

**CAERPHILLY COUNTY BOROUGH COUNCIL:
*SERVICE IMPROVEMENT FRAMEWORK***

Introduction

As a Council we are particularly focusing on ensuring that we develop a culture across the organisation of high expectations and accountability which will be underpinned by:

- A culture of clearly stated and embedded values and beliefs.
- A robust performance culture across the organisation and with partners.
- Self evaluation informing the planning and performance management processes.
- Data and information provided to enable well informed challenge of performance.
- The most important challenges facing the local authority being identified and addressed.
- Services being monitored and evaluated in terms of improved outcomes and value for money rather than inputs and outputs.
- Effective Member scrutiny.
- A definition of what success looks like in the future.
- Sharing our vision with staff and people in Caerphilly.

The Service Improvement Framework is a key element in developing and improving the organisation.

Purpose of the document

- To explain the Service Improvement Framework (SIF) and set out how self evaluation informs that framework.
- To assist in developing a robust performance culture across the organisation and with partners.
- To explain the importance of data and information to inform Corporate and Service Planning and to enable well informed challenge of performance.
- To reinforce the need for services to be monitored and evaluated in terms of improved outcomes and value for money rather just than inputs and outputs.
- To ensure that the most important challenges facing the Council are identified and addressed.
- To identify strategic and organisational priorities to help plan delivery against needs.

The document is applicable to all staff and councillors. It will be complemented by the more detailed ***SIP Guidance and Service Review Guidance*** that outlines in more detail the key approaches and expectations in delivering the framework, and disciplines in undertaking any self evaluation.

The process and approach to self evaluation forms a core part of this framework. Self evaluation is designed to help everyone in the organisation consider the impact of external factors, monitor performance against the outcomes and performance measures that have been set, and identify appropriate ways to improve and develop.

The whole purpose of self-evaluation is to provide the understanding and evidence needed to make the best possible plans for the future. Self evaluation is the main opportunity for Senior Managers and staff to honestly and objectively consider and document service performance, and provide their professional expertise to identify scope and options for service improvement, service change/rationalisation and savings. It should also provide greater clarity about what Services are aiming to achieve and why.

The Service Improvement Framework (SIF)

What is the purpose of the framework?

The purpose of the SIF is to ensure that we:

- Plan our services with a clear line of sight from the priorities identified in the Single Integrated Plan and Corporate Plan through strategic service plans and operational team plans to individual PDR's – the 'golden thread';
- Manage and deliver our services against these plans;
- Review our achievements against these plans, identify scope and options for service improvement, service change/rationalisation and savings in a systematic and effective way, to support strategic decision-making;
- Update our plans in the light of these reviews and manage service and corporate risks effectively; and
- Maximise opportunities and minimise threats as part of a process of continuous service improvement.

The establishment of a comprehensive SIF (and accompanying guidance) has been a key focus of the Improving Governance Programme at the Council. This framework, if approved and will provide the key to:

- establishing outcome-focused strategic priorities for the organisation that clearly can be seen to support the Single Integrated Plan with demonstrable prioritisation processes
- ensuring a strong collaborative approach to strategic planning and visioning for the area leading to a Corporate Plan underpinned by effective community engagement and a robust needs assessment
- identifying clearly understood responsibilities and accountabilities across the organisation for inputting to that priority setting, and for the management and delivery of the outcomes
- securing clear integration of corporate and operational planning with financial planning and management arrangements
- providing mechanisms for effective and regular evidence based self evaluation of all services and functions
- maintaining a regular performance management approach with good timely effective strategic and operational performance information
- ensuring there are HR approaches that clearly link individual responsibilities, appraisal and training needs to the corporate priorities of the organisation and the outcomes that services are aiming to deliver.

Where these arrangements work well, they also draw from established and embedded organisational values and culture, and an improvement in customer experience.

The framework is designed so that everyone who works for the council recognises that they have a responsibility to improve performance at some level and that they have a clear understanding of how their tasks and activities which are undertaken on a daily basis assist the organisation in realising its strategic outcomes.

What are the key documents?

The Council's Key Planning Documents (Golden Thread) and how they link together is set out below.

"The Golden Thread" demonstrates how the Council's planning requirements and associated documents interlink, and outlines that all staff have a role in delivering not only service improvements but delivering on the outcomes outlined in the Local Service Board's Single Integrated Plan and the Council's Corporate Plan. A description of those plans is included below along with a diagram explaining their relationship.

Caerphilly's Local Service Board's Single Integrated Plan

This plan is a new approach to partnership working in Caerphilly. It replaces the four previous plans that we had to produce in partnership:

- Community Plan
- Health, Social Care and Well being Strategy
- Children and Young People's Plan
- Community Safety Plan.

The local service board brings together our public service leaders and is at the heart of multi-agency working. It is responsible for leading and overseeing the delivery of the new single integrated plan. The plan identifies clear outcomes we want to achieve that will have a positive impact for people.

The local service board is committed to delivering the vision for Caerphilly with 5 key outcomes:-

PROSPEROUS CAERPHILLY

SAFER CAERPHILLY

LEARNING CAERPHILLY

HEALTHIER CAERPHILLY

GREENER CAERPHILLY

Caerphilly County Borough Council Corporate Plan (currently the Improvement Plan)

The Corporate Plan (currently the Improvement Plan) is the key Council policy document which identifies the council's priority outcomes and key improvement initiatives/projects over a set period of time, and how they support delivery of the Single Integrated Plan.

The Council is required to publish progress against priorities on an annual basis. This takes the form of an annual performance report which is published annually in October.

Strategic Improvement Plans/Service Plans

Each Director/Head of Service is currently responsible for developing and implementing Strategic Improvement Plans. Each service area within the Council must have a Strategic Improvement Plan that is updated on an annual basis.

Strategic Improvement Plans are a key building block in any Service Improvement framework. They identify the priorities of each service and how they contribute towards the Council's Priorities and Corporate Priorities for improvement as set out in the Corporate Plan and the Single Integrated Plan. However, currently the Strategic Improvement Plans are not operational plans that cover the day to day business of the service and this now needs to be brought together in one plan.

Delivery against service priorities will be outlined in the strategic service plans using the headings below:

- What do we want to achieve? – specific outcomes
- How will we deliver this? – tasks
- How will we measure success? – measures
- What are the risks/barriers to delivery? – key strategic service risks/corporate risks

Operational Team Plans (for individual operating units where appropriate)

Operational Team Plans provide a link between the Strategic Service Plan and individual Personal development Reviews (PDRs). Plans should identify those service outcomes that are relevant to the team and list actions, performance measures and targets that support delivery of those outcomes and against which the team will be monitored. Day to day business may also be included where appropriate.

The operational team plans will contain an action plan that supports delivery using the headings below:

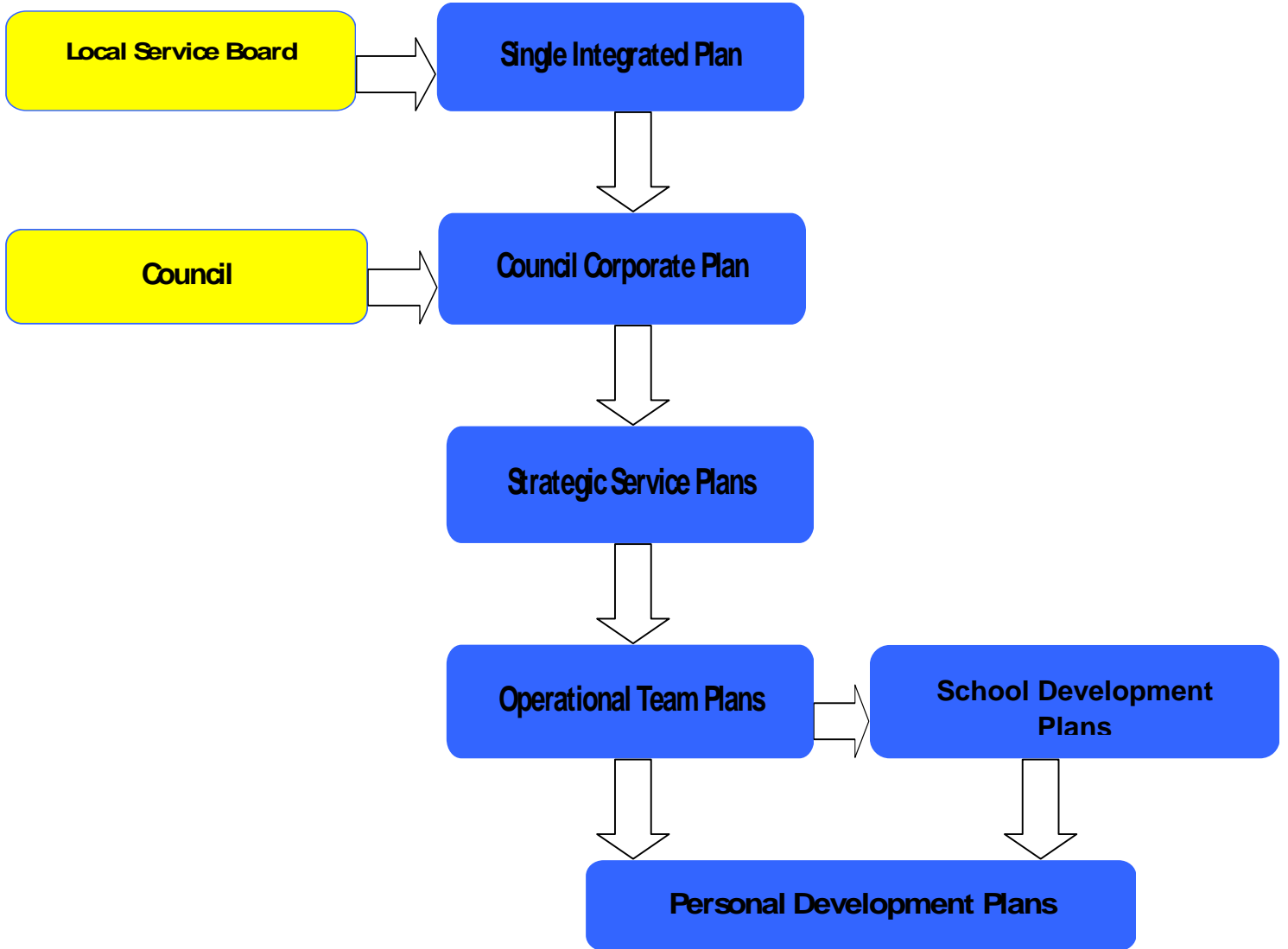
- What do we want to achieve? – specific outcomes
- How will we deliver this? – actions
- How will we measure success? – measures
- What are the risks/barriers to delivery? – key operational risks

Personal Development Reviews

PDRs are both personal reviews and development plans which set out individual objectives.

The PDR should detail how an individual contributes to the teams overall outcomes as identified in the operational team plan. In this way an individual should be able to understand how they contribute to the council's overall priorities.

GOLDEN THREAD DIAGRAM



Continuous Improvement Cycle

Within any Planning and Improvement framework there is a continuous improvement cycle based around a set of four clear linked activities: **plan – do – review - revise** (see Figure 2 below). This allows for the dynamics of council decision making and provides for both:

- The periodic more formal self-evaluation across all services designed to link into the Council's broader corporate and financial planning timetables; and
- ongoing review and response to change and performance delivery as part of regular performance management and the dynamics of Council business.



Plan - based on current performance and a strong evidence base (including speaking to customers and stakeholders about their experience of Council services), prioritise what needs to be done, identify actions that need to be taken, identify the risks and resource implications, identify scope and options for service improvement, service change/rationalisation and savings in a systematic and effective way, to support strategic decision-making; and plan using appropriate measures and targets. **This is the key formal periodic self-evaluation process for every part of the council.**

Do - make sure the proper systems and processes are in place to support improvement, take appropriate action, manage risk and help people to achieve better performance.

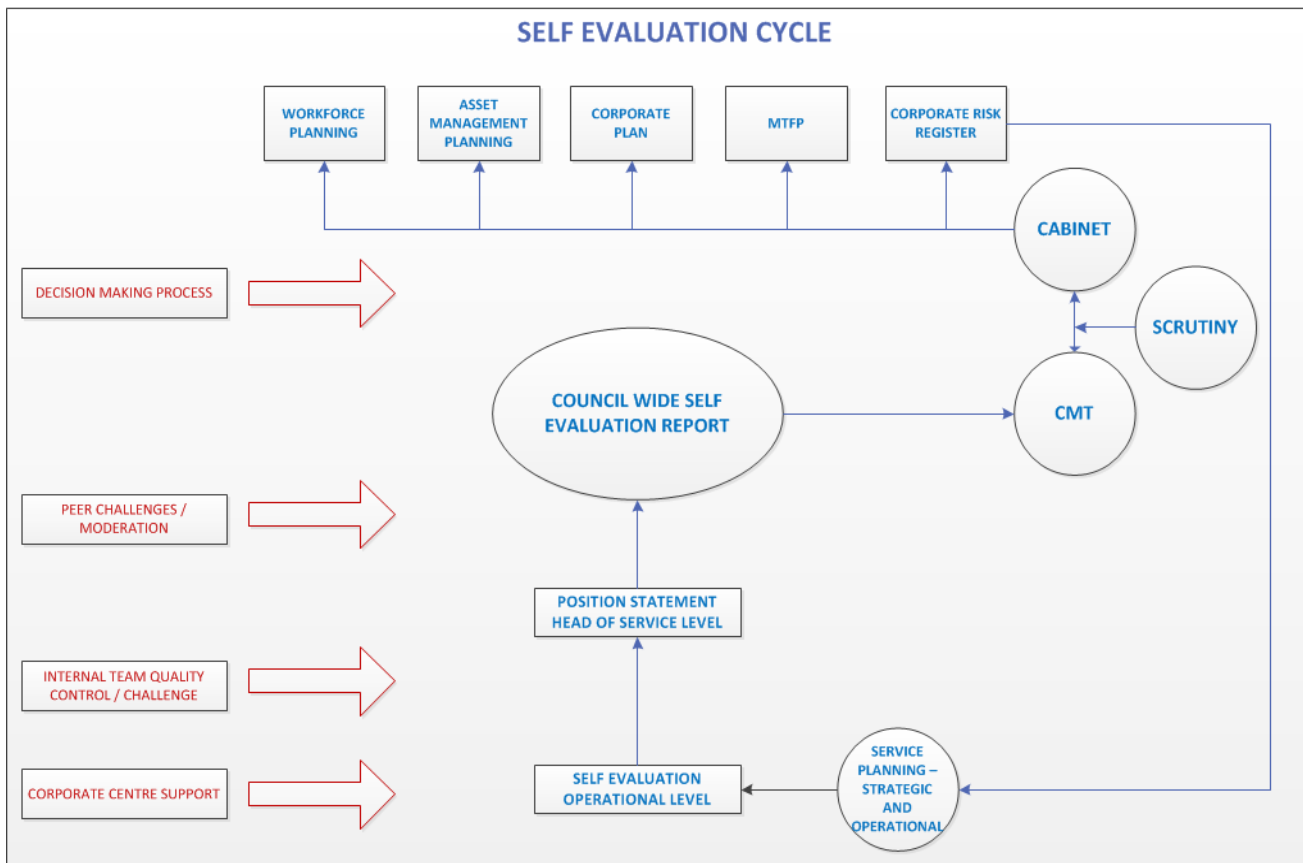
Review - understand the impact of our actions, review on-going performance and risk and service change. This is the on-going aspect of performance management that reflects the dynamics of council activity and the need to respond promptly to service change/need.

Revise - use the lessons learned from the on-going review to change what we do so that future actions are more efficient and effective and identify the scope for improvement and the resource implications for the council.

Self –Evaluation – The Key Supporting Mechanism to the Service Improvement Framework

Self-evaluations will be undertaken for all services and corporate functions within the council. This formal self-evaluation element of the SIF is timed to allow their findings to transparently influence the overall SIF planning cycle described in this framework document.

The diagram below aims to explain the process:



Evaluating corporate and service performance against strategic and operational outcomes, and identifying improvements and risks (and their resource implications) should be an integral part of effective dynamic service management and an integral part of broader strategic planning and performance management arrangements. Driven by a range of legislative requirements, by regulatory frameworks, and by councils’ own business ethos and business plan/planning processes, robust self-evaluation is now seen as a fundamental and necessary part of overall governance and management arrangements

Self-evaluation is the core mechanism for service evaluation across the organisation. It is not an “add –on” to daily business planning or undertaken separately of other local business planning processes in order to support corporate requirements or external regulatory requirements.

The findings from any self-evaluation should be used to influence and impact on a broad range of the council’s planning processes and reporting arrangements, as illustrated in the SIF Evaluation Cycle demonstrated above.

Key Steps in the Self Evaluation and Planning Process

All Service Managers across the Council will carry out a Self Evaluation of their service with input from their staff based on Self Evaluation questions which will also identify Service Risks. These questions are shown at Appendix 1, and are likely to cover the following headings: and will need to be supported by relevant data and evidence.

SELF EVALUATION MODEL 2013-14 FACTOR HEADINGS	
1.	<i>What has the Self Evaluation concluded about:</i> <ul style="list-style-type: none"> ▪ <i>The current performance of the service?</i> ▪ <i>The main challenges facing the service and its delivery?</i> ▪ <i>The key service contraction/needs/opportunities that exist?</i> ▪ <i>The key service improvements or enhancements that are needed?</i>
2.	<i>What measures will deliver those key changes?</i>
3.	<i>What are the main risks and challenges to the organisation and services in securing those changes?</i>
4.	<i>What are the key risks to the organisation/services if those service contractions and/or improvement needs are <u>not</u> achieved?</i>
5	<i>What are the cost benefits, additional costs or other resource implications (including workforce planning) of delivering those service contractions or improvement needs?</i>

The completion of the model will allow a Position Statement to be produced for each operational area.

Following this exercise, each Director and Head of Service will produce a position statement for their areas of responsibility drawing on the Position Statements for each operational area. These will be subject to challenge by a Central Peer review group.

The Head of Service position statements will then be summarised into a Council Wide Self Evaluation Report which will be considered by CMT, Scrutinised by the Scrutiny Committees and then presented to Cabinet as part of the decision making process regarding prioritisation and funding decisions within the Council. This will inform Workforce Planning, Corporate Plan, Medium Term Financial Plan, Corporate Risk Register and Asset Management Plans, and will also loop back to inform Strategic and Operational Service Planning.

What are the key deadlines within the Service Improvement Framework?

As an integrated process with a range of statutory and non-statutory plans, it is vital that a range of key deadlines are built into the overall SIF annually. These are noted in the timetable below.

Plan name:	Review:	Draft:	Finalise:	Publish:
Single integrated plan	December	Feb	March	April

Corporate Plan	December	Feb	March	April
Strategic Plans including self evaluation	October	November	February	April
Operational plans including self evaluation	November	January	March	April
PDR's	Feb	March	March	N/A

Guidance Document to support the Service Improvement Framework

The accompanying *Guidance Manual* to this SIF framework will provide more detail on the processes associated with the Service Improvement Framework including extensive guidance on understanding and undertaking a self-evaluation as well as guidance on completing Strategic & Operational Plans, setting targets, data quality and risk management.

Key questions

<p><i>What has the Self Evaluation concluded about:</i></p> <ul style="list-style-type: none"> ▪ <i>The current performance of the service?</i> ▪ <i>The main challenges facing the service and its delivery?</i> ▪ <i>The key service contraction/needs/opportunities that exist?</i> <p><i>The key service improvements or enhancements that are needed?</i></p>
<p><i>What measures will deliver those key changes?</i></p>
<p><i>What are the main risks and challenges to the organisation and services in securing those changes?</i></p>
<p><i>What are the key risks to the organisation/services if those service contractions and/or improvement needs are <u>not</u> achieved?</i></p>
<p><i>What are the cost benefits, additional costs or other resource implications (including workforce planning) of delivering those service contractions or improvement needs?</i></p>

Summary conclusions

This template has been designed to document summary conclusions and judgements from the self-evaluation. It will be used both:

- To help inform the internal challenge process; and
- Support the preparation of the Corporate Plan referred to in the guidance note that will form a key part of ongoing planning and decision making for the council