

Each issue has been RAG rated both from an inherent risk and a residual risk prospective; CRR is the cross reference to the Corporate Risk Register, the key to the rating is as follows:

Red - Significant issue immediate action required to resolve
Amber - Remedial action has progressed well, but has not yet fully resolved the issue or the impact/benefits of actions have not yet been fully realised.
Green - Issue resolved, no longer considered a significant governance item
Key: Risk is increased Risk remains the same Risk is decreased

Item No	Governance issue, Responsible Officer (RO) and Status	Issues in 2015/16 and carried forward	Actions for 2016/17	Target Dates	Responsible Officer
1	Financial Governance: RO: Service Director - Finance (s151 Officer)/City Director				
(CRR 6)	The Council employs a Service Director: Finance to serve as s151 Officer, lead on financial planning and oversee delivery of a balanced budget. The finance team supports the s151 officer. The number of interim managers in finance and turnover in s 151 officer has been an issue for the Council for several years.	An Interim Service Director: Finance/s151 Officer and interim team have been in place since January 2016 to strengthen the finance service team. A Finance Service Improvement/Project Plan has been put in place to ensure the work of the finance team is focussed and directed. Progress against this plan is monitored by Finance Management Team (FMT) and reported to Audit Committee. The Council faces a significant budget reduction in 2016/17 and the election of a new Mayor means that new corporate plans and budgets need to be in place to deliver the new Mayor's Vision.	Complete Finance Restructure to fill all interim posts.	30 September 2016	Service Director: Finance/City Director (for S151 Officer Role)
	Current Rag Rating: Amber		The Mid Term Financial Strategy 2017/18-2019/20 to be fully updated to take account of latest Spending Reviews and revised Mayoral Vision, including identification of a revised baseline and future years detailed saving plans.	Ongoing to 28 February 2017	Service Director: Finance/City Director
	Previous Rag Rating: Amber		Implement upgrade of main financial system to incorporate HR and Payroll functions.	30 September 2016	Service Director: Finance/ Service Director: HR
	Direction of Travel: Issue increasing in severity due to ongoing reliance on interim staff and issues relating to HR-Payroll implementation.		Complete review of Council's financial regulations and issue.	31 October 2016	Service Director: Finance
			Complete implementation of Finance Improvement Programme/Project.	30 September 2016	Service Director: Finance
2	Partnership Governance: RO: Service Director: Policy, Strategy and Communications				
(CRR 3)	The Council operates in formal and informal partnership with many organisations to both plan and deliver services. Governance outside of strategic partnerships may not be robust which may result in the Council not achieving maximum benefits through partnership working.	The Council has mapped the partnerships it is currently involved with and developed an effective accountability framework for wider partnership working to clarify what each partner is expected to contribute and what the desired outcomes are. The Council is looking to extend its partnership working in 2016/17 as a means of developing alternative forms of delivery and developing community resilience. A Social Value Policy and Partnership Toolkit has been developed with close involvement of voluntary and business sector representatives. This is available online and now being implemented. A multi-sector advisory group is helping to monitor progress.	The mapping provides the opportunity to review the Council's membership of all partnerships; to ensure that resources are focused effectively and that there is a decision making route into the City Partnerships. This approach will also need to be extended to Joint Ventures. This work is complete and resources are being realigned as part of a wider restructuring.	30 September 2016	Service Director: Policy, Strategy and Communications
	Current Rag Rating: Amber		The Social Value Policy and Partnership Toolkit is now being implemented. A new and broader multi-sector advisory group has been established to inform and help monitor implementation. Work to identify measures that capture both financial and social value is underway and continuing making use of the Wellworth Tool.	30 September 2016	Service Director: Strategic Commissioning/ Service Director: Strategic Planning and Development
	Previous Rag Rating: Amber		A process for staff to follow before the Council can be committed to a new partnership is being drawn up. Proposal are in hand to use Nimbus and Al Fresco to enable and a timeframe for action will be established by August 2016.	31 August 2016	Service Director: Policy, Strategy and Communications
	Direction of Travel: Neutral - while work in this areas has continued, there remains a body of work to ensure the revised approach to partnerships is embedded and lessons are learned from recent matters arising.		Lessons to be learned from recent failure to set up a robust partnership arrangement.	Ongoing	Service Director: Policy, Strategy and Communications
3	Commercial Contract Management : RO: Service Director: Commissioning				
(CRR 8)	The Council commissions a large number of commercial contracts for goods and services. Inconsistent contract commissioning, management and monitoring mean that the Council has failed to achieve value for money and is unlikely to achieve it going forward.	There has been ongoing concern over inconsistency and a failure to use central services and processes to strengthen control. A review has been undertaken to draw on performance data/reports generated by the operational contract management teams to identify best practice, lessons learned and key risks and develop strategic supplier relationship with BCC key/high risk suppliers. A new tendering system has been put in place to enable consistent and diligent commissioning and monitoring of contracts. The Service Manager: Procurement post has been filled intermittently on an interim basis and this has hampered further development. Budgetary constraints in 2016/17 make it imperative that the Council obtains value for money from its commercial contracts.	A restructure of the Council's Procurement and Commissioning Service is currently underway, this need to be expediently completed along with recruitment to currently vacant posts or posts currently filled on an interim basis.	TBC	Procurement & Commercial Relations Manager.
	Current Rag Rating: Amber		Complete development of a model for strategic relationship contract management.	TBC	Service Director: Strategic Commissioning
	Previous Rag Rating: Amber		Instigate robust council-wide contract monitoring governance and guidelines, in order to ensure that value for money is achieved and poor contract arrangements are quickly identified and stopped before too much funding is expended.	TBC	Service Director: Strategic Commissioning
	Direction of Travel: Neutral. Not much improvement in this area at this time, however work is ongoing to ensure the service is more robust going forward.				
4	Organisational Knowledge/Capacity RO: Service Director: HR				
(CRR 2)	Due to restructuring and reductions in workforce there has been a loss of experience, skills and resource which may have a significant impact on the governance framework.	The Council has implemented an 'Applied Programme', supported by other Council wide work to address the impact of restructuring and ensure that the workforce has the right skills for the future. However a number of interims remain in senior management positions across the Council and further restructuring will occur in 2016/17. A 'People Panel' has operated to ensure the organisation structure remains affordable and that cost is only added back where service demand requires it. A new Workforce Planning approach enabled the analysis of the impact on recruitment and retention of the upturn in the local economy at the same time as further austerity measures were implemented. This informed a review of pay, reward and benefits particularly for senior 'hard-to-fill' roles which was reflected in the 2016/17 Pay Policy. The redesigned individual performance management framework was also implemented.	Complete 2016/17 restructure and fill all interim posts. Complete roll out of 'Applied Programme'.	30 September 2016	SLT/ Service Director: HR
	Current Rag Rating: Amber	Lots of work has been undertaken in this area, however there remain vacancies in both senior and statutory officer posts some of which are currently being filled by Interim appointments, this can lead to uncertainty and continually changing priorities within the services affected.	People Panel to continue to operate but also targeted action at 'hard to fill' posts.	Ongoing	SLT/ Service Director: HR
	Previous Rag Rating: Amber		Implement 2016/17 Pay Policy with emphasis on recruiting to 'hard to fill' roles, including statutory officers and undertake review of 'Bristol Grades'.	Ongoing	SLT/ Service Director: HR
	Direction of Travel: Neutral.				

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5	Traded Companies: RO: Strategic Director: People/ Strategic Director: Place				
CCR11	The Council has diversified into wholly owned trading companies in Energy and Waste. The aim of these companies is to provide cost effective and efficient services whilst at the same time making good use of the opportunities available to enterprises of this kind. There are potential conflicts of interest and an impact on the existing governance framework from delivering services in this way.	Bristol Waste and Bristol Energy companies are established as wholly owned delivery arm companies with Bristol Holding Ltd established as a holding company with Waste and Energy within it. A Code of Practice sets out governance arrangements for their operation and for the establishment of future companies. The Energy and Waste companies each have supporting business cases and business plans in place. A client function and a shareholder function have been established to exercise oversight. Audit arrangements and performance reporting arrangements are still being finalised.	Shareholder group to be reformed following May 2016 Council elections and independent members to be appointed at AGM.	31 July 2016	Service Director: Strategic Commissioning/ Service Director: HR
	Current Rag Rating: Amber		Commence further action required to recruit permanently to key roles including the MD of the Holding Company.	31 September 2016	MD of Holding Company/Service Director Strategic Commissioning
	Previous Rag Rating: Amber		Holding company audit and risk committee and external and internal audit arrangements to be confirmed together with relationship with Council audit committee.	Ongoing to 31 March 2017	MD of Holding Company/Service Director Strategic Commissioning
	Direction of Travel: Neutral. Key assurance arrangements remain outstanding. 		Reporting template to be finalised and implemented with reports to be made to SLT monthly, Shareholder Group quarterly and quarterly to Council audit committee	31 August 2016 and ongoing	MD of Holding Company/Service Director Strategic Commissioning
6	Delivering Democracy: RO: City Director				
(CRR10)	The 4 year cycle of elections for Mayor, all Councillors and Police and Crime Commissioner was completed May 2016. EU referendum held June 2016 and outcome has led to further electoral uncertainty. There is the possibility of an election for a regional Mayor depending on the outcome of the Devolution proposals in June 2016. If the Council fails to deliver the efficient administration of elections and the change in administration then its reputation will be significantly impacted.	The City Council elections were concluded satisfactorily; the outcome means a change in administration. The referendum was also concluded satisfactorily; however the outcome has resulted in uncertainty over future electoral activity. The pressure on the electoral team has been monitored during this period of intense activity and where necessary action taken.	The pressure on the electoral team is to continue to be monitored and action taken where necessary during the period of most intense activity.	Complete	Service Director: Legal and Democratic Services
	Current Rag Rating: Green		The size and role of the electoral team going forward needs to be agreed and a budget for 2016/17 to be confirmed.	Complete	Service Director: Legal and Democratic Services/ Service Director: Finance
	Previous Rag Rating: Amber				
	Direction of Travel: Decreasing 				
7	Devolution: RO: City Director				
(CRR9)	There is a major opportunity to work with neighbouring councils and the West of England Local Enterprise Partnership (LEP) to devolve significant powers, funding and responsibilities to the region. The move would represent a major change, bringing decisions on transport, investment, funding, skills training, business support, housing and strategic planning to the West of England and away from central government. An overarching combined authority would be created chaired by a directly elected mayor with control of a single investment fund. Determining and implementing these changes will potentially have a significant impact on the Council's Governance Framework.	The Council has reached agreement with 3 neighbouring councils and the LEP seeking to devolve significant powers, funding and responsibilities to the region. This agreement will go to all 4 councils and the LEP in June 2016 for consideration, who will then make a decision on how to proceed.	Proposals drafted and presented to 4 councils and LEP board in June 2016. Three of the four councils have voted in favour of the regional mayor. The impact on the governance framework within Bristol to be monitored going forward. Joint plan being developed with support from the Department for Communities and Local Government.	Ongoing	City Director/Service Director: Policy, Strategy and Communications
	Current Rag Rating: Amber		Weekly meetings with SLT and service directors to ensure that there is sufficient Bristol input and grip on the proposals being developed and negotiated.	Ongoing	City Director/Service Director: Policy, Strategy and Communications
	Previous Rag Rating: Not applicable as new risk		Weekly CEO meetings with Partnership counterparts and regular briefings to the LEP.	Ongoing	City Director/Service Director: Policy, Strategy and Communications
	Direction of Travel: Not applicable as new risk		Regular reports are presented to Strategic Leaders Board and West of England Joint Scrutiny.	Ongoing	City Director/Service Director: Policy, Strategy and Communications
			A governance structure for a combined authority will be created later in 2016. Powers from Government will be devolved to a West of England Mayor, who would be elected in May 2017. Councils will need to determine what, if any, powers they would devolve to the combined authority.	May 2017	City Director/Service Director: Policy, Strategy and Communications
8	MetroBus: RO: Strategic Director: Place				
(CCR4)	MetroBus is a joint project between the Council, North Somerset Council and South Gloucestershire Council to put in place a high capacity, rapid public transport across urban areas. It requires significant development of the road infrastructure and is very high profile. As a joint project across Councils different governance arrangements are in place. Delays to delivery, increases in cost and disruption to the transport network cause significant reputational damage and a potential risk to future working with other local authorities.	At its April 2016 meeting the Audit Committee expressed concern over MetroBus governance following comments received from citizens and press coverage.	A report on MetroBus governance will be presented to the Audit Committee in November 2016.	31 October 2016	Strategic Director: Place
	Current Rag Rating: Amber				
	Previous Rag Rating: Not applicable as new risk				
	Direction of Travel: Not applicable as new risk				
9	Control of Council Assets - RO: Strategic Director - Place				
	Public concerns have been raised with regards to the control and treatment of Council Assets. In particular, the governance surrounding asset disposal.	Internal Audit review undertaken into the application of good governance in a recent asset disposal, only partial assurance was given.	Internal Audit to work with senior management to resolve the situation and ensure implementation of a robust governance framework	September 2016	Service Director: Property/Chief Internal Auditor
	Current Rag Rating: Amber		Further Internal Audit Reviews to be completed with regard to asset management.	March 2017	Service Director: Property/Chief Internal Auditor
	Previous Rag Rating: Not applicable as new risk				
	Direction of Travel: Not applicable as new risk				