

# Finance & Resources

## Directorate Plan Progress Report: Q1 2020/21

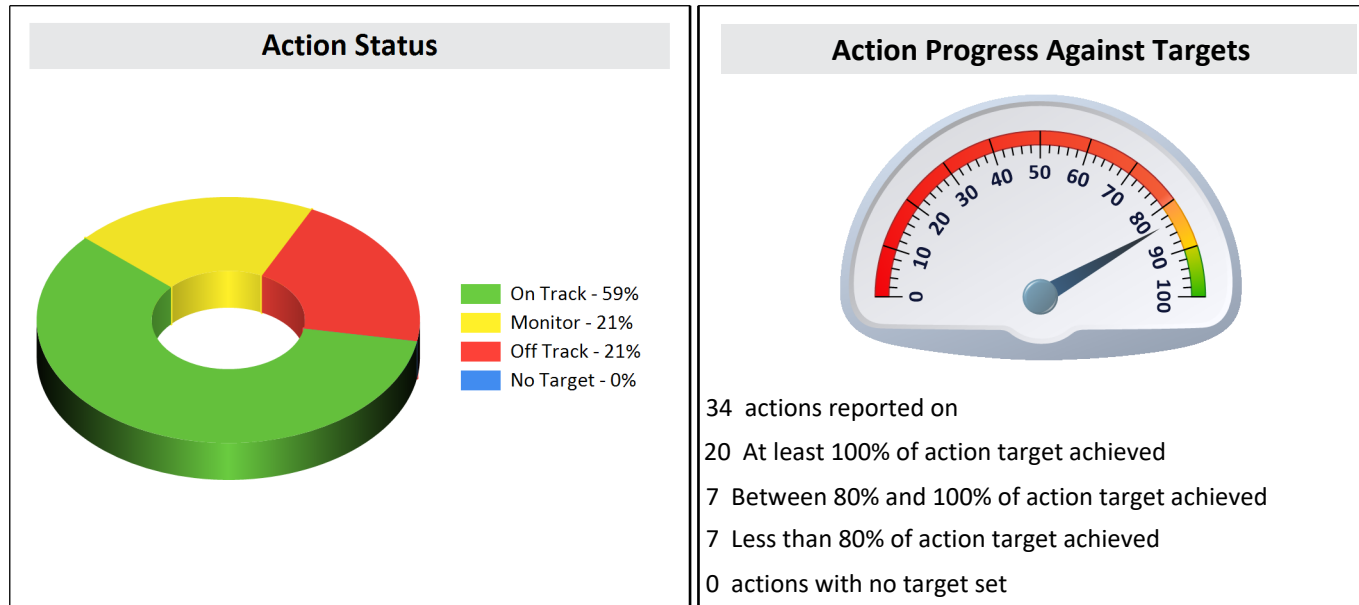
Brighton & Hove City Council

489



*Print Date: 04-Sep-2020*

# OVERVIEW



490

## ACTION PLANS



GREEN

At least 100% of action target achieved



AMBER

Between 80% and 100% of action target achieved



RED

Less than 80% of action target achieved



No target set

\* Dates have been revised from the Original dates

### 1 Directorate plans

#### 1.3 Finance & Resources Directorate

##### 1.3.1 Design and embed a new Welfare Framework, aligning with the Corporate Income & Debt Programme.

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.1.1 Directorate Modernisation Programme: Continue to mitigate for welfare reforms and universal credit on an operational level including implementation of a Welfare Framework redesign. (CP 1.1.11, CP 3.3.1)	Graham Bourne - Head of Revenues & Benefits	In Progress	01-Apr-2020	31-Mar-2021	20.00%	25.00%	AMBER

**ACTION PROGRESS COMMENTS:**

Progress to date:

Covid-19 has delayed the formation of the Welfare Board. However, the Welfare Support and Financial Assistance workstream has been developing the same themes, with membership from different services, the DWP and the Advice Matters and Moneyworks partnerships.

The LGA project work is also delayed, but we have continued working with them on a Demand Dashboard showing some of the key indicators for impact of Covid-19 in relation to hardship and welfare.

The WSFA workstream has now identified a set of questions for more indepth data analysis to inform prevention and intervention work, and we are working with the Covid19 data cell, alongside Revenues and Benefits analysts to take this work forward.

Debt has emerged as a key concern of the workstream, particularly in regard to a possible “perfect storm” of rent arrears, personal debt and council tax arrears. This links to 1.3.1.3

Next steps:

The aim for the second half of 2020-21 is to expand the membership of the Welfare Support and Financial Assistance workstream, in terms of bringing in more services where hardship and vulnerability present, strengthen our links then position it so that it can converge with the Welfare Board once that is set up.

Develop welfare response during recovery phase .  
 Report to Committee on proposals for £320k Defra grant for emergency food/hardship provision. 9 September 2020  
 Develop bids / apply for 1) DWP partnership funding and 2) Sussex Health and Care Partnership joint working funding in relation to debt advice and mentoring provision. August 2020  
 Temporarily restructure services to adapt to demand. October 2020  
 Propose new path to forming the Welfare Board to oversee future developments October 2020

Measures of success:

Financial impact on the council (Feb 2021), eg Council Tax collection rates, Housing Rent Arrears where linked to Universal Credit, and increased benefit entitlement.

Measure numbers of customers assisted by Welfare Reform, Welfare Rights and Discretionary Help and Advice Teams, and outcomes where available.


Welfare Framework redesign

Report progress to a new Welfare Framework board commencing July 2020.

Report back on local policy interpretation of LGA-led demand analysis in December 2020.

New Welfare Framework agreed by the board and members and put in place (February 2021).

Last Updated: 11-Aug-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.1.2 Investigate and recommend a design for Council Tax Reduction (CTR) that makes the scheme simpler and addresses incompatibilities with the universal credit model and the consequent impact on collection.	Graham Bourne - Head of Revenues & Benefits	In Progress	01-Apr-2020	31-Mar-2021	2.00%	25.00%	 RED

**ACTION PROGRESS COMMENTS:**

Progress to date:

Due to uncertainty around the economic impact of Covid-19, it would now carry a high risk to introduce an entirely different council tax scheme . Our development time for looking at feasibility coincided with the initial Covid-19 lockdown and emergency response, so we have not been able to apply resources. A simplified banding scheme would result in winners and losers and without detailed analysis, we could not guarantee how that will interact with all the other economic and health pressures facing families.

Next steps:


We will still aim to bring some housekeeping proposals – for example we are currently examining whether it is possible to dispense with the requirement for a full application form, in cases where a passported benefit is in payment.

We also intend to build in some take up work in the autumn, in line with a previous P&R report, to ensure that CTR is maximised.

Measures of success:

Proposals to be put to administration in September 2020.  
 Public Consultation to be carried out July 2020 – September 2020.  
 Report to P&R (if required) and Full Council in December 2020  
 Implemented in Annual Billing process March 2021, to take effect from 1 April 2021.  
 No negative impact on collection rates or customer service metrics

Last Updated: 11-Aug-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.1.3 Corporate Modernisation - Ensure Welfare Framework is aligned with and supports the best practice outlined in the Corporate Debt Policy and the activities in the Corporate and Debt Programme	Graham Bourne - Head of Revenues & Benefits	In Progress	01-Apr-2020	31-Mar-2021	10.00%	25.00%	 RED

**ACTION PROGRESS COMMENTS:**

Progress to date:

The key concern emerging from the Welfare Support and Financial Assistance workstream is debt. We are currently developing two separate funding bids in order to increase capacity around debt support within the local authority, jointly working with a) DWP and b) Sussex Health and Care Partnership (particularly in relation to mental health).

We have an analyst from the Corporate Debt team on the WSFA workstream, and in turn this is linked in with the Covid19 data and analysis cell.

We are about to pilot a new MAPS debt advice referral service, which is a national initiative, which should sit alongside our existing referral routes into the voluntary sector

We are increasing awareness of "Breathing Space" across services and in the voluntary sector, a new statutory framework for pausing debt collection, whilst the debtor receives accredited debt advice, due to be introduced in May 2021.

Next steps:

Report back to senior management on proposals for recovery phase (Head of Revenues and Benefits) September 2020

Measures of success:



Training programme for debt collection hubs rolled out from March 2020.

Aim for best practice in relation to financial vulnerability to be applied by all debt collecting hubs by March 2021.

Welfare framework development and LGA compilation of best practice to inform future phase of improvement.

Corporate Debt Board to review programme in September 2020 and report to Welfare Framework Board

Last Updated: 11-Aug-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.1.4 Provide support and advice for private renters including support for groups impacted by welfare changes including disabled people and those at risk of eviction. (CP 1.3.7)	Graham Bourne - Head of Revenues & Benefits	In Progress	01-Apr-2020	31-Mar-2021	15.00%	25.00%	 RED
<p><b>ACTION PROGRESS COMMENTS:</b></p> <p>Progress to date: This work has been postponed due to COVID 19 though some of the progressions made in forming the lockdown response ( see 1.3.1.1) will provide a starting point. In response to the pandemic the government has increased base Housing Benefits and Universal Credit rates which will provided some mitigation to rent pressures in2020/21. However overall debt pressures are expected to manifest in rent arrears pressures later in the year.</p> <p>Next steps: Consider in recovery plan and report to senior management (Head of Revenues and Benefits) September 2020</p> <p>Measures of success: Co-create and develop response and support with Housing and report on options to the Welfare Framework redesign by October 2020. Embed preferred option by December 2020.</p> <p>Last Updated: 11-Aug-2020</p>							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.1.5 Use city's spending power to procure local services for the benefit of our communities by buying goods and services locally where possible, changing the way we outsource services to help small local suppliers win council contracts and bringing services in house if it will increase social value and improve the development and retention of a highly skilled council workforce. (CP 2.1.2, CP 2.1.4, CP 2.1.5, CP 2.1.6)	Clifford Youngman - Procurement Strategy Manager	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	 GREEN
<p><b>ACTION PROGRESS COMMENTS:</b></p>							

## Progress to date:

A Procurement Service plan has been developed. A major part of this is how we weave Community Wealth Building and Social Value in to our tender processes. This will provide a focus on increasing our local spend ratio.

The insourcing of the Housing Maintenance contract will additionally lead to an increased spend with local contractors.

## Next steps:

Determine the effect of the insourcing project on local spend

Work with Orbis leads on Developing a Procurement Strategy

## Measures of success:


Lobbying for Public Contract Regulations (PCR) and other regulatory post-EU changes provided through consultation responses.

Options developed with Policy Team and reported as appropriate (PAB, P&R).

Policy embedded in revised Corporate Procurement Strategy by Oct2020.

Last Updated: 17-Jul-2020

### 1.3.2 Create balanced 4 year Medium Term Financial Strategy including managing the impact of a Pay Review.

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.2.1 Maximising the financial integrity and sustainability of the organisation to minimise unplanned adverse impacts of financial pressures on organisational capacity, services and citizens through Medium Term Financial Planning and a 5- year Capital Strategy.	Nigel Manvell - Deputy Chief Finance Officer	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	 GREEN

**ACTION PROGRESS COMMENTS:**

## Progress to date:

Covid-19 Financial Update reports provided to Policy & Resources Committee in March, April, May and July.

The July report identified potential scenarios for the in-year financial situation and the 2021/22 position, identifying a 'moderate view' deficit in 2020/21 of £27.5m, and a budget gap in 2021/22 of £17.3m.

Two options for members identified to address the 2020/21 deficit: Emergency Budget or Financial Smoothing. Options for mitigating Covid-19 impacts and improving the in-year position are now being developed by directorates.

'Sense of Scale' guidelines provided to ELT to begin the planning process for addressing the 2021/22 budget gap.

TBM Provisional Outturn (2019/20) and TBM Month 2 (2020/21) provide detailed tracking of Covid-19 impacts as well as impacts on savings programmes, income and taxation sources.

## Next steps:

Analysis of government funding announcement (2 July) to be undertaken when guidelines received. Anticipated funding expected to be around £17.5m (DCFO, August 2020). Reporting back to October P&R Committee with in-year options for addressing the projected deficit (CFO, 8 Oct P&R).

Meetings with new Green Administration (including joint finance leads) to be set up to agree engagement and involvement in the development of 2020/21 and 2021/22 options (CFO, August 2020).

Support to be provided to additional external audit testing in relation to identification of Covid-19 risks and impacts in the financial statements (CFO, October 2020).

Ongoing support to be provided for lobbying strategies through ministers, the LGA, MHCLG data returns, the SE7 group and treasurer societies (CFO, Ongoing).

3-year 2020 Comprehensive Spending Review announced and expected in the Autumn – analysis and consultation response to be developed and approved (DCFO, Autumn 2020).

Measures of success:

Forward Planning:

Assumptions communicated with lead members (May 2020 through to November 2020) including reporting to July P&R.

Scenario plans agreed by ELT and Policy Chairs Board to ensure that budget-setting process has clear targets and guidelines for development of the 2021/22 budget.

MTFS updated for next Comprehensive Spending Review (CSR) expected Autumn 2020 for 2021/22 budget round.

Council and CCG MTFS's shared and aligned by February 2021 including CSR impact.

Options for addressing any identified Budget Gap in 2021/22 considered and approved by P&R and Budget Council.

In-Year Performance & Risks:


Targeted Budget Management (TBM) on target at Executive Leadership Team (ELT) level including compliance with TBM Framework (e.g. Financial Recovery Plans (FRPs) in place) and identified corporate mitigations where required.

Savings across all directorates monitored and reported ('Public' TBMs – June (Outturn), July, October, November/December 2020, February 2021).

Unqualified external auditor opinion, including Value for Money (VfM). (External Auditor Annual Results Report including opinion on arrangements to secure economy, efficiency and effectiveness in the use of resources - report published in Nov 2020 for 2019/20.)

Preferred option/s for managing the in-year deficit considered and agreed by P&R Committee.

Last Updated: 27-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.2.2 Ensure financial risks that arise from policy and service developments are managed and mitigated appropriately and within available resources	Nigel Manvell - Deputy Chief Finance Officer	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	 GREEN

**ACTION PROGRESS COMMENTS:**

Progress to date:

Corporate Plan commitments and priorities costed and quantified in financial terms as far as practicable and reflected in the MTFS.

'Live Issues Tracker' updated weekly and reported to ELT and Members, including identification of related financial implications or potential financial risks wherever possible.

'Critical Path Analysis' and Committee Work Programme are maintained and identify key policy issues for committee consideration and ensures early engagement of finance and other business partners.

Major Corporate Plan commitments have been embedded in Directorate Business Plans and related Service Plans which are also shared with resources functions to ensure appropriate



Strategic Business Partner support for the development of policy and service delivery options.

Strategic Business Partner approach developed ensuring that key business partners from Finance, HR, Procurement, IT&D and CPMO are engaged with DMT's and involved at the early stages of policy development and service delivery options.

Next steps:

Live Issues Tracker regularly reviewed by resources functions (CFO, AD HROD).

Ongoing Strategic Business Partner support to be provided for delivery of Directorate Business Plans by resources functions and CPMO through DMT, ELT and CMDB engagement (CFO, MO).

Policy Team to maintain the Critical Path and ensure directorates set out clear timelines for development and approval of policies and service delivery options.

Measures of success:

Financial strategy (MTFS) in place and reflects financial implications of the Corporate Plan commitments and priorities (February 2021).


Reporting on financial performance to H&SC Partnership Board or equivalent.

Fully funded 5 Year Capital Strategy in place and maintained including Modernisation Resources.

Reporting and updates to Corporate Investment Board, Strategic Delivery Board and GBEB.

In-year financial risks arising from policy changes identified and reported to ELT, Leader's Briefing, Policy Chairs Board and, where required, Policy & Resources Committee.

Last Updated: 27-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.2.3 Defined accountability across the directorate to ensure timely and effective budget management including the delivery of spend to save proposals including any income generation targets.	Nigel Manvell - Deputy Chief Finance Officer	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	 GREEN

**ACTION PROGRESS COMMENTS:**

Progress to date:

Targets set and allocated to MOBO budgets, in particular, Revenues & Benefits.

Orbis targets agreed, allocated and monitored by Orbis Leadership Team.

TBM reports submitted to Orbis Customer Board (OCB) and Orbis Leadership Team (OLT) monthly including monitoring of savings programmes.

Next steps:

OCB to engage with corporate processes for mitigation of 2020/21 deficit and development of 2021/22 budget proposals (CFO, HROD).

Discussions with OLT to be held to consider sovereign partners' 2021/22 savings requirements and develop options and proposals (CFO).

Measures of success:


Expenditure within agreed tolerance of demand-led/income dependent budget. Delivery of savings proposals.

Summary of RAG ratings of corporate and directorate modernisation projects/programmes linked to the directorate.

Orbis net expenditure within budget including joint delivery of savings proposals (March 2021).

MOBO (sovereign) budgets and savings delivered on target.

Last Updated: 27-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.2.4 Lead the Pay Review process, managing risks on behalf of the council, and designing a long-term sustainable pay structure for the council: recognise and reward great work. (CP 7.6.6)	Alison McManamon - Head of Human Resources & Organisational Development	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	

**ACTION PROGRESS COMMENTS:**

Progress to date:

Review of pay line complete to understand issues related to recruitment and retention

Non-pay improvements to the reward system identified to address retention issues (such as rental deposit loans and purchase of annual leave scheme).

Next steps:

Discussions with members on pay matters as part of the 21/22 budget setting process


Measures of success:

Ongoing monitoring of labour market, recruitment &amp; retention and impact of market supplements, develop proposals and options to present to ELT, Policy Chairs and if necessary, P&amp;R Committee (Mar 2021).

Impact of pay review built into MTFs and budget for 2021/22.

Maintain an equal pay compliant pay structure.

Last Updated: 23-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.2.5 Lead the assurance process on long-term capital funding management to ensure that the planned investment is financially sustainable.	Nigel Manvell - Deputy Chief Finance Officer	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	

**ACTION PROGRESS COMMENTS:**

Progress to date:

Corporate Plan commitments and priorities reflected in the Capital Programme as far as practicable and known.

Ongoing development of Housing investment programmes provided with member oversight through the Estate Regeneration Board reflected in the HRA Capital Programme.

The Asset Management Board provides oversight of capital receipt and commercial portfolio strategies which underpin funding of the capital programme, including housing investment. Regeneration programmes provided with oversight by the Corporate Investment Board, Strategic Delivery Board and GBEB. Long term programme outcomes monitored through Corporate Plan delivery tracking.  
Next steps:


Measures of success:

Fully funded 5-year Capital Strategy and investment programme in place (February 2021).

Reporting and updates provided to Corporate Investment Board, Strategic Delivery Board, GBEB and P&R.

Last Updated: 27-Jul-2020

### 1.3.3 Support the council's modernisation programme.

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET %	ON TARGET %
1.3.3.1 Drive the Directorate Modernisation Board to seek the most effective and efficient way of delivering our services and be well placed to take advantage of social, cultural, environmental and technological change. (CP 7.4.1)	Nigel Manvell - Deputy Chief Finance Officer	In Progress	01-Apr-2020	31-Mar-2021	20.00%	25.00%	 AMBER

#### ACTION PROGRESS COMMENTS:

Progress to date:

Implementation of a New Welfare Framework: Initial planning and research undertaken and findings presented to the Hardship Cell in June 2020.

Digital Customer: Many develops undertaken within very short timescales to assist services in responding to the Covid crisis. Developments including MyAccount for Business Grants, application forms for the Community Hub and many others now in place.

Digital Organisation Programme (DOP): Infrastructure developments continued in terms of supporting the response to the Covid crisis but have inevitably been delayed. Restarting of programmes due to commence shortly.

People Promise: Ongoing actions being delivered although some development activities have been interrupted. Black Lives Matters and Anti-Racism Strategy to be embedded in the People Promise plan.

Corporate Debt: Programme largely on hold due to suspension of debt recovery activity.

Next steps:

Appointment of Welfare Board lead awaited pending Chief Officer restructure outcome.

Debt recovery activity due to restart in July with a considered and supportive approach. Communications and revised standard letters to be agreed.


Measures of success:

Effective implementation of Orbis and F&R Directorate modernisation and service plans including achievement of savings.

Services benchmarked for VfM, and unit costs developed and understood in accordance with the Enterprise Strategy approach.

New Welfare Framework agreed by the board and members and put in place (February 2021).

Last Updated: 03-Sep-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET %	ON TARGET %
1.3.3.2 Deliver the actions of the Health and Safety Strategic Action Plan, and the outcomes from investigation activity carried out by HSE. (CP 4.2.8)	Janice Percy - Head of Health and Safety	In Progress	01-Apr-2020	31-Mar-2021	20.00%	25.00%	 <b>AMBER</b>

**ACTION PROGRESS COMMENTS:**

Progress to date:

During Q1 there was a national lockdown in response to the Coronavirus, this shifted the focus of the Health, Safety & Wellbeing team resourcing which was reprioritised to supporting the Council's response to this national emergency.

Activities prioritised in Q1:

Team resourcing was refocused based on risk prioritisation to supporting the immediate emergency response and undertaking activities tasked from various work cells. This included targeting resourcing and support to:

- Involvement in establishing health and safety systems, procedures and guidance to support services across all directorates to reconfigure their operational delivery models in response to evolving government legislation
- Developing a risk assessment framework and guidance as part of a wider toolkit for managers to enable their planning for Covid secure workplaces
- Supporting the Personal Protective Equipment (PPE) cell to mobilise, procure and establish systems for distribution of PPE across the city
- Supporting the council's work on establishing procedures in the city for Coronavirus testing
- Supporting schools to remain open to support children of key workers
- Undertaking desktop audits on risk assessments for schools and operational services to advise on their Covid secure workplace arrangements

Next steps:

1. Review the strategic action plan and timescales for action to update on action and ensure focus of actions and timescales for delivery remain relevant, (Action Lead: Interim Head of Health & Safety, September 20)
2. Include reference to the Covid -19 renewal and recovery programme actions in the strategic action plan, (Action Lead: Interim Head of Health & Safety, September 20)
3. Work with the Chair of the Health & Safety Assurance Group to review the terms of reference, including membership, resourcing requirements and frequency of meetings (Action Lead: Interim Head of Health & Safety, October 20)


Measures of success:

- Appropriate allocation of resources to ensure the plan can be delivered;
- Assurance Group Meetings held to ensure direction and oversight of the actions;
- Completion of all actions within the plan as per the deadlines stated (see dates in Strategic Action Plan);

Completion of the work at height assurance activity that is underway as per the action stated in the Strategic Action Plan;  
Inclusion of any additional activity related to the HSE investigation in the Strategic Action Plan;  
Appropriate allocation of resources to respond to any further activity that arises from the HSE's investigation.

Last Updated: 24-Jul-2020

#### 1.3.4 Deliver corporate services that meet customer requirements (internal and external).

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.4.1 Directorate delivery of excellent customer services as per council's Customer Experience Strategy	Alison McManamon - Head of Human Resources & Organisational Development	In Progress	01-Apr-2020	31-Mar-2021	20.00%	25.00%	 AMBER

#### ACTION PROGRESS COMMENTS:

Progress to date:

Stage 1 complaints in Finance and Resources have decreased since April to June 2019/20. The majority of these were in Revenues and Benefits. There has been a total of 26 in quarter 1 20/21 compared with 36 for the same period last year. The average response time for replying was 8.6 days, with 65.3% answered within 10 days and 92% within 20 days. There were 3 Stage 2 complaints in quarter 1 compared with 0 for the same period in 2019/20. None of these were upheld but in all cases the customer has expressed that they will escalate these complaints. There have been no Local Government Ombudsman complaints compared with none in quarter 1 2019/20. Although it is worth noting that the Ombudsman was not accepting complaints for a portion of that time. In quarter 1 2020/21 there were 9 compliments compared to 9 for quarter 1 2019/20.

FR Internal Customer Satisfaction and Ease of Access Survey results for 2017/18 (the next survey is due):

- Very good and good standard of customer service received overall was 72% and in services: (2016/17 value in brackets where applicable):

Business operation 80%, Digital First 57%, Finance 87% (87%), H&S 8% (87%), Human Resources: Business Partnering, Advisory Services, Policy Support 66% (Human Resources 69%), Information Technology and Digital 58% (75%), Internal Audit 85% (88%), Organisational and Workforce Development 75% (88%), Procurement 68% (80%).

- Very easy and fairly easy to access overall was 70% and in services:

Business operation 74%, Digital First 59%, Finance 89% (88%), H&S 83% (90%), Human Resources: Business Partnering, Advisory Services, Policy Support 65% (Human Resources 71%), Information Technology and Digital 40% (72%), Internal Audit 85% (92%), Organisational and Workforce Development 73% (86%), Procurement 63% (85%)

Next steps:


Embed agreed measures following Customer Ambassador presentation to the Orbis Customer Board - need to monitor 'top3' in each service on a quarterly basis.

Measures of success:

Customer satisfaction and ease of access (survey).

Customer Insight Dashboard (complaints, compliments, response times and learning areas) Reduction in number of complaints, increase in compliments received and improved response times.

Last Updated: 06-Aug-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.4.2 Develop a helpdesk within Business Operations using Cherwell.	Jane Strudwick - Head of Corporate Financial Services	Not Started	01-Apr-2020	31-Mar-2021	0.00%	25.00%	 RED

**ACTION PROGRESS COMMENTS:**

Progress to date: The Cherwell system used by IT&D has some issues with performance and the go-live with the PPM (project module) so it is not advised for Business Operations to move ahead with the product at this stage. The Orbis programme team are working with Business Operations to look at options, but it would seem unlikely that we will be able to deliver a helpdesk to BHCC in the timescales.


Next steps: Continue to work with the Orbis programme team to look at options

Measures of success:

Services to be onboarded, identified and agreed (Jul 20).

Proof of concept in IT&D (Apr 20). Improvement in 2019 staff survey i.e. Increased customer satisfaction on 2018 result of 72% (customer feedback report).

Last Updated: 20-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.4.3 The BHCC Orbis Lead to represent the council as a strategic customer of the Orbis partnership to ensure that council officers and customers receive excellent corporate services.	Nigel Manvell - Deputy Chief Finance Officer	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	 GREEN

**ACTION PROGRESS COMMENTS:**

Progress to date:


Acting CFO appointed as Orbis Lead and attends OLT and JMB.

Key performance metrics agreed and monitored. Reported quarterly to OLT and Orbis Joint Committee.

Local customer insight data monitored by Orbis Services and live issues and feedback provided to OLT for consideration of responses and improvements.

Next steps:

Ongoing customer insight monitoring.  
 Measures of success:  
 Orbis-wide savings of £1.555m delivered including local target of £0.477m.  
 New Orbis service delivery 'blueprint' agreed by Summer 2020.  
 Orbis customer service monitoring is via local customer insight data.  
 New 3-year IAA in place April 2020.  
 Last Updated: 27-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.4.4 Ensure a robust, compliant and cost-effective Information Rights case handling framework in place to enable it to meet its legal obligations, including timescales under the General Data Protection Regulation, Data Protection Act 2018, Freedom of Information Act 2000 and associated legislation.	Dan Snowdon - Head of Strategy & Engagement	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	

**ACTION PROGRESS COMMENTS:**

Progress to date:

A robust, compliant and cost-effective Information Rights case handling framework is in place. The additional SARs Officer resource has made a significant reduction in the SARs backlog. Compliance with FOI requests has dipped further during covid-19 and needs significant improvement.

Next steps:

Continue to shrink the backlog of Children's Services Social Work SARs in alignment with expectations set with the ICO thereby moving BHCC out of ICO special measures. (31st Oct 2020. Records Manager, IT&D)


FOI Guidance and reporting are under review with a view to improving officer compliance (Dec. 2020. Records Manager, IT&D)

Measures of success:


Compliance with Information Commissioner expectations in relation to FOI and SAR cases.

Last Updated: 19-Aug-2020

**1.3.5 Continue to modernise and improve the offer from IT & Digital including with respect to external customers.**

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
<p>1.3.5.1 Corporate Modernisation Programme - Digital Customer: Enable the successful delivery of digital improvement projects and programmes through the co-design and co-delivery of underpinning technologies, platforms and services in IT&amp;D including:</p> <ul style="list-style-type: none"> <li>• Curation of existing digital platforms;</li> <li>• Introduction of new capabilities to meet the requirements of the corporate strategy and service innovation initiatives;</li> <li>• Support for the development of workforce digital competency.</li> </ul>	Dan Snowdon - Head of Strategy & Engagement	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	 GREEN
<p><b>ACTION PROGRESS COMMENTS:</b> Progress to date: The digital team have made great progress in developing the underlying digital architecture - massively reducing the development time of new products. This was demonstrated throughout the development of new tools to support the organisations response to Covid-19. All product developments are now described in detail via the online case studies (<a href="https://workplace.brighton-hove.gov.uk/casestudies">https://workplace.brighton-hove.gov.uk/casestudies</a>)</p> <p>Next steps: Digital engagement with the leadership network and ELT (Head of Strategy &amp; Engagement, IT&amp;D July-Sept2020) Co-design a Digital Strategy (to include product roadmaps) (Head of Strategy &amp; Engagement, IT&amp;D Oct-Nov2020) Develop a new governance framework to oversee the implementation of the new strategy (Head of Strategy &amp; Engagement, IT&amp;D Jan2020)</p> <p>Measures of success: Universal SMART measures to be defined by June/July 20. Specific measures to be determined by specific modernisation projects that digital capabilities will enable.</p> <p>Last Updated: 26-Aug-2020</p>							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %



<p>1.3.5.2 Corporate Modernisation Programme – Digital Organisation: Develop a scalable and resilient technical architecture which provides a secure, highly available platform for business services</p>	<p>Dan Snowdon - Head of Strategy &amp; Engagement</p>	<p>In Progress</p>	<p>01-Apr-2020</p>	<p>31-Mar-2021</p>	<p>25.00%</p>	<p>25.00%</p>	
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**ACTION PROGRESS COMMENTS:**  
 Progress to date:  
 In the Resilient Foundations workstream - the ODC server migration is in train and the infrastructure refresh work has been initiated  
 In the Safe & Secure workstream - AOVPN as a means of remote connection has been set up and implemented across the existing Win10 estate. The Access Modernisation project has been restarted after a 6 month pause during the pandemic.  
 In the Productivity & Mobility workstream - Windows10 & laptop deployment has been restarted after being paused during the pandemic. Information architecture design work has completed prior to O365 rollout

Next steps:  
 Resilient Foundations - Telephony strategy/business case (Jan2021, Head of Strategy & Engagement, IT&D) and complete Citrix migration (Oct 2020, Head of Strategy & Engagement, IT&D)  
 Safe & Secure - Cyber Essentials Plus (Jan 2021, Head of Strategy & Engagement, IT&D) and New firewall implementation (March 2021, Head of Strategy & Engagement, IT&D)  
 Productivity & Mobility - complete the Windows10 & laptop deployment (Nov 2020, Head of Strategy & Engagement, IT&D) and O365 Rollout plan (Sept 2020, Head of Strategy & Engagement, IT&D)



Measures of success:  
 A secure technology environment which is compliant with national regulatory regimes.  
 Standardised infrastructure across Orbis partners generating procurement economies of scale and single point of support.  
 Provision of a 'High Availability' offer for critical services to minimise interruption to business.  
 Improvement to relevant performance measures (major incident; business losses due to downtime, etc) in line with CMDB expectation).

Last Updated: 19-Aug-2020

**1.3.6 Develop and engage with staff to deliver good quality services and change within the directorate and across council services.**

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
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505

1.3.6.1 [Modernisation Programmes – Our People Promise (Corporate)]: Deliver ‘Our People Promise’ priorities to ensure the council is able to recruit and retain the workforce it needs, and to improve the motivation and morale of staff as measured in the Staff Survey. (CP 7.6.1, CP 7.6.2, CP 7.6.3, CP 7.6.5, CP 7.6.7)	Alison McManamon - Head of Human Resources & Organisational Development	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	
<p><b>ACTION PROGRESS COMMENTS:</b>  Progress to date:  Fair and Inclusive Action Plan year 2 priorities identified in collaboration with BMEWF, and focus on race to continue for year2  Induction programme for new managers implemented, and learning and development programme moved mainly on-line due to Covid19 pandemic  Leadership Development programme re-shaped following Covid19 pandemic, and full on-line offer available  People offer re-shaped to support staff working in different ways due to Covid19 Pandemic  Pulse survey carried out to inform changes to our employment offer following Covid19 pandemic  Next steps:  Review OPP priorities following Covid19 pandemic and results of recent Pulse survey - Head of HR September 2020</p> <p>Measures of success:  Deliver specified and non-cashable benefits for the project/programme (March 2021).  5% improvement in staff survey results against ‘I feel valued by my employer’ question (Staff Survey – May 2021).  5% improvement in equality data regarding representation of staff with a protected characteristic (March2021).  Measures of success as outlined in FIAP, and OPP programme (see relevant action plans)  CP actions to be developed as measures of success including: 7.6.1 recruiting and retaining the right people; 7.6.2 clear employer offer and support to perform well; 7.6.3 staff wellbeing; 7.6.7 good place to work; and 7.6.5 opportunities for training &amp; developing skills.</p> <p>Last Updated: 23-Jul-2020</p>							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.6.2 [Corporate Modernisation Programme] Through the delivery of the Fair & Inclusive Workplace improve the experience of staff across the organisation as measured by the staff survey. Be a fair and inclusive employer that values diversity and individuality. (CP 7.6.2)	Deborah Totney - HR Consultant / Reward Policy & Projects	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	
<p><b>ACTION PROGRESS COMMENTS:</b></p>							

Progress to date:

1.1 The following is based on Quarter 1. In BHCC the workforce profile figures as at 30.06.2020 were as follows:

BME: 7.74% (Target 9.1%)

BME staff at management level: 7.13% (Target 9.1%)

White Other: 7.4% (Target 8.8%)

White Irish: 2.07% (Target 1.6%)

Disability: 7.52% (Target 8%)

Sexual Orientation, LGB: 13.11% (Target 13%)

The Q1 data shows that BHCC has not met the equalities targets for BME, White Other and disabled staff.

1.2 Fair & Inclusive work has included:

- Publishing updated 1-2-1 and PDP guidance
- Drafting a restorative approach to reports of racism within the workforce as a follow up to the “Improving Practice” joint workshops with BMEWF and HRAS
- Updating content of We Need To Talk About Race and Report and Support Wave pages
- Delivering a Fair & Inclusive Leadership Network session to inform next steps and ensure accountability of leaders in driving progress
- Procuring specialist equalities training for HR Advisory Services, investigating and hearing managers and members
- Publishing updated virtual recruitment e-learning to reduce adverse impact
- Providing workforce profile and recruitment data to DEDGs to inform recruitment initiatives
- Publishing ‘Inclusion Essentials’ and ‘Leadership Behaviours’ e-learning
- Publishing ‘Managing Remote Teams’ e-learning and delivered ‘Managing Remote Meetings’ online learning to include awareness of possible impacts on neurodiverse staff
- Publishing information in collaboration with our Disabled Workers and Carers Network regarding the impact of changes to travel arrangements and wearing of face masks

1.3 Other key activity has included:

- Health & Safety published a Covid-19 individual risk assessment and guidance working collaboratively with our workers fora to include risk factors associated with specific protected characteristics
- Providing access to a variety of new online learning and development opportunities in the absence of face to face training
- HROD provided e-information (webinars) on Pensions to enable more staff to better understand their pension scheme
- HROD managed deployment of staff within the organisation to ensure service delivery


Next Steps:

1. Continue to embed the FIAP across the organisation (HR&OD, July 2020 and ongoing)
2. Ensure the FIAP incorporates any actions specified in the council’s anti-racist pledge (HROD, July 2020 and ongoing)
3. Continue to develop the functionality of the new online recruitment system. (Business Operations, Ongoing).

Measures of success: (2020/21)

Positively increase representation across protective characteristic groups by a minimum of 1% across each protected group (March 2021).  
 Action plan from Directorate Equality Delivery Group (DEDG) in place and clear progress (March 2021).  
 Fair & Inclusive Workplace and Services Modernisation Programme benefits table in place and clear progress (March 2021)  
 5% improvement in Fair and Inclusive indicator in the staff survey.

Last Updated: 22-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.6.3 Make the council an exemplar in supporting staff who are carers. (CP 6.4.3)	Alison McManamon - Head of Human Resources & Organisational Development	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	

**ACTION PROGRESS COMMENTS:**

Progress to date:

Carers information on the wave updated

Support provided to staff through flexible working and special leave in response to Covid19

Next steps:

Review offer to Carers - Lead Consultant December 2020


Measures of success:

Flexible working policies reviewed (Mar 2021).

Special Leave policy reviewed and launched (Mar 20 P&R).

Work with the Staff Forums to re-launch the Carers Passport (Oct 20).

Last Updated: 23-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.6.4 Extend the council's 'My Shop' card offering discounts in local shops, cafés and leisure venues and subsidised transport to care workers across the city. (CP 6.5.4)	Alison McManamon - Head of Human Resources & Organisational Development	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	

**ACTION PROGRESS COMMENTS:**

Progress to date:

Delayed due to Covid19


Next steps:

Review will be completed within original timescale - Lead Consultant - December 20

Measures of success:

Options for extending MyStaffShop to carers in the city identified, costed and reported to ELT, Policy Chairs Board and, if required, P&R (Dec20).

Last Updated: 23-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.6.5 Directorates to work proactively to understand, engage with and respond effectively to the city's diverse communities and its changing demographic.	Sarah Tighe-Ford - Equalities Coordinator	In Progress	01-Apr-2020	31-Mar-2021	24.00%	25.00%	

#### ACTION PROGRESS COMMENTS:

Progress to date (F&R):

Directorates heavily involved in COVID-19 emergency response reprioritised their equality work to support their response. To support this on an ongoing basis, Directorate Equality Delivery Groups have since reviewed and updated their equality actions for 2020-21 to align with the challenges of the pandemic and practical solutions to meet equality impacts identified. Some existing equality actions have been refocused or paused (where these are no longer relevant or feasible).

HROD

Fair & Inclusive work has included

- Publishing updated 1-2-1 and PDP guidance
- Drafting a restorative approach to reports of racism within the workforce as a follow up to the "Improving Practice" joint workshops with BMEWF and HRAS
- Updating content of We Need To Talk About Race and Report and Support Wave pages
- Delivering a Fair & Inclusive Leadership Network session to inform next steps and ensure accountability of leaders in driving progress
- Procuring specialist equalities training for HR Advisory Services, investigating and hearing managers and members
- Publishing updated virtual recruitment e-learning to reduce adverse impact
- Providing workforce profile and recruitment data to DEDGs to inform recruitment initiatives
- Publishing 'Inclusion Essentials' and 'Leadership Behaviours' e-learning
- Publishing 'Managing Remote Teams' e-learning and delivered 'Managing Remote Meetings' online learning to include awareness of possible impacts on neurodiverse staff
- Publishing information in collaboration with our Disabled Workers and Carers Network regarding the impact of changes to travel arrangements and wearing of face masks

Other key activity has included:

- Health & Safety published a Covid-19 individual risk assessment and guidance working collaboratively with our workers fora to include risk factors associated with specific protected

## characteristics

- Providing access to a variety of new online learning and development opportunities in the absence of face to face training
- HROD provided e-information (webinars) on Pensions to enable more staff to better understand their pension scheme
- HROD managed deployment of staff within the organisation to ensure service delivery

## Audit

- Many of this team have been deployed to other areas of the council
- Planning an audit on recruitment.

## Bus Ops:

- Low staff numbers at present with a focus on COVID19 response

## ICT

- Work experience completed.
- CV based recruitment is now the norm across IT&D
- Flexible working options promoted in adverts
- Support to COVID cells, setting up data collection & integration, and identifying approaches for recovery phase.
- Assistive Technology project underway

## Revs &amp; Bens –

- Responding to COVID19 emergency: additional service demand, including from people previously not known to the service
- Applying the NNDR business grants and £150 to vulnerable households/those on Council Tax reduction.
- Offering support advice and guidance to support staff, especially those most vulnerable

Implementing payment holidays when needed and ceased all enforcement/recovery action from March. Outreach to customers signposting to claim UC and/or CTR if applicable

## Procurement:

- Actions identified in anti-racism pledge are being implemented

## Finance:

- No update received and no actions set in FIAP Directorate Plan

## Next steps:

## HROD - Next Steps:

1. Continue to embed the FIAP across the organisation (HR&OD, July 2020 and ongoing)
2. Ensure the FIAP incorporates any actions specified in the council's anti-racist pledge (HROD, July 2020 and ongoing)
3. Continue to develop the functionality of the new online recruitment system. (Business Operations, Ongoing).

## Revs and Bens - Next steps:

1. Reintroduction of enforcement action, reminders, summons etc. (Service Lead, Sep20)
2. A project group to look at wording of notices to offer sympathetic approach to those that can't pay and to acknowledge the current situation (Service Lead, Sep20)
3. Suicide prevention training being organised in response to calls from customers (Service Lead, Sep20)
4. Explore collation of recruitment data (Service Lead, Sep20)


## IT&amp;D – Next Steps:

1. Review recruitment approach prior to IT&D 'Pivot' work in late 2020/21
2. Complete AT work (and share approaches into ESCC and SCC)

## Measures of success:

Service level actions are completed to timetable and monitored through the relevant DEDG and CEDG.

Last Updated: 23-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.6.6 Directorate to actively support the corporate aim of diversifying the workforce at all levels, recruiting and retaining staff from all the city's communities.	Sarah Tighe-Ford - Equalities Coordinator	In Progress	01-Apr-2020	31-Mar-2021	22.00%	25.00%	 AMBER

**ACTION PROGRESS COMMENTS:**

Progress to date:

F&R

Please note that recruitment data is produced one quarter in arrears in order to analyse the maximum number of completed recruitment exercises within each directorate. The data described below is annual data produced at end of Q4 2019/20.

- At the start of 2020/21 the directorate is under-represented in relation to the following staff groups compared to the city's economically active profile: BME, White Other, LGB and men. This means that there is a need to address this imbalance through the recruitment and retention of more staff from these groups.
- In 2019/20, a total of 69 vacancies were advertised in the directorate. 20.9% of all applicants were BME, 18.6% were White Other, and 18.4% identified as L, G or B. A significantly lower proportion of women continue to apply for vacancies in this Directorate (30.2%) compared with 47.5% for all council opportunities. The proportion of applicants who identified as L, G or B was 18.5%, which is in line with all council vacancies.
- In 2019/20, this Directorate continues to attract less women for its vacancies (46.5%) compared with council opportunities as a whole (52%)
- In 2019/20, when comparing success rates through the recruitment process of particular groups, it was found that only 5.04% of all BME applicants were offered a role, compared with the success rates for their White British (12.5%), White Other (6.6%) and disabled (14.6%) counterparts.
- In Q4 2019/20, 57 staff were appointed. Of these, 6 identified as BME, 7 as White Other, 6 identified as disabled, 15 as L, G or B and 30 were male.

Summary of changes to Directorate's Workforce Profile in relation to under-represented groups during 2019/20

	BME	White	Other LGB	Male
31 March 2019	7.17%	6.18%	11.8%	49.01%
31 March 2020	7.08%	6.25%	12.94%	51.28%

**Measures of success:**

Increase alignment of workforce profiles across all grades and contract types with corporate targets (Mar 21).


Service level actions are completed to timetable and monitored through the relevant DEDG and CEDG.

Increase the numbers of people recruited and percentage of those who are BME or disabled at application, interview and appointment stages, as monitored by HR. Reduce percentage of leavers who are BME or disabled (Mar 21).

Increase % of managers who recruit who have been trained.

improve % of positive responses to 21 staff survey questions relating to fair and inclusive index

Last Updated: 23-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.6.7 Develop the quality and impact of the Directorate's City and Council leadership.	Nigel Manvell - Deputy Chief Finance Officer	In Progress	01-Apr-2020	31-Mar-2021	15.00%	25.00%	 RED

**ACTION PROGRESS COMMENTS:**

Progress to date:

Significant impact on this action from the pandemic, both positive and negative. Sickness levels are currently very low, particularly short term absences, and this is clearly linked to extended remote working.

Changes to the Absence Management Scheme were approved by P&R Committee and re-procurement of the FirstCare service has been completed.

Staff Survey actions identified for all services.

Pulse Survey designed and implemented and initial results published to assess remote working effectiveness for staff.

Health & Safety and People Promise actions impacted by the pandemic.

Next steps:



Brief new administration and ensure they are apprised of forthcoming actions and overall objectives of the People Promise.

Measures of success:

Reduce Directorate sickness rates.


Year-on-year improvement in 2019 staff survey index.

Results of Health & Safety audits.

Council-wide measures reflected in Our People Promise.

Measures of success for City-wide to be determined by each directorate.

Last Updated: 12-Aug-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.6.8 Streamline the way we work, reducing demand on high cost services by preventing problems from arising or dealing with them early on. (CP 7.4.2)	Alison McManamon - Head of Human Resources & Organisational Development	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	

**ACTION PROGRESS COMMENTS:**

Progress to date:

The future Blueprint for Orbis is currently under discussion through the Orbis Leadership Team, and will be developed for sign off at the Orbis Joint Committee. This blue print develops the strategic direction for Orbis services over the next 5 years, and develops the approach with regard to integration, budget planning and income generation in the future. Further work continues to streamline Orbis services, and embed a Business Partnering approach to ensure that there is clarity on demand for services to enable prioritisation and planning.

Orbis continue to run the Business Partnering development course to further develop these skills across all services.

Initial agreement provided via CMDB for a programme manager to lead the work to replace back office systems in BHCC. This runs alongside similar programmes of work in SCC and ESCC and will include consideration of whether there should be a shared approach to systems in the future. Using the same systems will allow for further integration of services, but detailed work is ongoing to ensure this is the right approach to ensure sovereign demands can be met.

Demand on support services has been severely impacted by Covid19, and some of the work on future service developments have been delayed as a result. The development of the Orbis blueprint will provide the basis for further reviews of services.

Next steps:

1) The Orbis budget planning process is progressing to ensure there is clarity about the sovereign asks for savings from Orbis, and how these should be allocated across services. (Deputy Chief Finance Officer BHCC, Mar 21)

Measures of success:

Directorate:

For Orbis services, links to new 'blueprint' service model aimed at increasing automation, self-service and ease of access to business intelligence and MI to reduce demands on support functions and enable efficiencies.


Roadmap for development or replacement of corporate HR/Payroll and Finance systems agreed including potential procurement timeline.

Council-wide:

Improved benchmarking, unit cost and other MI available to identify high cost areas (linked to Enterprise Strategy approach) (Dec20).

Improved Strategic Business Partner offer provided (through roll-out of Business Partner Excellence programme) to help services develop new solutions (Sept20).

Last Updated: 01-Sep-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.6.9 Reintroduce a local authority supply teacher service to save schools money and ensure high quality teaching. (CP 4.2.7)	Alison McManamon - Head of Human Resources & Organisational Development	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	 GREEN

**ACTION PROGRESS COMMENTS:**

Progress to date:

Work underway to report back to lead members by October 2020

Next steps:


Continue with work underway - Lead Consultant Oct 2020

Measures of success:

High level options appraisal prepared and shared with Lead Member for CYPS by end of October 2020.

Last Updated: 23-Jul-2020

**1.3.7 Keep the council safe including an emphasis on mitigating information and data risks.**

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.7.1 Investigate reported incidents of suspected fraud/irregularity and ensure appropriate sanctions are applied. Delivery a programme of proactive counter fraud work including data matching, the delivery of counter fraud training and the production of guidance for council managers and staff.	Mark Dallen - Audit Manager	In Progress	01-Apr-2020	31-Mar-2021	20.00%	25.00%	 AMBER

**ACTION PROGRESS COMMENTS:**

Progress to date:

Q1 updates have been impacted by COVID due redeployment of Counter fraud resources. Outcomes for quarter1 are:

- One housing tenancy was ended as a result of investigations into fraud and in another case a placement with an emergency accommodation provider was ceased;
- 12 investigations have been undertaken relating to false applications to the Small Business Grant Fund or for the Retail, Leisure and Hospitality grant. Payments have been prevented and warning letters sent;
- Council Tax, Council Tax Benefits and Housing Benefits investigations identified over£14k of overpayments;
- 4 fraudulent parking permits have either been stopped or cancelled as a result of investigations;
- One investigation into the fraudulent purchase of goods by member of staff. The full value of the loss has been recovered and employee resigned prior to a disciplinary hearing;
- Counter fraud bulletin produced;
- Delivery of counter fraud focused data analytics. No fraud identified but a number of control issues are being reported;
- A summary of the control weaknesses identified during the City Clean investigations during 2019/20 was prepared for the Audit and Standards Committee.

Next steps:

Fraud referrals and investigations – Support the councils fraud referral processes including the hosting and review of fraud referrals through a dedicated e-mail address and phone line. Risk assess and investigate referrals as required.

Proactive fraud work – Carry out work including data analytics to detect evidence of fraud, including participation in the National Fraud Initiative Data Matching Exercise.

Fraud Awareness – Continue to undertake fraud awareness work including the provision of fraud awareness training and counter fraud bulletins.


Measures of success:

Undertake fraud investigations and preventive actions including;

- HRA properties returned;
- Deliver or support employee and corporate investigations;
- Identifying overpayments arising from procurement fraud/duplicate payments etc;
- Review of National Fraud Initiative (NFI) data matches;
- Delivery of fraud awareness training and counter-fraud bulletins;
- Delivery of data analytics focused on fraud risk;
- (All March 2021)

Last Updated: 24-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
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1.3.7.2 Delivery of an agreed programme of work sufficient to provide an informed opinion on the internal control environment for inclusion in the Annual Governance Statement. Deliver annual Internal Audit Plan whilst maintaining sufficient flexibility to focus on new and emerging risks.	Mark Dallen - Audit Manager	In Progress	01-Apr-2020	31-Mar-2021	10.00%	25.00%	 RED
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**ACTION PROGRESS COMMENTS:**

Progress to date:

During the quarter 1 (2020/21), Internal Audit redirected its resources to support the organisation in its response to the issues arising from the Coronavirus pandemic and planned work was suspended. As a result, we are not in a position to provide an update on plan completion in the normal way.

During quarter 1 the resources of the service have been focused on the following:

- Redeployment of staff to support Covid 19 cells/ projects;
- Short term staff placements to support individual Covid related work e.g. grants to businesses;
- Advice on and reviewing system changes to support remote working;
- Finalisation of reports that were put on hold at the year-end;
- Carrying out data analytics on key financial systems e.g. Creditors;
- Delivery of some high priority audit projects e.g., an update review on the housing repairs service.

Next steps (2020/21):


Internal Audit are currently consulting on a revised Internal Audit Plan to be delivered during the period September 2020 to March 2021.

A full update of audit work activity and the use of Internal Audit resources during Quarter 1 will be provided to the September 2020 meeting of the Audit and Standards Committee.

Measures of success:

In addition to the corporate monitoring of the service Internal Audit progress reports undergo detailed scrutiny from the Audit and Standard's committee. Key aspects of this include feedback on and discussion of individual audit reports, high priority recommendations that have not been implemented and service performance.

Last Updated: 11-Aug-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET %	ON TARGET %
1.3.7.3 Ensure compliance within the F&R directorate/service with the General Data Protection Regulation and the Data Protection Act 2018.	Dan Snowdon - Head of Strategy & Engagement	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	 GREEN

**ACTION PROGRESS COMMENTS:**

## Progress to date:

IT&D are currently compliant with GDPR and the Data Protection Act 2018 other than FOI responses (44% within timeframe)

## Next steps:

All IT&D initiated work (including the O365 project) involve scrutiny and sign off by appropriate Info Rights managers (ongoing)

Ongoing review of FOI process within IT&D

## Measures of success:


All assets are assigned to an information asset owner to be recorded on asset register and reviewed quarterly– March 21.

All IA reviews relating to data protection compliance achieve at least 'Reasonable Assurance'.

All service redesign or system changes have answered the Data Privacy Impact Assessment triaging questions and completed an assessment if required.

All privacy notices reviewed and updated Mar 2021.

Last Updated: 19-Aug-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.7.4 Ensure that information governance is fit for purpose and keeps the Senior Information Risk Owner (SIRO) safe.	Dan Snowdon - Head of Strategy & Engagement	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	

**ACTION PROGRESS COMMENTS:**

## Progress to date:

Completed the develop an information architecture for the O365 Teams/SharePoint.

## Next steps:

Review and improve user access controls via the Access Management project (Dec 2020 Head of Strategy & Engagement IT&D)

Migrate all on prem 2012 servers (x257) to ODC1 before end of support in 2022 (March 2022 Head of Strategy & Engagement IT&D)

Remove EOL, unsupported Win7 o/s and migrate all devices to Win10 (March 2021 Head of Strategy & Engagement IT&D)

Deploy MetaCompliance MetaPlatform to support an improved approach to information asset management in the business (Dec2020 Head of Strategy & Engagement IT&D)

Re-write key Policies and complete 'Standards' document to enable staff and third-parties to understand and comply with our requirements (Sept 2020 Head of Strategy & Engagement IT&D)

Complete the submission for the NHS Digital Data Security and Protection Toolkit (Sept2020 Head of Strategy & Engagement IT&D)

Lead a cross-dept. collaboration to develop a surveillance camera toolkit to support compliant acquisition, monitoring and evolution of surveillance cameras across the local authority (March 2021 Head of Strategy & Engagement IT&D)

Deployment of unstructured content analytics capability to analyse metadata of S: drive and email content, identify duplicates and versions and then analyse document contents to inform management decisions around retention, destruction and data quality improvement. (Dec2020 Head of Strategy & Engagement IT&D)

Improve Information Risk Management function. This will include a risk register visible to IGB, SIRO & DPO and clear processes and guidance. (Sept 2020 Head of Strategy & Engagement IT&D)

Review and improve the Incident Management process, including better use of Cherwell. (Sept 2020 Head of Strategy & Engagement IT&D)

Compile a 'Systems League Table' to measure the relative 'risk' of the top 25 systems in use at BHCC to act as a comparison of maturity and a signpost for future work (Sept 2020 Head of Strategy & Engagement IT&D)

Measures of success:


Information Governance Board KPIs and RAG rating on the Information Governance risk (March 2021).

Compliance with requirements of the Independent Inquiry into Child Sexual Abuse (IICSA) (Apr 2020).

Compliance with the General Data Protection Regulation (GDPR) (March 2021).

Ensure compliance with Public Service Network Code of Connection (CoCo), NHS Information Governance Toolkit and PCI DSS compliance for payments handling (September 2019).

Last Updated: 19-Aug-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.7.5 Ensure each service in the directorate has an up to date and relevant Business Continuity Plan (BCP) in place	Alison McManamon - Head of Human Resources & Organisational Development	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	

**ACTION PROGRESS COMMENTS:**

Progress to date:

Finance and Resources have business continuity leads who represent services across the directorate on the corporate business continuity group.

Business continuity plans are in place and copies are held by the Emergencies and Resilience team. These have been subjected to scrutiny by the Emergencies and Resilience team who have previously provided feedback.

As a result of the Coronavirus, business continuity plans have been activated. Connections made through the corporate business continuity group, links to the local resilience forum and directorate membership of the councils command structure have provided excellent continuity and agility to support the directorate and council response. Aspects of this global emergency had not been considered or foreseen in the directorates business continuity planning and this provides an opportunity to capture learnings and update plans for the future.

Next steps:

1. All services across the directorate will undertake a review of business continuity plans (BCP) to capture learnings from recent activation of plans in response to Covid-19. (Action Lead: All Heads of Service, October 2020)


2. Co-ordinate reviews of BCP's with Emergencies and Resilience team to ensure issues and priorities address those from corporate business continuity group and resilience forum. (Action Lead: Service Business Continuity Leads, September 2020)

3. Communicate BCP reviews across all teams to ensure priorities, responsibilities and actions to be taken are understood. (Action Lead: Service Business Continuity Lead, October 2020)

Measures of success:

Good quality business continuity plans are in place for all services.  
Reviewed annually or sooner if there have been service changes.

Last Updated: 30-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.7.6 [Corporate Modernisation Programme]: Procurement & Contract Management: Implement improved oversight over contract management across the council.	Clifford Youngman - Procurement Strategy Manager	In Progress	01-Apr-2020	31-Mar-2021	12.00%	25.00%	 RED

**ACTION PROGRESS COMMENTS:**

Progress to date:

Contract Management recruitment is currently on hold subject to financial controls.

The remaining members of the Contract Performance team are currently focussing on sourcing PPE and Supplier Relief issues.

This means capacity is extremely limited in achieving any of the current goals during the first two quarters of 2020/21

Tableau data on Contracts will be available for Sept2020

Next steps:

Review capacity issues during Aug / Sept 2020 to identify opportunities


Measures of success:

Clear and insightful Management information that sets out risk and areas for focus to the Procurement Advisory Board and ELT.

Mentoring / development targeted at key contract managers (March2021).

Cashable targets to be met where posts are funded by directorates for specific intervention.

Last Updated: 17-Jul-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
1.3.7.7 Embed consistency and consolidate and improve governance and control arrangements for high volume transactional and traded services	Jane Strudwick - Head of Corporate Financial Services	In Progress	01-Apr-2020	31-Mar-2021	25.00%	25.00%	 GREEN

**ACTION PROGRESS COMMENTS:**

Progress to date: HR Operations - A recent audit of the payroll has provided substantial assurance; we are currently working with internal audit to look at tightening controls further. The corporate and schools payroll project to deliver self-service to customers is continuing.

Finance Operations - A number of projects to improve governance and control arrangements are underway:

1. A workflow solution to automate authorisations, create online forms and automate processes across the service is being explored with IT&D colleagues and software suppliers
2. The service is developing a strategy to eliminate single points of failure through utilising process databases, procedure notes and process maps
3. A debt recovery project has been set up with a number of work streams concentrated on improving processes, governance and control in this area and increase the collection performance

Next steps: Continue to progress projects highlighted above

Measures of success:

Improved performance on internal audit reviews to substantial assurance level (March 2021).

New KPI's to measure service performance and align with Orbis partners (March 2021).

Last Updated: 20-Jul-2020