

Appendix 2 - Action Plan - Areas for Improvement

Principle	Area for Improvement	Agreed Action	Responsible Officer	Completion Date	Position June 2023	Position October 2023	Position December 2023
Principle A Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law	Continued officer awareness of the gifts and hospitality process is required to ensure the electronic process is effectively embedded.	Ensure the process continues to be appropriately communicated across the organisation	Director of Legal & Democratic Services	Ongoing	An online process for declaring gifts and hospitality has been introduced and embedded to improve consistency and recording. Quarterly reports should be submitted to departmental team meetings. Continued promotion is required to ensure officers are aware of the need to declare offers of gifts and hospitality.	Quarterly reports continue to be submitted to departmental team meetings. A Gifts and Hospitality 2022-23 Annual report was submitted to CMT on 29 August 2023 and Governance, Ethics and Standards Committee on 26 October 2023. Promotion will continue ensure officers are aware of the need to declare offers of gifts and hospitality.	Ongoing reminders continue to ensure officers are aware of the need to declare offers of gifts and hospitality.
	Work required to develop a Whistleblowing Referral Form and continue to ensure Whistleblowing Policy is communicated	Approve the referral form, publish on the website and ensure the policy is appropriately communicated across the organisation	Director of Legal & Democratic Services	By end of December 2023	Referral form has been drafted and needs review and sign off.	Referral form needs review and sign off.	Referral form needs review and sign off.

	widely, understood and embedded.						
	Quarterly meetings between group leaders, Head of Paid Service and Monitoring Officer have commenced but need to be embedded in 2023-24.	Ongoing	Director of Legal & Democratic Services	By end of 2023/24	Ongoing.	Ongoing. Meeting took place on 21 October 2023.	Ongoing. Meeting took place on 6 December 2023
	Employees and Members to be provided with formal ethical awareness training.	To be scheduled, learning request to be completed.	Director of People and Organisational Change	Planning to have commenced by end 2023/24	Not yet commenced.	Not yet commenced pending discussions between Director ORPC and Director Legal and Democratic Services regarding member development programme of work.	The approach to member development is being reviewed and a proposal will be shared by end of Q4.
	The Anti-Fraud and Anti-Corruption Strategy, and Fraud Response Plan were updated in 2022/23. However, increased promotion is required to	Work has commenced to review the Council's Counter Fraud Arrangements against the CIPFA Code of Practice on Managing the Risk of Fraud and Corruption and	Assistant Director of Finance (Audit)	Quarter two of 2023/24	All employees and Members now have access to the Fraud training via Derbyshire Learning Online. An Audit Committee Workshop was held on 31 January 2023 to	A report was presented to Audit Committee in Sept 23. It reviewed the 27 actions agreed as part of the FFCL self-assessment. 14 were implemented and 13 actions ongoing, which	As October update also strategy will be considered by Cabinet in February 2024

	improve officer awareness.	the Fighting Fraud and Corruption Locally Strategy.			provide additional guidance on the roles and responsibilities of the Audit Committee (including those relating to Counter fraud).	will be picked up as part of delivery against the AFAC Strategy.	
	The Anti-Money Laundering Policy is not widely publicised.	Ensure the policy is appropriately communicated across the organisation	Director of Finance & ICT	By the end of September 2023	Ongoing	Ongoing plans in place to raise awareness across the Council	Policy now published on "Our Derbyshire" website. Plans to develop internal communication and training
	Recorded training session on the new Member Code of Conduct to be made available via DLO.	Assistant Director of Legal Services to liaise with L&D.	Director of Legal & Democratic Services	TBC	Ongoing	Ongoing	Ongoing. Review of code of conduct arrangement conducted by a working group established by the Governance, Ethics and Standards Committee. The working group has recommended that Members would find it useful to have refresher training focussing on scenarios and practical examples of interests which

							needed to be declared.
	Wider training for all employees in respect of Financial Regulations and Standing Orders.	Develop a training programme to ensure all employees understand Financial Regulations and Standing Orders	Director of Finance & ICT	By the end of October 2023	Ongoing	Training for Financial Regulations planned to be delivered in Oct and Nov 2023. Standing orders TBD	An e-learning course is now available and dates for training arranged throughout January and February 2024
	Improve process for production of reports to ensure they are not presented to decision makers without being appropriately considered for legal and financial implications.	No reports to be presented to decision makers via mod.gov without being appropriately considered for legal and financial implications.	Director of Legal & Democratic Services	March 2024	Ongoing	Ongoing	Ongoing
Principle B Ensuring openness and comprehensive stakeholder engagement	Work is underway to review and further develop the Councils approach to resident voice. This includes plans to improve the Council's current approach and develop a new consultation, engagement and involvement	The new strategy will follow review of existing mechanisms, identify gaps and outline proposals for the future.	Director of People and Organisational Change	March 2024	Ongoing	Work has not progressed as anticipated due to competing demands on existing resource along with sickness. A revised timetable and actions to develop a new consultation, engagement and involvement strategy and	Work is currently underway to develop the approach to resident's voice as part of the development of the Council's Customer Experience Strategy, consideration will be given as to whether a separate

	strategy by March 2024.					approach is currently being undertaken	Consultation and Engagement Strategy will be necessary.
	Review of the Derbyshire Partnership Toolkit and development of systems and protocols to support and monitor partnership working. Improvement also required in how the organisation interacts and delivers services with partners. This includes risks of particular partnerships on the Council.	Redesign of the Partnership Protocol and Toolkit is now underway following an audit of Council partnership activity. The approach will commence with a review of existing partnerships which will provide the baseline for the wider redesign of tools and create a clearer picture of current arrangements, including a Statement of Business Ethics for communication to external suppliers and ethical values	Director of People and Organisational Change	TBC	Ongoing	A CMT Report to progress this work has been prepared, but due to lack of capacity in the Strategy and Policy Team, any further work has not yet been brought forward. Briefing will need to take place with senior colleagues to understand the priorities and support progression	No change

	A new streamlined process for Officer decisions to be published through Mod.gov. requires further development.	Develop and implement process	Director of Legal & Democratic Services	By March 2024	Not yet commenced	Scope of work needed has been understood and an initial team meeting held.	Ongoing. Further development to take place for roll out of new process post April 2024.
	The calendar of dates for drafting reports, seeking advice and publication is not always followed and needs further promotion.	Ensure the calendar of dates is appropriately communicated across the organisation	Director of Legal & Democratic Services	Ongoing	Calendar of dates is already embedded in the CMT and CST DMT agenda. Further promotion is required.	Further promotion is required.	Further promotion of the training and support in place for the Modern.gov system and wider decision making guidance will take place
	Improved engagement in the production and use of the Joint Strategic Needs Assessment.	The JSNA is subject to a transformation plan and a new Power BI version has been built. A temporary workaround is in place until issues with publishing Power BI can be resolved. A JSNA report is currently being shared across the system and work is ongoing to engage system partners	Director of Public Health	March 2024	Ongoing		The new JSNA has been widely shared across the Council and partners in a Powerpoint format with the temporary workaround still in place. It is still not published in an interactive format via Power BI, although it is ready to go. An updated State of Derbyshire report with Borough and District level

							profiles will be produced for the new financial year
Principle C Defining outcomes in terms of sustainable economic, social and environmental benefits	Further officer training and support is required in relation to the use of detailed reporting templates to ensure all associated risks have been fully explored and reflected within decision making proposals. Introduction of the PMO will bring consistent business case management and monitoring of benefits realisation.	Deliver officer training and support to ensure appropriate detail is included in reports and decisions.	Director of Finance & ICT	October 2023	Ongoing	Ongoing	Ongoing

Principle D Determining the interventions necessary to optimise the achievement of the intended outcomes	ICT strategies are under development including an up-to-date ICT Strategy and Digital Strategy.	ICT Strategy and Digital Strategy under development	Director of Finance & ICT	Autumn 2023	Strategies are currently being developed.	Strategies have been developed and will be considered by Cabinet over the coming months	Further work is being undertaken to develop strategies. These will be presented to Cabinet by April 2024
	Development of consistent and effective business cases.	Work underway as part of the establishment of the Council's new Programme and Project Management Office.	Director of People and Organisational Change	Autumn 2023	A suite of templates has been developed by the PMO. A benefits realisation approach has also been developed and will support effective business case implementation.	Business Case template has been designed as part of a suite of templates for programmes and projects. These Business Cases need to be produced as part of a clear programme/project lifecycle. The next step would be to build consistency and quality of completing BC for any programme and project of change/transformation.	Business Case template for programmes and projects designed and live. Benefits management framework exists to support BC production. Embedding consistency will emerge from all new programmes and projects completing these as part of their lifecycle
	A Portfolio Management Implementation Programme is being developed alongside the establishment of	Strategic planning, PMO establishment and business case refinement exercises.	Director of People and Organisational Change	Autumn 2023	Underway.	The Portfolio Management Implementation Programme has completed its implementation stage, with all	Portfolio Management Implementation Programme completed and closed. Portfolio Management and Transformation

	a new Corporate Portfolio Management Office to ensure projects and programmes are coordinated, consistent and deliver improved outcomes and value for money.					<p>deliverables having been completed, including; 1) created a PMO, 2) centralising programme and project mgt staff, 3) Introducing a portfolio lifecycle including entry criteria and establishing Portfolio Governance (PDG) and reporting (portfolio dashboard), 4) Programme and project lifecycle and a suite of templates for consistent programme and project management approach. Final deliverable, the P3M3 maturity assessment has shown DCC have moved from level 1 to level 2 based on this work. The remaining CI work, which largely aims to build consistency</p>	function effectively established within BAU
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						and quality of delivery will be part of BAU	
	The Council could develop a more proactive approach to the use of collective intelligence to guide decision making, rather than data.	This is expected to be achieved through the development of cloud, SAP S4/HANA, other software, roles and use of intelligence.	Director of Finance & ICT	Implementation now scheduled for early 2024.	Implementation underway.	Cabinet approval October 2023 for an implementation of SAP upgrade April 2024	SAP upgrade on target for implementation by April 2024
	Improvements to be made to align budget and Council plan development.	Council plan and budget setting process are being aligned as part of budget 2024/25	Director of Finance & ICT	Winter 2023	Underway	Underway as part of Budget 2024/25	Underway as part of Budget 2024/25
	The Executive/Scrutiny Protocol has been agreed in principle but requires formal approval.	Protocol drafted, awaiting approval.	Director of Legal & Democratic Services	December 2023	Ongoing	Ongoing	Ongoing
	Improve the oversight of joint venture companies to ensure the risks to the Council are managed and the Council's interests are protected.	Complete a review of the Council's governance arrangements of Joint Ventures.	Director of Property	December 2023	<ul style="list-style-type: none"> - New set of KPI's being drafted - Client and director roles separated - New sets of rates being 	Ongoing	Business Improvement Meetings in place, with working groups wrapped around to address specific performance areas. New fee structure agreed and new KPIs under

					<p>developed & challenged</p> <ul style="list-style-type: none"> - Trading Committee meetings – regularly held (cross party meetings) 		<p>consideration. Trading Committee timetabled more regularly to enable member challenge.</p>
<p>Principle E</p> <p>Developing the entity's capacity, including the capability of its leadership and the individuals within it</p>	<p>Recruitment and retention issues remain prevalent across the organisation, with work progressing to outline options available to the organisation aligned to total reward.</p>	Ongoing	Director of People and Organisational Change	End of March 2024	Ongoing	<p>Action continues on total reward strategy and pay implementation options have been presented to CMT (September 2023). Ongoing assessment and application of the interim recruitment and retention payments policy and wider employee benefits offer.</p>	<p>Senior leadership feedback meetings have taken place in December and January regarding the organisation's approach to Total Reward. A further report to be submitted to CMT in February 2024</p>
	<p>Work is required to fully embed the new PDR process and</p>	<p>Develop technological solution to support wider roll</p>	Director of People and Organisational Change	Ongoing rollout	Ongoing	<p>Performance Management Policy approved by ACOS in July</p>	<p>Embedding of PDR approach continued with</p>

	<p>ensure all employees are provided with this opportunity. Development of a technological solution is needed to support the wider roll out of the PDR process across the Organisation.</p>	<p>out of PDR process.</p>				<p>2023 and ongoing rollout of PDR process to all employees.</p>	<p>completion of post launch implementation review of the PDR process, including line manager survey, focus groups and qualitative data analysis from PDR App (i.e., SMART goal audit). Mid-year review communications and reminders sent out to leadership population with plans to report progress at a future CMT. In addition, all grade 16, 15 and 14 leaders have now completed the Inspiring Leaders development programme, which includes managing performance. There is no technological solution available so all colleagues up to grade 13 managers will</p>
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							complete the Word template and store on employee files in EDM.
	The Core Induction and Leadership induction processes are currently under review with plans to refresh and reframe these to consider organisation, departmental and individual inductions.	Ongoing	Director of People and Organisational Change	March 2024	Ongoing	The revised employee Induction Policy is pending approval at ACOS in October 2023. This includes the addition of a specific leadership induction for all newly recruited or internally promoted employees with line manager responsibilities. For employees, all new employees will have a structured induction programme within their first six months of joining the organisation, and the policy also includes any employees moving to a new role internally.	Following ACOS approval of the revised Induction Policy, the new approach to core and leadership induction was launched.

	Whilst departmental people plans are in place aligned to the People Strategy, the organisation would benefit from a strategic workforce plan to support future talent provision and workforce changes.	Ongoing	Director of People and Organisational Change	Planning commenced by end of March 2024	Ongoing	Activity paused due to focus on temporary recruitment freeze and additional exceptional resource request processes. To be reviewed in Q3 2023/24 to ascertain whether achievable by end 23/24.	Activity remains paused and will be reviewed Q1 24/25
	Detailed officer guidance on executive decision making and non-executive decision making is in place and published on mod.gov, however it has not been widely promoted. Further work is required to ensure it is embedded.	Ensure the guidance is appropriately communicated across the organisation	Director of Legal & Democratic Services	December 2023	Ongoing	Ongoing	Ongoing. Further promotion of the decision making guidance will take place
	Member training and development programmes require improvement. A recent self-assessment exercise	Review of Member Development Working Group	Director of People and Organisational Change	March 2024		Not yet commenced pending discussions between Director ORPC and Director Legal and Democratic	Developing a proposal to take to Chair of Member Development Working Group in Q4.

	highlighted areas of weakness in relation to training, support and engagement.					Services regarding member development programme of work.	
	The Scheme of delegation in the Constitution requires review.	The wider review of the officer scheme of delegation is a larger project.	Director of Legal & Democratic Services	March 2024	Code of Conduct for Officers has been reviewed.	Revised Code of Conduct for Officers approved by Governance, Ethics and Standards Committee and Full Council. Review of Scheme of Delegation commenced with workshop held on 28 September	Review of delegation scheme ongoing. Further workshop held on 21 November and next session scheduled to take place 6 February.
Principle F Managing risks and performance through robust internal control and strong public financial management	Cyber security threats will require ongoing monitoring and development of appropriate responses. The need for a Cyber Security working group requires review in light of the ICT Strategy, currently under development.	Cyber Security Group established. Monitoring and active response to threats.	Director of Finance & ICT	Ongoing	The council are currently developing a new ICT Strategy which will incorporate a refresh of the cybersecurity strategy which will underpin how the council prepares and deals with cybersecurity threats.	As June 2023 position	Cyber Security Strategy was written, reviewed and approved in Autumn 2023. Next steps -Formulate an activity plan to deliver against the strategy (in progress) -Engage with the market to assess tools and services -Develop business cases -Periodically review strategy in

							line with the overall ICT strategy and update as necessary.
	The APEX performance system is currently being further developed to include integration of risk. This will support the use of the system to its full capacity.	Significant work over the last twelve months to integrate performance and financial reporting through APEX. These actions have been completed. Further integration of risk is now underway.	Director of People and Organisational Change	September 2023	Integration of risk continues to be developed within Apex. Reporting on Risk using the new system is planned to start in quarter 2 of 2023/24.	Action completed. Risk now integrated in APEX. Reporting of risk using the system was delivered for Q2. Moving forwards the system will continue to support the Council's management of risk within the constraints of the FTE model. Due to the recruitment pause/budget savings proposals no further integration of risk is planned at the current time.	N/A - Action complete.
	A new project management approach is under development, once embedded it will strengthen management of	Project management approach under development.	Director of People and Organisational Change	Autumn 2023	Ongoing.	Approach to managing risk, using risk registers as part of a RAID template, and taking to programme/proje	Redesign of the programme and project management function to create consistency of methodology on managing risk;

	change and associated risks.					ct boards as well as sponsors for visibility/monitoring has now been set by PMO. Next step is to build consistency. And understanding that managing risk per project, is not the same as managing organisation risk via corporate risk register, although there is a dependency i.e. often a project in of itself may be a mitigating risk within a corporate risk register.	L&D offer for Programme and project managers on managing risk effectively
	A Data Management Strategy has not yet been introduced.	Data management working group established and will work to producing strategy	Director of Finance & ICT	TBC	Underway	Underway	Underway
	The follow-up report to the Corporate Peer Review recommended "Reviewing the financial plan to recognise the new financial environment as	The financial plan will be reviewed as part of budget setting 2024/25.	Director of Finance & ICT	Winter 2023	Ongoing	Ongoing as part of Budget Development 2024/25	Ongoing as part of Budget Development 2024/25

	the Council emerges from the pandemic“.						
	Develop the process for lessons learnt from internal incidents and external Public Interest Reports	Create “library” of known incidents and share recommended best practice	Director of Finance & ICT	Underway	A Governance Group workshop has been arranged for May 2023 which will focus on PIRs. Subsequently a report will be taken to CMT highlighting current Governance arrangements across the Council.	The output from the workshops were considered as part of finalising the AGS and action plan for 2023/24	The output from the workshops were considered as part of finalising the AGS and action plan for 2023/24
	Further embedding of Risk Management Strategy required, alongside further embedding and increased understanding of risk management at an operational level. Frequency and quality of review of departmental risk registers has been highlighted as an area requiring improvement.	Risk Management Policy and Strategy to be updated during 2023/24. A self-assessment using the CIPFA/ALARM risk maturity framework resulted in performance aims for achievement by December 2024.	Director of Finance & ICT	December 2024	Ongoing		Introduction of APEX system will help managers focus on the identification and management of risks.

	Mitigation actions are not currently allocated to specific managers and do not have defined timescales for action.						
	Development of a robust post implementation review process for major projects. CMT approved the approach to review existing change projects and programmes and embed robust project management across the Council.	Work underway as part of the establishment of the Council's new Programme and Project Management Office	Director of People and Organisational Change	Ongoing	The new Project and Programme management approach rolled out during 2022.	Post implementation reviews on major projects has formed part of the reviewed and updated programme/project lifecycle which has a 5th stage – benefits realisation for post project closure. This will remain visible for PDG via PMO reporting.	No change.
	Departmental financial assurance packs to be submitted in accordance with agreed timescales.	Packs to be reviewed and completed by services	Director of Finance & ICT	September 2023	Underway	Underway	Underway
	Improve how the organisation develops and delivers budget savings proposals and efficiencies	Review process and implement revised arrangements to improve decision making.	Director of Finance & ICT	Improvements to be made as part of budget development 2024/25	Underway	Underway as part of budget development 2024/25	New process introduced for budget 2024/25

	Improve financial reporting, linking to service activity and performance	Improve financial processes and link to PMO	Director of Finance & ICT	December 2023	Commence summer 2023	Given the financial challenges the organisation faces the review is being deferred until April 2024	Given the financial challenges the organisation faces the review is being deferred until April 2024
Principle G Implementing good practices in transparency, reporting and audit to deliver effective accountability	Continue to improve robust systems for property valuations building on the enhancements completed during recent years.	Regular liaison with Finance and audit colleagues, early agreement of revaluation schedules on an annual basis. Clear timetable for delivery of valuations.	Director of Corporate Property	Ongoing – annual process	There continue to be ongoing issues with obtaining property valuations for the Statement of Accounts. Work needs to continue to improve in this area.	This remains a risk, due to the difficulties in recruiting certified valuers, an increased workload on those officers in post due to greater fluctuations in values across the estate post covid and changes to the SAP system which has shortened the valuation period. Work is ongoing to address.	Work is ongoing. The impact of changes to SAP creates risk, due to changes to the valuation date and a reduced valuation period. Recruitment of certified valuers remains a challenge and the removal of overtime as an option to cope with the reduced valuation period may create pressure.
	An action plan is being developed to support and develop the Audit Committee's effectiveness.	Action plan to be devised and delivered throughout 2023/24	Director of Finance & ICT	End of 2023/24	Ongoing	Ongoing	As part of the action plan agreement has been reached to appoint 2 independent members of the committee
	Embed the process to produce the AGS	Revised timetable, including progress reviews	Director of Finance & ICT	Completion of 2023/24 AGS by June 2024.	Ongoing	Ongoing	Ongoing

	in a timely manner.	has recently been approved by the Governance Group.					
	Strengthen the understanding of the legal basis for treating reports as exempt or confidential and introduce processes to ensure as much information is provided openly and transparently.	Appropriate action to be agreed with Head of Democratic and Registration Services.	Director of Legal & Democratic Services	TBC	Progress made in creation of Report Writing training which will cover exempt and confidential information	Ongoing	Report Writing training which covers exempt and confidential information is now available on Derbyshire Learning On Line
	Understanding and compliance with terms and conditions associated with grant funding, failure to adhere may result in the partial or full recovery of funding.	Work ongoing to improve central grants register and associated procedures. Awareness of grant funding requirements to be promoted.	Director of Finance & ICT	TBC	Ongoing	Ongoing	Ongoing
	Continue to action the recommendations of LGA Corporate Peer Review follow-up;	Key actions identified to support recommendations were included in the refresh of the Council Plan	Director of People and Organisational Change	Ongoing	An update on progress has been prepared and will be reported to Cabinet in July 2023 as part of the annual review progress.	The report was taken to CMT in August 2023 and it was decided at the meeting that this would not be reported to Cabinet. A further update will be prepared for CMT	No change

						to coincide with 2023-24 year end reporting.	
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