Corporate Improvement Plan – June 2018 Update

SUMMARY

1.1 The Corporate Improvement Plan (CIP) was introduced in December 2017 as part of the Council's response to the LGA Corporate Peer Challenge. It contains 10 key themes underpinned by supporting actions which will address a number of challenges faced by the Council.

1.2 The Improvement Plan has been further developed since it was first reviewed by Audit and Accounts Committee in January 2018. The plan itself now contains 61 actions which are continually reviewed and updated in an attempt to keep the Council's improvement priorities relevant and realistic.

1.3 It was agreed that Audit and Accounts Committee would play a key role in monitoring delivery of the Plan. This report presents a summary of progress up to 1 June 2018.

RECOMMENDATIONS

2.1 To note progress made in delivering the Corporate Improvement Plan and refer comments as appropriate.

2.2 To endorse the revised timescales proposed for actions at paragraph 4.9.

REASONS FOR RECOMMENDATIONS

3.1 As part of the Sector Led Improvement approach, it is expected that local authorities are open to external challenge and learning (for example, hosting peer challenge reviews), and actively promoting their own improvement in priority areas. The Corporate Improvement Plan brings together a number of action plans and addresses recommendations made by the LGA Corporate Peer Challenge team. The plan identifies key actions, lead officers and target dates to facilitate performance management of these improvements. Active monitoring of the plan is essential to drive delivery.

SUPPORTING INFORMATION

4.1   Improvement planning is a key part of the Council's Performance Management Framework and enables focus in priority areas. The Corporate Improvement Plan (CIP) draws together actions which take forward the Governance Project Plan, Section 24 Statement of Accounts Action Plan and a number of recommendations included in the Corporate Peer Challenge held in June 2017.

4.2   The CIP is based on 10 key themes as shown below:

4.3   The draft plan was reviewed by Audit and Accounts Committee and Executive Scrutiny Board in January 2018. Since then, the plan has been further developed and monitored closely by Chief Officer Group and the Corporate Improvement Board (chaired by the Cabinet Member for Finance and Governance). Actions have been created and revised where appropriate in order to keep the plan dynamic and relevant. The plan now contains 61 detailed actions which reflect the Council's latest improvement priorities.

4.4   The latest CIP monitoring sheet with detailed commentary can be found in **Appendix 2**. The summary position for June 2018 is shown below.

Status	June 2018
Completed	17
In progress	41
Slippage	1
Not started	2
Grand Total	**61**

4.5   Achievements over the last six months include...

- **City Leadership** – A new Partnership vision 'closing the gap' was endorsed by Council Cabinet in March 2018. The new Safer Communities Board met in May 2018 and a Partnership Symposium featuring expert speakers will be held on 14 June 2018.

- **Effective management** –The Phase 1 Senior Management Restructure proposals have been consulted upon and finalised. The new Chief Executive, Carole Mills, has been appointed and our Interim Strategic Director of Corporate Resources is to be retained until 31 July 2019. Recruitment and appointment to vacant director posts identified in Phase 1 is underway and a new interim Director of Property has started work. Engagement forums for directors, heads of service and managers have been reviewed with new terms of reference and forward plans in place.

- **Constructive Member relationships**– over 100 staff have received LGA training on 'working in a political environment' with positive feedback. The political groups have been approached for dates to attend the training over the summer. A new process for handling complaints about councillors was approved by Full Council on 23 May. The reconfigured Governance Working Group chaired by the Strategic Director of Corporate Resources met in May 2018.

- **Robust internal controls** – The Accounts Action Plan and Closedown Timetable were delivered on time and the Statement of Accounts was published at the end of May 2018. Two key positions within the Estates Team have been permanently filled (Estates Manager & Principal Asset Valuer). These positions are both Chartered Surveyors/Registered Valuers and will support improved capacity and resilience within the Estates Team. A new organisational structure for Internal Audit has been agreed by senior managers and our external partners. Consultation with the Internal Audit Team has been completed and we will be moving to the appointment phase in the next few weeks.

- **Sound Information Governance (IG)** – the IG Team has been strengthened. A Data Protection Officer (DPO) and Information Security Officer (ISO) are both in post. Operating procedures for Freedom of Information (FOI) requests, Environmental Information Regulations (EIRs) and Subject Access Requests (SARs) have been reviewed and performance has now improved. A review of corporate content management has now commenced. The IT review includes a

new post dedicated to the content management of shared folders. A contract has been awarded for a 'fitness for purpose' review of the Council's Electronic Document and Records Management System. Further work has also continued in readiness for the General Data Protection Regulations (GDPR).

- **Embedded Risk Management** – The updated Risk Strategy and Handbook was approved by Audit and Accounts Committee on 20 March 2018. Workshops were held with Members and Directors following which new strategic, directorate and departmental risk registers were established in April. It has also been agreed that the Performance team will provide risk management services going forward, including the monitoring of registers on DORIS. Additional resource (1.5 posts) is expected to be approved by Cabinet on 13 June.

- **Improved service outcomes** – There has been good progress made against all Children's Services Single Inspection Framework (SIF) recommendations as illustrated through the recent Mocksted2 internal challenge review. In terms of Special Educational Needs and Disabilities (SEND), the Council achieved the statutory deadline of 31 March 2018 for the conversions of statements to Education Health and Care Plans with a letter of congratulation received from the Children's Minister. Performance and quality will be the focus of the teams through an Achieving Change launched in May.

4.6   In summary, the following 17 actions have been completed since the launch of the CIP:

- Agree MTFP approach and timetable for 2019/20 (2.1)

- Implement new engagement forums for Directors and Heads of Service (3.3)

- Undertake LGA Officers in a political environment training (4.3)

- Update the Statement of Accounts Action Plan for 2017/18 to ensure delivery of accounts within statutory deadline (5.1)

- Review process for closedown and production of financial statements to ensure roles and responsibilities are known and there is good communication between teams (5.2)

- Complete asset valuations programme 2017/18 (5.3)

- Ensure capitalisation rates receive formal approval and evidenced review by service directors (5.5.)

- Revise delegated authority and financial procedure rules (5.9)

- Consider options for future of internal audit services (5.10)

- Update risk framework, policy and summary document and communicate to staff / Members (7.1)

- Refresh strategic and directorate risk registers (7.2)

- Hold risk training workshops with Directors and Members (Cabinet and Audit & Accounts) (7.3)

- Implement regular monitoring of strategic and directorate registers (7.4)

- Strengthen the corporate information governance team (8.1)

- Initiate corporate wide content management programme (8.3)

- Complete General Data Protection Regulation (GDPR) preparations (8.4)

- Refresh operating procedures and improve and maintain performance in responding to FOIs, EIRs and SARs (8.6).

4.7   The following actions are **on track for completion by the end of June**:

- Complete full analytical review including explanation of variances to inform External Audit (Ernst & Young) working papers. (5.4).

- Include provision for the documented review of indicators of impairment and asset lives within the closedown process (5.6)

- Secure Cyber Essentials accreditation (8.5)

- Refresh and promote information breach reporting arrangements and embed learning (8.7).

4.8   There is one **area of slippage** where action is taking place:

- Review detailed savings plans with sign-off by each strategic director by March 2018 (2.2) – All the savings plans for 2018/19 have been signed off apart from the £1.8m saving to be achieved from employee reductions. The delivery of this savings plan is being reviewed by the Interim Strategic Director of Corporate Resources and Chief Officer Group. The delivery of savings plans is being robustly managed and mitigation put in place where there is any slippage. Chief Officer Group and Directors have held a number of sessions during April/May 2018 on a strategy for the delivery of our Medium Term Financial Plan 2019/20 - 2022/23. Directors and Heads of Service will become more involved from June 2018 to work up further savings plan options for Cabinet to consider during the Summer/Autumn.

4.9   **Revised timescales are proposed** for the following actions:

- Explore options for introducing a four-yearly election cycle to Derby City Council by September 2018 (1.5) – it is expected this may be considered by the Cross-Party working group established to consider the Committee system. It is proposed this should be deferred until March 2019.

- Review the Council Delivery Plan for 2018/19 in light of MTFP / Council Business Plans by June 2018 (2.5) – in light of the change in Administration, it is proposed to review the delivery plan over the summer. A report will be taken to Cabinet by August 2018 at the latest.

- Strengthen Standards processes, including Member Code of Conduct and Officer-Member Protocols. (4.1) – whilst a new process for handling complaints was agreed at Full Council, further work will be carried out on the Code of Conduct and Officer-Member Protocol once the LGA training is completed. Revised from June to September 2018.

- Undertake LGA Member / Member training (values, behaviours etc) (4.2) – revised from March 2018 to August 2018 to allow political groups to book this training into diaries following the election.

- Review and enhance Member development programmes by June 2018 (4.4) – initial work has been undertaken to review the programme for the coming year. A more fundamental review will take place by March 2019.

- Review the effectiveness of Audit & Accounts Committee and establish a development plan by June 2018 (4.5) – the appointment of two independent members is in process. Further work will be undertaken with the new Committee to update the development plan by October 2018.

- Deliver comprehensive risk training for all Members, managers and budget holders (7.6) – revised from March 2018 to March 2019. Additional resource has been approved to boost capacity of risk management however this will not be in place until the summer. A training programme then needs to be created and delivered.

- Develop information governance capability across the organisation (8.2) – New eLearning material has been purchased and an implementation plan has been agreed with the Information Governance Board. This has been available to staff from 1 June. It is proposed that this action is extended to 31 March 2019 so the lead can report on on-going improvement activity, including feeding back the

improvement activity generated from the review of content management.

OTHER OPTIONS CONSIDERED

5.1   None.

This report has been approved by the following officers:

Legal officer **Financial officer** **Human Resources officer** **Estates/Property officer** **Service Director(s)** **Other(s)**	Strategic Director of Corporate Resources

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Background papers: **List of appendices:**	None Appendix 1 – Implications Appendix 2 – Corporate Improvement Plan – Progress up to June 2018

IMPLICATIONS

Financial and Value for Money

1.1 Each year the External Auditors give an opinion on the Authority's Statement of Accounts and Value for Money (VFM) Opinion. The Corporate Improvement Plan is required to drive improvement against key risks and provide evidence for the VFM Opinion for 2017/18.

Legal

2.1 There is no legal requirement for a Corporate Improvement Plan however it makes reference to other improvement plans which are legally constituted (for example, the Ofsted SIF Improvement Plan approved by Cabinet in September 2017).

Personnel

3.1 The CIP includes actions which will support strong leadership and workforce planning.

IT

4.1 None arising from this report.

Equalities Impact

5.1 Inspections and assessments consider how services are addressing equality and diversity needs of both individuals and communities.

Health and Safety

6.1 None arising from this report.

Environmental Sustainability

7.1 None arising from this report.

Property and Asset Management

8.1 The CIP includes some actions which will strengthen the resilience of the Estates and Property teams.

Risk Management

9.1   Risk management is one of the priority themes included in the CIP where improvement is needed.

9.2   Performance monitoring, reporting and scrutiny allows the Council to manage risk by identifying potential issues at the earliest opportunity and put measures in place to mitigate these and improve performance.

Corporate objectives and priorities for change

10.1   The CIP will support implementation of the Council Delivery Plan covering 'Safe, Strong, Ambitious and Resilient' priorities.

10.2   The Council's performance monitoring processes monitor the implementation of the Council Plan 2015-18 and the 8 priority outcomes which underpin our vision.