

Gloucester City Council's Progress on 2015/16 Governance Improvement Actions

AGS 2015/16 review reference	Action	Position as at December 2016
Local Code of Corporate Governance Core Principle 1	<p>Governance in working with others: The Council is required to focus on the purpose of the authority and on outcomes for our customers and stakeholders and creating and implementing a vision for the local area.</p> <p>The Council has joined with ten of our public sector partners to have one conversation with government about how through devolution we can achieve better outcomes and reduced costs.</p> <p>Action: The devolution bid, if successful, includes a commitment to a new governance arrangement. This is a statutory process and will be led by the Managing Director. The process will include consultation and engagement with the organisations involved and other stakeholders.</p> <p>Target date: To be determined - depending upon outcome of bid.</p>	<p>Devolution bid outcome still to be determined.</p> <p>Action to remain within the Annual Governance Statement Improvement Plan.</p>
Revised CIPFA Guidance on Delivering Good Governance 2016	<p>CIPFA - Delivering Good Governance in Local Government : Framework (2016 Edition): The Council currently prepares and publishes an Annual Governance Statement in accordance with the CIPFA Delivering Good Governance in Local Government 2007 (Addendum 2012).</p>	<p>The Council's revised Local Code of Corporate Governance, Annual Governance Statement and the associated assurance framework is currently being developed by the Chief Internal Auditor, which is in accordance with the principles contained within the CIPFA guidance i.e. Delivering Good Governance in Local Government 2016 Edition.</p>

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	<p>This guidance/framework has been refreshed and defines the principles that should underpin the governance arrangements of the Council and applies to the annual governance statements prepared for the financial year 2016/17 onwards.</p> <p>Action: The Chief Internal Auditor to test the Council's governance arrangements and be able to demonstrate that its governance structures comply with the core and sub principles contained within the revised framework. To then develop and maintain, on behalf of the Council, a local code of governance / governance arrangements reflecting the principles set out.</p> <p>Target date: 31st March 2017</p>	<p>The revised governance assurance framework will apply to the Annual Governance Statement 2016/2017.</p>
Local Code of Corporate Governance Core Principle 3	<p>Anti-Fraud and Corruption Strategy: The Council is required to promote values for the authority and demonstrate the values of good governance through upholding high standards of conduct and behaviour.</p> <p>The Fighting Fraud and Corruption Locally 2016–2019 strategy has been developed by local authorities and counter fraud experts and supported by the CIPFA Counter Fraud Centre.</p> <p>It is the definitive guide for council leaders, chief executives, finance directors and all those with governance responsibilities.</p>	<p>A self assessment against the new counter fraud guidance has been undertaken by the Chief Internal Auditor, which has resulted in a refreshed Anti Fraud and Corruption Policy Statement and Strategy, Anti Bribery Policy, Anti Money Laundering Policy 2017 – 2019 and Confidential Reporting Procedure (Whistleblowing).</p> <p>Following Senior Management Team approval, the revised policies will be presented to the Audit and Governance Committee on the 23rd January 2017 and subsequently to Cabinet for formal approval.</p>

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	<p>The strategy includes practical steps for fighting fraud, shares best practice and brings clarity to the changing anti-fraud and corruption landscape.</p> <p>Action: During 2016/17 the Chief Internal Auditor will undertake a self-assessment against the new guidance to measure the Council's counter fraud and corruption culture and response and propose enhancements as required.</p> <p>Target date: 31st March 2017</p>	
Annual Governance Statement para 4.4	<p>Corporate performance management: The Council Plan details the priorities and strategic objectives of the local authority. Performance review and management against the Corporate Plan is needed to ensure internal and external (e.g. stakeholder) awareness and understanding of the Council's progress against the objectives and further action required.</p> <p>Action: The Corporate Director (Partnerships) will undertake a review of the Council's corporate performance management approach, to ensure that they reflect the needs and the structure of the organisation.</p> <p>Target date: 30th September 2016</p>	<p>Review is in progress of the Council's corporate performance arrangements, with the objective to embed a 'golden thread' from corporate objectives through to individual accountability so that Members and staff can see a clear link between their work and what the Council is trying to achieve. The Council intends to embed a culture of performance management throughout the organisation, including the embedding of risk management.</p> <p>Purchase of a performance management system is being considered, for implementation and delivery for 2017/18.</p>

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Annual Governance Statement para 7.5	<p>Risk Management Strategy and approach: Risk management is a core part of the Council's corporate governance framework and internal control environment. It is one of the six core principles within the Council's Code of Governance (part of the Council Constitution) – 'taking informed and transparent decisions which are subject to effective scrutiny and managing risk'.</p> <p>The Council's Risk Management Strategy should reaffirm and improve effective risk management in the Council, comply with good practice and in doing so, effectively manage potential opportunities and threats to the organisation achieving its objectives. The Strategy should also support the consideration and auctioning of risk management within Council partnerships and contracts.</p> <p>Action: The Chief Internal Auditor will review the Council's risk management arrangements (including the Risk Management Strategy) against the latest ISO 31000 risk management standard. The review findings will be reported to Audit and Governance Committee and will inform future risk management development at the Council.</p> <p>Target date: 31st March 2017</p>	<p><u>Risk management arrangements:</u></p> <p>Self assessment of the Council's risk management arrangements has been completed against the latest ISO 31000 risk management standard. An update and action plan will be presented to Audit and Governance Committee on the 23rd January 2017.</p> <p><u>Risk Management Strategy:</u></p> <p>The update of the Council's Risk Management Policy Statement and Strategy has been led by the Chief Internal Auditor, in consultation with the Senior Management Team. The updated Risk Management Policy Statement and Strategy will be presented to the Audit and Governance Committee on the 23rd January 2017 and subsequently to Cabinet for formal approval.</p>

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Annual Governance Statement para 8.1	<p>Workforce and Organisational Development Strategy: Key element for development of the capacity and capability of officers to be effective. A Strategy will mitigate the risk of a lack of competence, probity and professionalism within the authority leading to diminished performance, inappropriate behaviour, and failure to comply with governance arrangements.</p> <p>Action: HR Business Partner and Managing Director to draft the Council Workforce and Organisational Development Strategy. Draft document to be reviewed by Senior Management Team prior to formal approval process and roll out.</p> <p>Target date: 1st September 2017</p>	<p>Workforce and Organisational Development Strategy actions have been progressed to provide the Council with clear organisational values and a set of supporting staff behaviours. Work is continuing to embed these within organisational processes e.g. appraisals.</p> <p>Access to management and staff development has and continues to be achieved through access to Brilliant Basics training modules and the Aspiring Leaders Network and the Council has successfully recruited seven apprentices as part of its annual Apprenticeship Programme. Due to the current organisational redesign, the formal Strategy implementation target date has been extended to 1st September 2017.</p>
Annual Governance Statement para 16.7	<p>Manager Assurance Statements: Governance areas for development and improvement within 2016/17 identified by the Managers Assurance Statements should be considered for further action by the Council.</p> <p>Areas identified within the Manager Assurance Statements 2015/16 but not included within the preceding identified 2015/16 Governance Improvement Actions Plan actions :</p>	<p><u>Business continuity management:</u></p> <p>The Audit and Governance Committee approved Risk Based Internal Audit Plan 2016/17 included an IT Disaster Recovery and Business Continuity internal audit.</p> <p>The internal audit has been deferred for consideration within the 2017/18, due to an in-house review of the area within 2016/17 led by Council senior management. The in-house review is due to include both IT and operational themes.</p>

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	<ul style="list-style-type: none"> • Business Continuity Management; and • Sustainable development – climate change, environmental risk. <p>Action: Senior Management Team to consider the Business Continuity Management and sustainable development themes raised within the 2015/16 Managers Assurance Statements, and identify appropriate actions (with timescales) to aid improvement of the Council's governance arrangements.</p> <p>Target date: 31st March 2017</p>	<p><u>Sustainable development:</u></p> <p>The updated Council Risk Management Policy Statement and Strategy and associated toolkits to support the application of risk management principles, includes sustainable development risk themes, for officer consideration when assessing the potential risks and opportunities present in delivery of the Council's objectives.</p>