the LGA improvement action plan.</p>