

Planning and Performance Management Framework

Policy and Performance Review Committee 18th January 2022

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Planning and Performance: In brief

1. What are we trying to do and how are we planning to do it?

- i. There is a clear view of what success looks like – across the organisation and with relevant partners*
- ii. Create realistic plans and budgets, settings clear accountabilities, metrics and targets*

2. How, at any given moment, will we know whether we are on track?

- i. Performance Reporting and Systems: Reporting gives a timely view of performance with appropriate detail, and it feels like it adds value rather than being a burden.*
- i. Holding robust performance dialogues: Performance reviews are both challenging and supportive, and are focussed, fact based and action orientated*

3. If we are not on track, what are we going to do about it?

- i. Actions are taken to improve performance and there are visible consequences for good and bad performance.*

Legislative Context: **Future Generations Act**

Councils are required to:

1. Set and publish Well-being Objectives (via Corporate Plan)
2. Take all reasonable steps to meet those objectives (via Corporate Plan)
3. Publish a statement about Well-being Objectives (via Corporate Plan)
4. Publish an annual report of progress (via Annual Wellbeing Report)
5. Publish its response to any recommendation made by the Future Generations Commissioner for Wales (none received, as yet)

Legislative Context: **Local Government Act**

Councils are required to:

1. **Keep performance under review:** is the extent to which it is exercising its functions effectively; using its resources **economically, efficiently and effectively**, and; its governance is effective for securing the above.
2. **Consult on performance:** with local people, staff, trade unions and partners
3. **Report on performance:** produce a self-assessment report every year, containing assessment of performance (service, finance, governance) and improvement actions identified
4. **Arrange a panel performance assessment and respond to a panel performance assessment report**

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1. What are we trying to do & how are we planning to do it?

i) There is a clear view of what success looks like – across the organisation and with relevant partners

- Capital Ambition
 - High level policy statement of the administration
 - Approved by Council
 - Clearly communicated to citizens; partners; staff and members.
- Wellbeing Objectives:
 - Outcome-focused statements which sets out what the Council wants to achieve e.g *Cardiff is a great place to grow up; Cardiff is a great place to grow older*
 - *Set in the Corporate Plan, following process of self-assessment and challenge*
 - Shared wellbeing objectives with Cardiff Public Services Board
- Wellbeing Indicators:
 - Measure progress towards achieving the Well-being Objectives
 - Outcome indicators, not service performance
 - Measured at city-level and gap between communities
 - Agreed in partnership via PSB
 - Reported annually and accessed via city performance dashboard

1. What are we trying to do & how are we planning to do it?

ii) Create realistic plans and budgets, settings clear accountabilities, metrics and targets

Council's Planning and Performance Framework, including:

- Corporate Plan
- Directorate Delivery Plans
- Personal Performance Objectives
- Budget
- Risk Management
- Workforce Action Plan
- Asset & Property Plan
- Partnership Planning (Wellbeing Plan, Area Plan, etc.)

Corporate Plan

Translates policy agenda of administration into Wellbeing Objectives, and includes SMART 'steps', with political and managerial responsibility, KPIs and targets.

Enhanced process for Corporate Plan Development now embedded:

- Mid Year self-assessment commences Corporate Plan refresh (*November*)
- Thematic Challenge Sessions (by Wellbeing Objective, *December*)
 - Involving Leader, Cabinet Member for Finance, Modernisation and Improvement, Lead Portfolio Holders, Chief Executive and relevant Directors
 - *Consider Corporate Challenges | Priorities | Key Performance Indicators | Target Setting*
- Engagement with Performance Panel (*January*)
 - *Consider Corporate Challenges | Priorities | Key Performance Indicators | Target Setting*
- Engagement with PRAP & All Scrutiny Committees (*February*)
 - *Consider Corporate Challenges | Priorities | Key Performance Indicators | Target Setting*
- Approval: Cabinet and Council (*February*)

Directorate Delivery Plans

What are they?:

- Corporate Template developed which includes:
 - **Service commitments** to achieving delivery of Corporate Plan, with associated service KPIs
 - **Corporate organisational health KPIs**, including sickness absence, training etc.
 - **Mitigating actions in relating to major risks** identified through the risk process (and link to risk register)
 - **Regulatory compliance**, including response to any recommendations or proposals for improvement
 - **Scrutiny recommendations**, including response to any recommendations or proposals for improvement
 - **Compliance with Welsh language standards/policy and Equality Objectives**
 - **Corporate Safeguarding** actions identified through the Safeguarding self assessment process
- Can be supported by Service Plans (optional)

How are they developed and agreed?:

- Developed through directorate self-assessment exercise
- Agreed at the year-end assurance sessions convened by the Chief Executive and Section 151 Office.
- Some Scrutiny Committees consider the Directorate Delivery Plan(s) which fall within their remit.

Personal Performance Objectives

- **Setting Personal Objectives** (May/June)
- **Six-month review** (Completed by November)
- **End of Year Review** (Completed by 31st May)
- **Key Principles of the Performance Discussion**
 - Focus on self-assessment and evaluation
 - Face-to-face discussion between the employee and the manager,
 - Identifies clear objectives for the individual to deliver corporate priorities
 - Reflects on what has gone well
 - Consider areas of improvement
 - Identifies actions and next steps, including any support or training required to achieve personal objectives.
- Compliance is very high, but additional work to be introduced in 2022/23 to **ensure quality**

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Reporting: Improving the Presentation of Corporate Performance Data



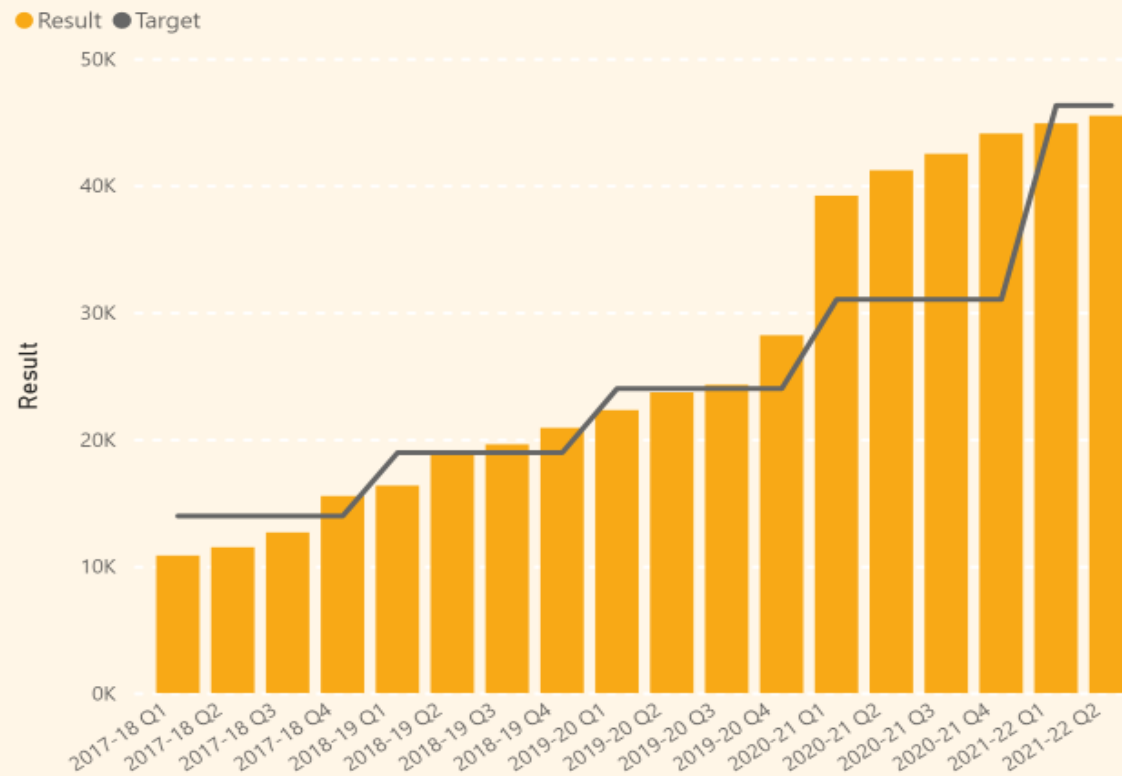
KPI Ref:
7.4

Modernising and Integrating Our Public Services

Reporting Frequency: Quarterly
Data Presented Cumulatively? No
KPI Introduced: 2017-18
Most recent data point result:
2021-22 Q2

The number of Facebook Followers

Performance by Quarter



Latest Result

45.5K

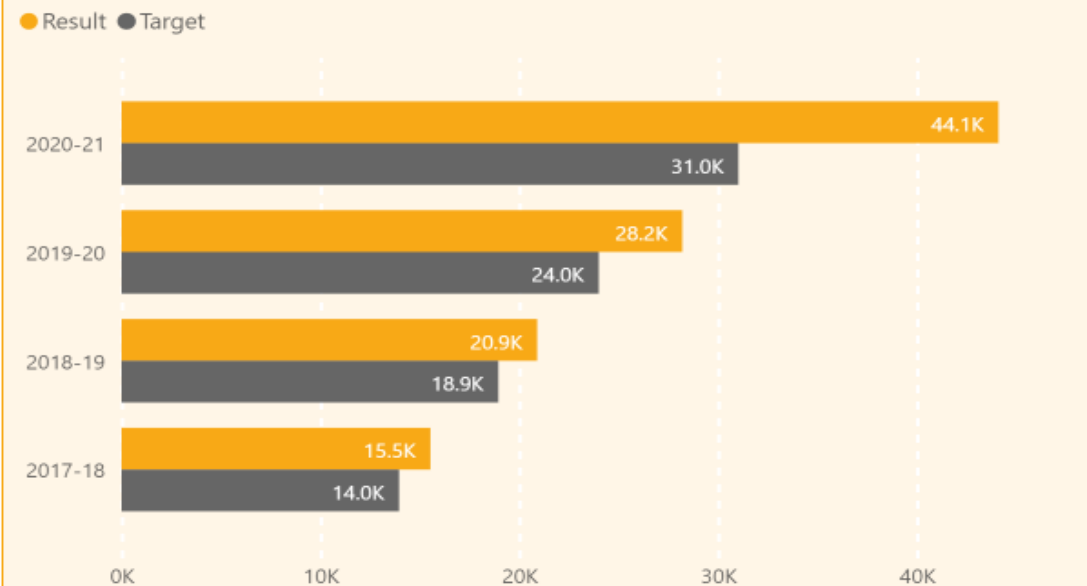
Current Year Target

46.3K

Latest Performance: RAG vs Target



Year End Result



Planning & Performance	Reporting Regime				Who has Oversight
	Q1	Q2	Q3	Q4	
Service Performance (Corporate Plan)	Quarterly Stock-take	Quarterly Stock-take	Quarterly Stock-take	Annual Wellbeing Report	Council, Cabinet, Scrutiny
Budget	Budget Monitoring	Budget Monitoring	Budget Monitoring	Annual Budget Report	Cabinet, PRAP
Governance and Risk		Senior Management Assurance (Half-Year)		Annual Governance Report	Governance and Audit Committee
	Quarterly Risk Report	Quarterly Risk Report	Quarterly Risk Report	Annual Risk Report	Governance and Audit Committee Cabinet
Recommendations of Regulatory Bodies		External Audit Tracker	<i>Assurance & Risk Assessment</i>	External Audit Tracker	Governance and Audit Committee
Recommendations of Internal Audit		Internal Audit Tracker		Internal Audit Tracker	Governance and Audit Committee
Recommendations of Scrutiny Committees		Scrutiny Tracker		Annual Scrutiny Report Scrutiny Tracker	All Scrutiny Committees
Annual Complaints and Complements Report				Annual Complaints and Complements Report	Cabinet Governance and Audit Committee
Citizen Engagement			Ask Cardiff Results	Budget Consultation	Cabinet PRAP
Wellbeing Plan (PSB)				Annual Report of the Public Services Board	PSB PRAP
Social Services				Annual Director of Social Services Report	Council, Cabinet, CYP, CASSC & Council

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		Mid-Year Self-Assessment		Year-end Self-Assessment	Council, Cabinet, Scrutiny, Governance & Audit

Annual Wellbeing Report

- **Will act as Council's Statutory Annual Self Assessment Report**
- **Integrated as part of the council's corporate planning, performance and governance processes**
- **Assessment of performance (service, finance, governance) and improvement actions by Wellbeing Objective:**
 - What has gone well?
 - What are the performance challenges and risks?
 - What are the priorities for action?
- **Draws on performance intelligence from:**
 - Internal: service performance, assurance self-assessment, risk register, budget monitoring
 - External sources: regulatory reports, scrutiny recommendations, citizen surveys
- **Result of self-assessment process involving:**
 - Directorate self-assessment exercise
 - Chief Executive / s151 Officer assurance session
 - Cabinet and Senior Management Team Progress and Performance
 - Scrutiny: PRAP and Performance Panel
 - Governance and Audit Committee
 - Cabinet and Council

Self Assessment: Principles

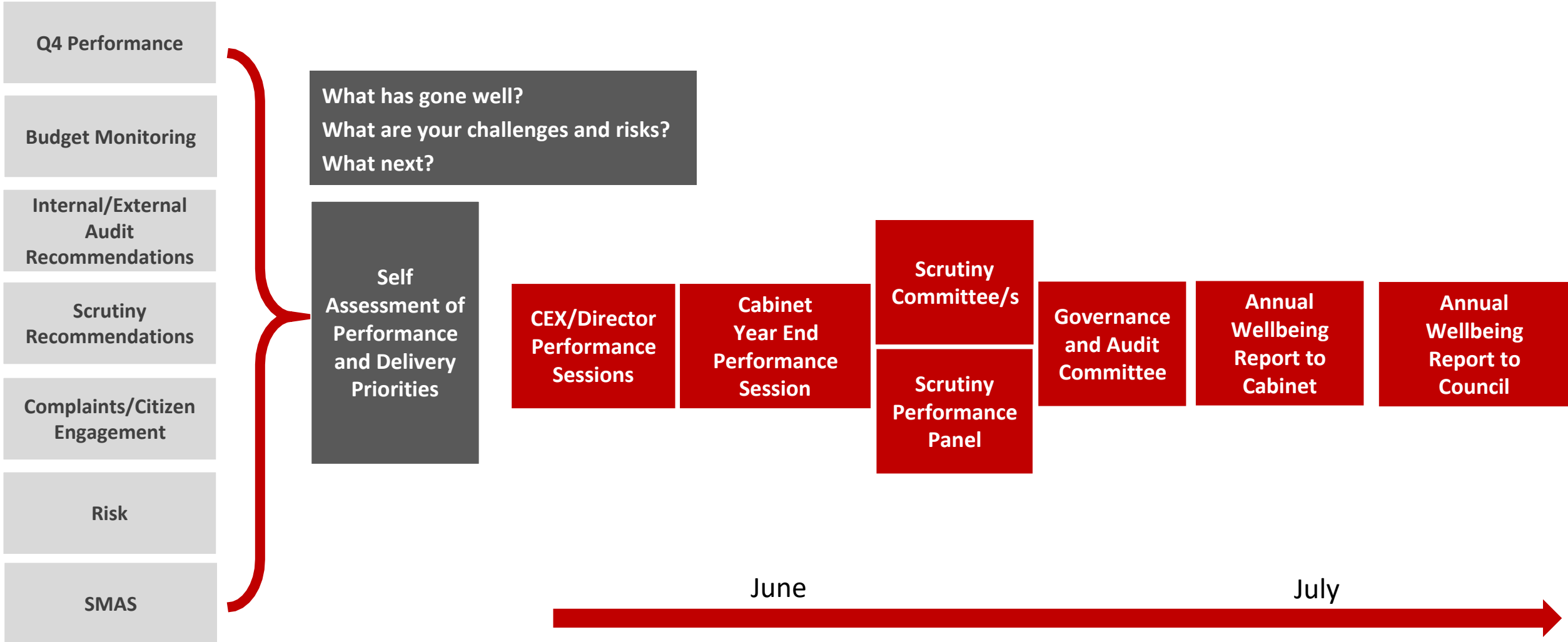
Mechanism for a council to keep its performance under review is self-assessment, with a duty to publish a report setting out the conclusions of the self-assessment once in respect of every financial year, containing assessment of performance (service, finance, governance) and improvement actions identified

Self-assessment is a way of **critically, and honestly, reviewing the current position** in order to make decisions on how to secure improvement for the future.

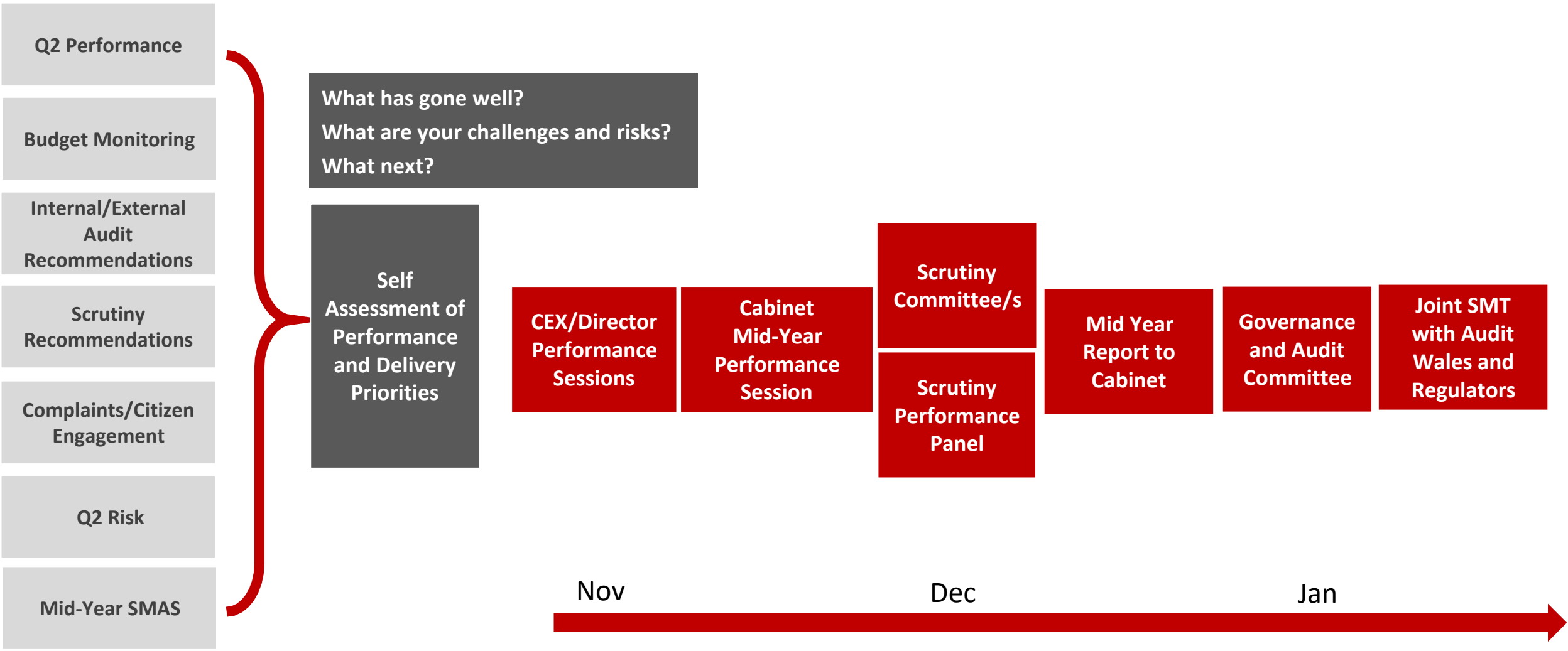
The statutory Guidance sets out several **principles**:

- *'Self-assessment is not a fixed judgement.*
- *It should be a meaningful process, not an exercise in compliance.*
- *The process should encourage honesty, objectivity and transparency about the council's performance and governance.*
- *It should be owned and led at a strategic level, involving members and officers at all levels of the organisation.*
- *It should be an evidence-based analysis, understanding what a range of quantitative and qualitative information at the council's disposal reveals about how it is exercising its functions, using its resources and governing itself.*
- *It should be focused on outcomes, what has been achieved rather than the process.*
- *It should not be a standalone process, but integrated as part of the council's corporate planning, performance and governance processes.'*

Self Assessment Process



Mid-Year Self Assessment Process



Role of Scrutiny: WG Guidance

Para 1.12 – ‘Council executives should welcome and encourage scrutiny inquiries to make recommendations for system improvements, and governance and audit committees will play a key role in the performance and governance regime.’

Para 1.15 – ‘Principal councils are responsible for...Setting out any actions to increase the extent to which the council is meeting the performance requirements, including, for example, the role of scrutiny in challenging and driving the extent to which the performance requirements are being met.’

Para 1.17 – ‘Councils should use the findings of scrutiny committees, auditors, inspectors, regulators and commissioners on how a council is delivering its functions and governing itself to inform its self-assessment...’

*Para 2.28 – ‘Scrutiny committees are a key part of offering constructive challenge to how a council is performing and how it organises itself in the delivery of sustainable services. **Scrutiny committees, as well as internal audit, will be a key part of a council’s self-assessment, and the council should determine and agree how best to involve their scrutiny committees in the self-assessment process itself, not just in considering the outcomes of any self-assessment.**’*

Role of Scrutiny

It is proposed that:

- Performance Panel & PRAP consider draft Self-Assessment Report and make recommendations for improvement
- Performance Panel & PRAP consider mid-year review and make recommendations for improvement
- All Committees to receive draft reports for noting
- Recommendations from Scrutiny Inquiries and Letters part of self-assessment intelligence via Scrutiny Tracker.

It is also proposed that:

- **Each Scrutiny to receive quarterly performance report** providing update against the Steps and KPIs that **fall under their Terms of Reference**
- **PRAP to receive Quarterly “Stock-Take” Report** covering all Corporate Plan KPIs and Steps
- Update on Scrutiny Tracker provided at mid-year and year-end.

Role of Governance and Audit Committee

- *The council must make a draft of its self-assessment report available to its governance and audit committee. The committee must review the draft report and may make recommendations for changes to the conclusions or action the council intends to take. If the council does not make a change recommended by the governance and audit committee, it must set out in the final self-assessment report the recommendation and the reasons why the council did not make the change (Welsh Government Guidance)*

Governance and Audit Committee will:

- Receive draft Annual Wellbeing Report (July)
- Receive briefing on output and approach to mid-year self-assessment exercise (January)

Relationship between Scrutiny and Governance and Audit Committee

- Scrutiny Committees continue to be responsible for scrutinising specific performance issues within the remit of their ToR and executive decision making. The work of Scrutiny Committee's as they relate to performance issues will feed into the Annual Wellbeing report – which then must be shared with Governance and Audit Committee.
- Governance and Audit review the report and make recommendations, but in relation to high level issues around securing the Performance Requirements using the governance infrastructure of the Council, rather than recommendations on the specific service area performance issues dealt with by Scrutiny Committees themselves.

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Improvement: Tracking in-year action

Directorate Self Assessment

CEX Assurance Sessions

Cabinet Performance Session

Performance Panel

Scrutiny Recommendations

Audit and Governance Committee

**Improvement
recommendations
identified and agreed**

a) Actions included in and reported through existing Corporate Reporting Framework (e.g. Risk, Budget, DDP)

b) In areas where further analysis and understanding required, Performance and Insight Team commissioned.

Duty to arrange a panel performance assessment and respond to its findings

- **Purpose:** The panel is required to assess the extent to which the council is meeting the performance requirement
- **Timing:** The council has a duty to arrange a panel performance assessment at least once during an electoral cycle.
- **Membership:** As a minimum:
 - An independent panel chair – not currently serving in an official or political capacity within local government;
 - A peer from the wider public, private or voluntary sectors;
 - A serving local government senior officer, likely to be equivalent to chief executive or director, from outside the council to be assessed, and;
 - A senior elected member from outside the council to be assessed.
- **Consideration:**
 - The council must make the report available to the council's governance and audit committee and publish the report.
 - The panel must send the report as soon as is reasonably practicable after it has been prepared to: the council; The Auditor General for Wales; Her Majesty's Chief Inspector of Education and Training in Wales, and The Welsh Ministers.
- **Response:** The council must prepare a response to the panel performance assessment report.

Duty to Consult on Performance

- Consultation throughout the year (not one-off)
- With defined stakeholder groups
 - local people;
 - other persons carrying on a business in the council's area;
 - the staff of the council, and;
 - every trade union which is recognised by the council.
- Intelligence demonstrably used to inform performance assessment.
- Aligned to the development of new Citizen Engagement Strategy (required in 2022).

Summary

- Council's Planning and Performance Framework has adapted to meet new legislative requirements:
 - Focus on self-evaluation, with involvement of managerial and political leadership
 - Strengthened planning framework – Corporate Plan, DDPs, PPDR and links to budget, workforce and governance/risk
 - Simplified performance reporting - easier to understand and interrogate
 - Introduction of self-evaluation reports to provide strategic assessment at mid year and year end
- This includes an enhanced role for Scrutiny, including:
 - Strengthened planning process, with input from Scrutiny Committees and Performance Panel.
 - Introduction of mid-year and year-end self-assessment, with input from Scrutiny Committees and Performance Panel.
 - Greater alignment and integration of wider performance systems (service performance, finance, governance and risk, other)
 - More timely performance reporting
 - 'Tracker' approach introduced for scrutiny (and regulatory) recommendations
 - Improvements to data collection, reporting and analysis