



CABINET - 26TH FEBRUARY 2020

SUBJECT: NEW PERFORMANCE FRAMEWORK 2020

REPORT BY: CORPORATE DIRECTOR OF EDUCATION & CORPORATE SERVICES

1. PURPOSE OF REPORT

- 1.1 To present to Cabinet a new Performance Framework for the Council that is fit for purpose and supports the development of future operating models.

2. SUMMARY

- 2.1 The Council's Performance Framework has been in its current format for several years and has formed a foundation stone of the Council's governance arrangements.
- 2.2 As the Council embarks on its ambitious Transformation Programme, Team Caerphilly, alongside the emergence of new legislation such as the Local Government and Elections (Wales) Bill 2019, it is both timely and opportune that the Framework is redeveloped and enhanced.
- 2.3 This report introduces the key components of the new Performance Framework, how the components interrelate and the reporting arrangements that have been established to embed the framework into operational use.

3. RECOMMENDATIONS

- 3.1 It is recommended that:
- 1) Cabinet approves the new Caerphilly Performance Framework 2020.

4. REASONS FOR THE RECOMMENDATIONS

- 4.1 The adoption of a modern and flexible Performance Framework that focuses on action, learning, driving improvement, mitigating risk and adding value will provide the organisation with all it needs to deliver its strategic objectives and improve services.

5. THE REPORT

- 5.1 The new Performance Framework has been developed to meet a number of strategic and operational needs as well as to align with emerging legislation and further the

Council's desire to be a high performing learning organisation focused on meeting the needs of its residents.

5.2 **The Framework**

The Council's new Performance Framework (Appendix A) has a number of component parts:

- Corporate Performance Assessment (CPA)
- Directorate Performance Assessment (DPA)
- Service Planning
- Risk Management
- MyTime Extra

While each component provides useful insight and intelligence in its own right, it is when they are considered collectively that the power of the new framework can really be seen.

5.3 **Corporate Performance Assessment (CPA)**

The CPA dashboard is used by the Corporate Management Team (CMT) and Cabinet to monitor the Council's progress in delivering its strategic priorities, identifying and challenging areas of underperformance and discussing and agreeing any remedial actions that may be required.

The dashboard, which is attached at Appendix B, provides a graphical and easily accessible overview of:

- Progress against CMT priorities, Directorate Management Team (DMT) priorities, Wellbeing Objectives and the Team Caerphilly Action Plan
- Budget position (over / underspend) by Directorate
- Corporate Risk position
- Sickness Absence position by Directorate and Service
- Workforce position (starters and leavers)
- Complaints and Compliments received by Directorates
- Public Accountability Measures
- Freedom of Information requests received and compliance

The dashboard is received by CMT on a quarterly basis as well as being shared twice yearly with Cabinet. While the dashboard itself offers a rich insight it is the quarterly discussion at CMT that enables constructive challenge and, ultimately improvement activity to be agreed.

5.4 **Directorate Performance Assessment (DPA)**

The CPA Dashboard is underpinned by a more detailed set of Directorate Performance Assessment (DPA) dashboards. DPAs provide Directorate Management Teams with a range of data to keep progress under review, drive performance improvement and manage resources, intelligence and risks.

Information within the DPA dashboards is grouped as follows:

- Overall summary of the Quarter
- Progress on a Directorate's Priorities
- Performance Data
- Customer Intelligence

- Resources – financial / workforce and assets
- Risk Register
- Well-being Objectives
- Lessons Learned
- Conclusion

The DPAs are received by DMTs on a quarterly basis providing opportunities to account for progress, challenge performance and agree improvement activity. Data from DPAs will be shared with relevant Scrutiny Committees twice yearly.

5.5 Service Planning

A new approach to service planning and priority setting was piloted in Corporate Services during 2019. The pilot worked well and is now being adopted by the wider organisation (see Appendix C). The process centres on an annual Directorate service planning workshop which takes place in February.

In advance of the workshop, Heads of Service are set the task of working through a set of questions with their staff to identify key priorities and targets for the year ahead; recognise service contributions to the wellbeing objectives; propose measures of success, and define potential risks.

These are discussed and shaped with other Heads of Service at the service planning workshop with the final output being transposed into the DPA and CPA dashboards for quarterly review, the MyTime Extra review process as well as being published and distributed as a booklet to staff from across the service.

Where services have existing mechanisms in place for setting priorities (for example Education have robust processes that meet ESTYN requirements) they are required to populate the DPA dashboards with the relevant information before the beginning of the financial year.

5.6 Risk Management

The monitoring of risk is now embedded within the CPA and DPA dashboards rather than existing as a standalone document. As such, risks are monitored quarterly at Corporate Management and Senior Management Teams with risk levels and mitigating actions discussed and agreed.

The CPA contains the organisations 'high level risks' and is owned and updated by CMT. DPAs contain Directorate as well as CMT risks. The Council's risk position continues to be reported twice yearly to the Audit Committee.

5.7 MyTime Extra

The Council is in the final stages of consultation on the development of a replacement for its Personal Development Review (PDR) process. The new approach, which will still be undertaken formally on an annual basis has been entitled MyTime Extra. It is anticipated that the MyTime Extra guidance will be formally adopted prior to the beginning of the new financial year.

MyTime Extra is a set of principles to support annual meetings with staff to explore what's gone well and set goals and priorities for the following year. The concept has been introduced as part of the Team Caerphilly transformation programme. The annual discussion enables staff to reflect on their prior achievements, discuss any learning that

has emerged, define their contribution to the service objectives defined at the service planning workshop and to explore their training and development needs.

MyTime Extra enables a specific link to be made between the work of the individual and the priorities of the organisation.

5.8 Well-being Objectives (WBO's)

The process for reporting the WBO's remains unchanged at a Member level with a twice a year report to Scrutiny and Cabinet. The six month report will continue to be for information only while the yearly update will be presented as it is a requirement of the Future Generations Act. The main difference to note is that there will be a short quarterly update in the DPA's to raise any emerging risks or concerns to delivery of the WBO's as well as highlighting any successes.

5.9 Reporting

Each year a performance calendar is published on the intranet. The performance calendar is currently being updated with specific dates for 2020/21, below is listed the approximate reporting activities with time frames;

Topic	Planning	Reporting Frequency	Audience	Reporting on approx. times
Service Planning Priorities	Priorities developed Jan-March Populated into DPA April	4 times a year	DMTs & CMT	As part of the DPA
		2 times a year	Scrutiny & Cabinet	June / Jul Dec / Jan
Corporate Performance Assessment (CPA)	Summarised from DPA	4 times a year	CMT	Q1 - July Q2 - Nov Q3 - Jan Q4 – April / May
		2 times a year	Cabinet	Q2 Dec / Jan Q4 June / July
Directorate Performance Assessment (DPA)	Content from DPA reported into the CPA	4 times a year	DMTs & CMT	Q1 - July / August Q2 - Nov Q3 - Jan Q4 – May / June
		2 times a year	Scrutiny & Cabinet	Q2 Dec / Jan Q4 June / July
Risk Register (built into the DPA & CPA)		4 times a year	DMTs & CMT	As per the DPA
		2 times a year	Audit Committee	May / June Dec / Jan
Well-being Objectives	Highlights / exceptions	4 times a year	CMT	As the DPA
	Info only	6 month update	Scrutiny &	Dec / Jan
	Presented	Year end update	Cabinet	June / July
Annual Report	Statutory Report	Yearly	All Members Public	30 th October

5.10 Conclusion

The Council's new Performance Framework as set out will provide Cabinet, Scrutiny Committees, CMT and DMTs with a regular and embedded mechanism for monitoring progress, managing performance and driving improvement. The dashboards, which provide a single source of the truth', enable key aspects of performance to be discussed, action to be agreed and learning to be generated. The ability to specifically link individual contributions to organisational goals provides a platform for every employee to understand how they fit and to be recognised for the part the play in delivering the Council's objectives.

6. ASSUMPTIONS

- 6.1 It is assumed that the outstanding consultation taking place around the MyTime Extra guidance will conclude positively and support will be forthcoming.

7. LINKS TO RELEVANT COUNCIL POLICIES

7.1 Corporate Plan 2018-2023.

The Corporate Plan 2018-2023 has been reviewed and updated and a report was presented to and agreed by Cabinet at its meeting on the 10th July 2019.



Review of Corporate
Plan 2018-2023 2019

8. WELL-BEING OF FUTURE GENERATIONS

- 8.1 The Well-being of Future Generations (Wales) Act 2015 requires a public body to set Well-being Objectives in order to maximise contribution to the social, economic, environmental and cultural well-being of an area and this is detailed in the Corporate Plan 2018-2023.
- 8.2 The Council is required to use the sustainable development principle in setting its Well-being Objectives and in its entire decision making. It is also required to change how it carries out seven of its organisational activities (with Planning, Performance and Risk Management being 3 of the 7). The Annual Performance Report will continue to show how we have used the sustainable development principle in delivering our objectives.

9. EQUALITIES IMPLICATIONS

- 9.1 No specific Equalities Impact Assessment has been undertaken on this report; however the Local Government (Wales) Measure 2009 cites fairness and accessibility as part of the definition of what 'improvement' means. Delivery of the Well-being Objectives maximises our contribution to all the national well-being goals including 'A More Equal Wales'.

10. FINANCIAL IMPLICATIONS

- 10.1 The new Performance Framework replaces an existing system and has not required any additional budget. Any future development in relation to the automation of data collection will be managed within existing resources.

11. PERSONNEL IMPLICATIONS

- 11.1 There are no personnel implications arising from this report.

12. CONSULTATIONS

- 12.1 This report has been sent to the Consultees listed below and all comments received are reflected in this report.

13. STATUTORY POWER

- 13.1 Local Government Measure 2009.
Well-being of Future Generations (Wales) Act 2015
Local Government and Elections (Wales) Bill 2019, expected implementation April 2020.

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Consultees: Cllr Eluned Stenner, Cabinet Member for Finance, Performance and Planning
Christina HARRY, Interim Chief Executive
Richard Edmunds, Corporate Director for Education & Corporate Services
Mark S Williams, Interim Corporate Director, Communities
Dave Street, Corporate Director, Social Services
Steve Harris, Interim Head of Business Improvement and Acting Section 151 Officer
Rob Tranter, Head of Legal Services & monitoring Officer
Kathryn Peters, Corporate Policy Manager
Anwen Cullinane, Senior Policy Officer Equalities and Welsh Language

Background Papers:

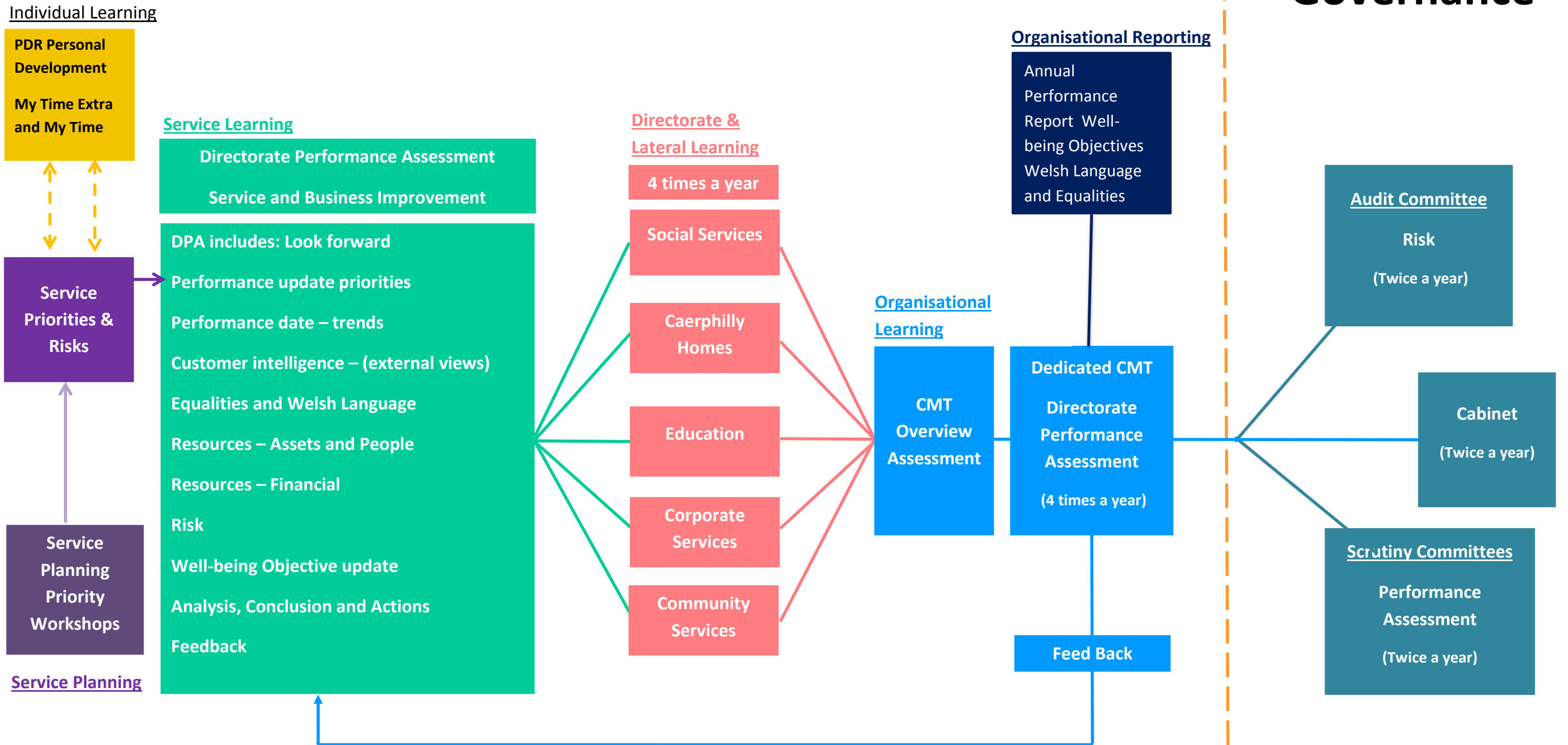
Cabinet (10/07/19) – Review of Corporate Plan (2018 – 2023) 2019

Appendices:

A – Performance Framework 2020
B – Example of CPA Dashboard
C – Service Planning 2019 - 2023

Appendix A - Performance Framework 2020

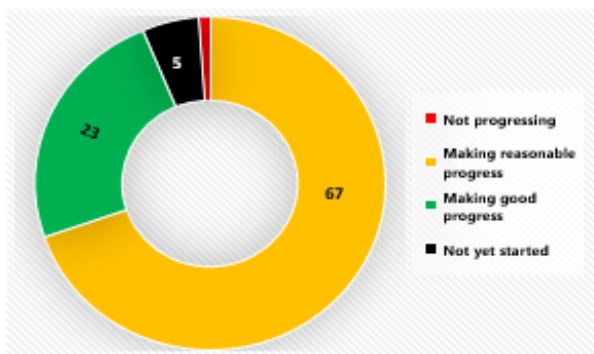
Reporting & Governance



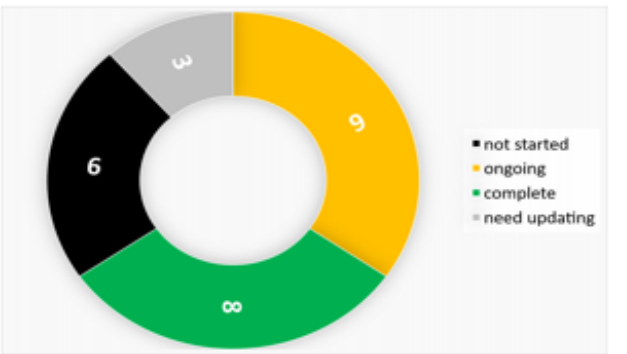
Appendix B

Corporate Performance Assessment - Quarter 2 - 2019/20

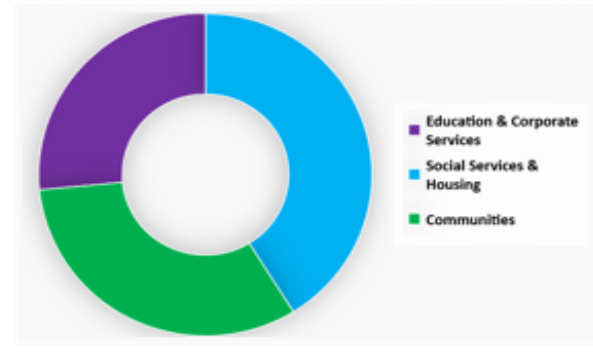
Progress of all Directorate Priorities



Team Caerphilly Action Plan progress



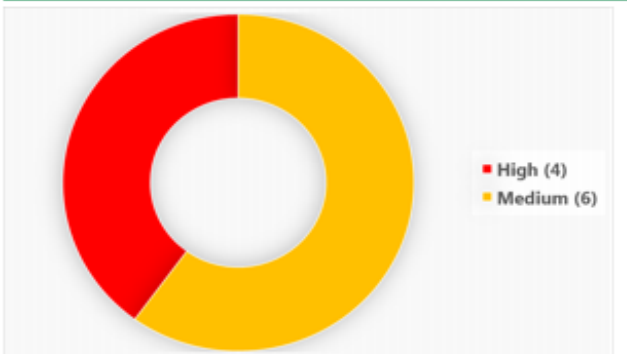
Progress against CMT Priorities



Anticipated Outturn

Directorate	Under - (Over)
Corporate Services	1,409,066
Social Services	339,000
Caerphilly Homes	1,115,200
Education	(161,832)
Communities	Not available

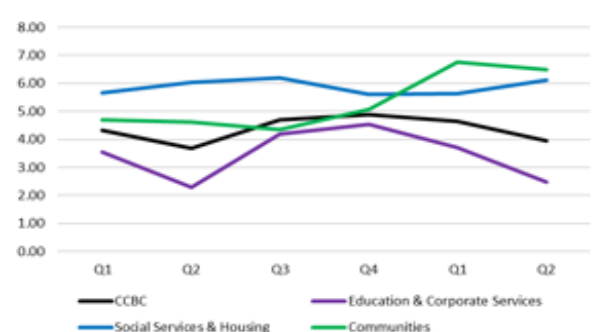
Number of CMT Risks



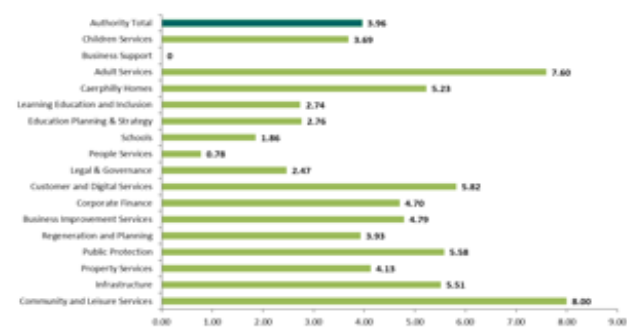
Well-being Objectives update



% Sickness Absence by Directorate



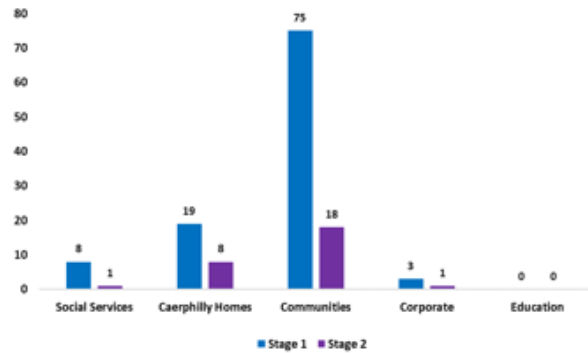
% Sickness Absence by Service Area



Workforce breakdown

	Qtr3	Qtr4	Qtr1	Qtr2
Voluntary Leavers	84	122	76	234
Other Leavers	34	49	55	88
Total Leavers	118	171	131	322
External New Entrants	119	115	108	281
Number of Agency Staff	now	471	381	488
Headcount	8,614	8,533	8,457	8,406
55 and over	1,942	1,983	1,921	1,816
% of headcount	22.54	22.65	22.71	22.78

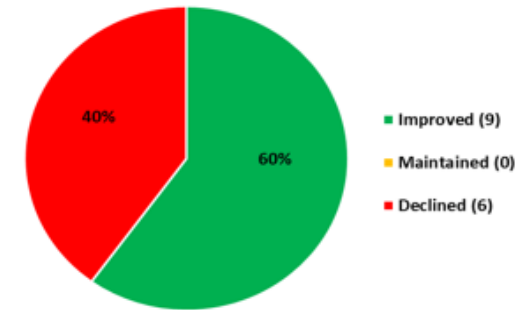
Number of Stage 1 and 2 Complaints



Positive Feedback & Compliments



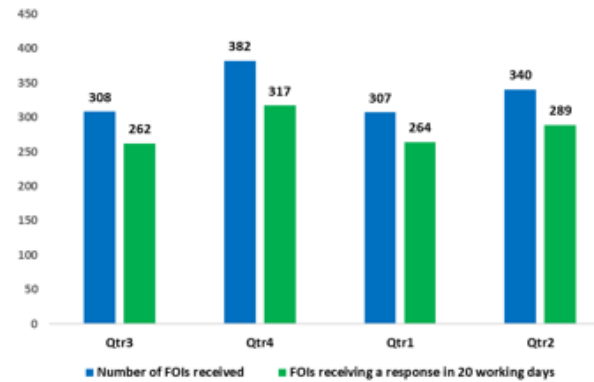
Public Accountability Measures 2018-19



Emerging issues/risks

To be populated by Business Improvement Team & SMT's following analysis of the DPA reports.

Freedom of Information Requests - CCBC



FOI compliance - 20 days (%)



Team Caerphilly measures



DRAFT

TeamCaerphilly

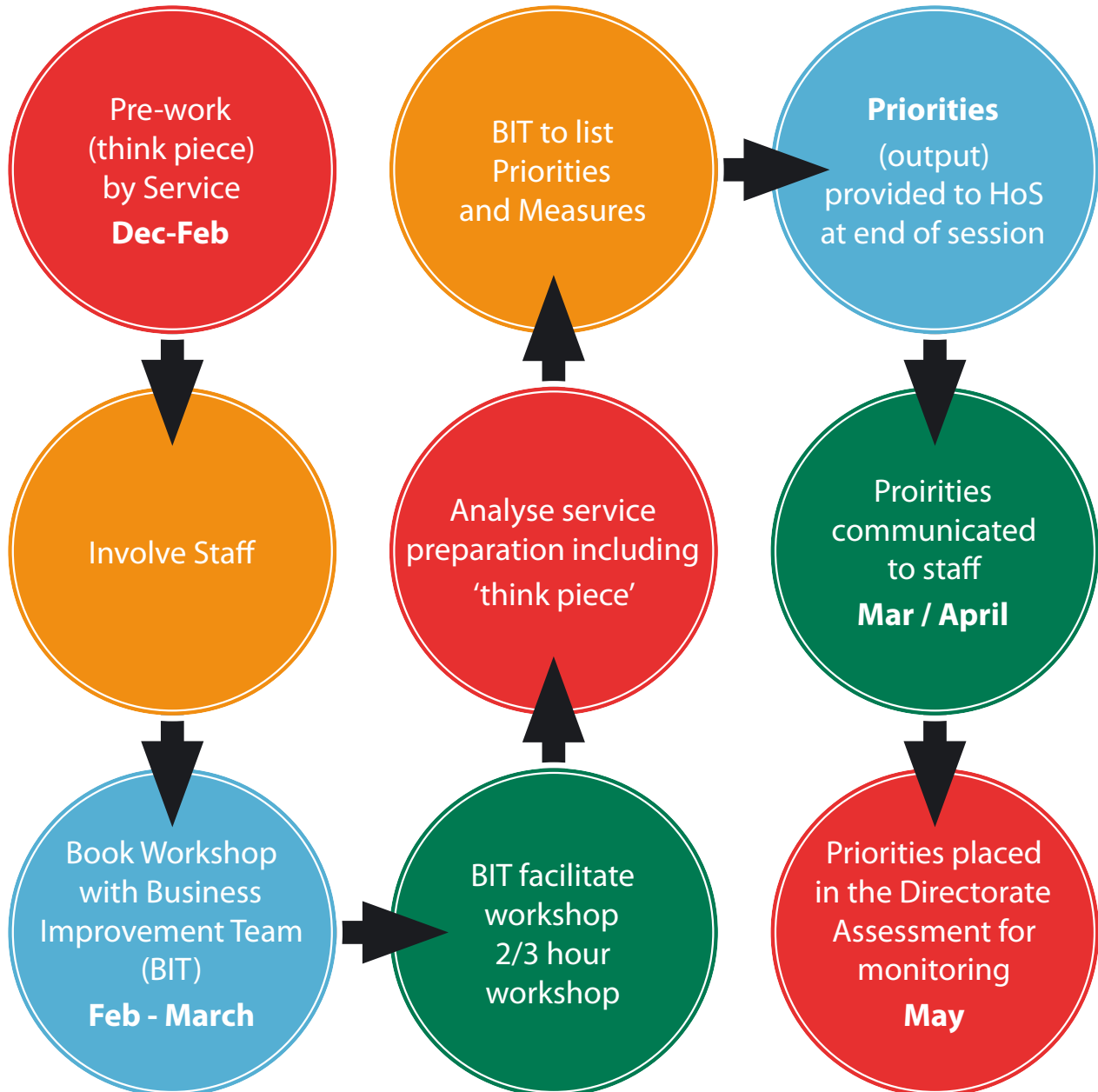
BETTER TOGETHER

Service Planning - Guidance & support notes
2019-2023



Service Planning 2020-2023

The new process relies on less paper and prescription and on greater ownership, evidence based knowledge and the Well-being of Future Generations Act to inform priorities for the service. The process is noted below:



The Outcome

We aim to ensure that the process results in a 'shared set' of plainly worded and measurable priorities that reflect the service's purpose, contribution towards the well-being of future generations and how the service aims to make a difference with the priorities they have set. The dates of the process within the performance cycle are noted above.

To achieve a mature approach to planning we have identified the following accountabilities and principles below:

The Business Improvement Team will?

- Once a year work with services as a partner and critical friend to establish their priorities within a workshop session (unless more support is needed).
- Produce an output for the service detailing their priorities and risks at the end of that session (Appendix B).
- Produce an output that can be provided to staff to use in their development and as part of service communications (Appendix C).
- Challenge and support how priorities are developed in a way that maximises service contribution toward the Well-being of the Future Generations Act and the 5 ways of working in develop actions.
- Understand that good planning is an ongoing process and more effective when adjusting to new and emerging knowledge. We will always aim to help the service and adjust the process to take account of emergent changes.
- Record your priorities (once agreed) within the Directorate Assessment so progress can be mutually monitored and support provided.
- Help you to design measures to monitor your priorities.
- Understand and respect your choice to develop your priorities in a different way, using the best method for your service, as long as the priorities show how priorities maximise contribution to the 7 National Goals.

You (the Service's) will

- Prepare for the workshop by reviewing information and data as listed in the suggestions as a 'think piece' that we have provided (Appendix A). This is a minimum consideration, you can add or adjust as you need to, for example an external inspection may suggest new priorities or actions?
- Be inclusive and involve staff in the forming and delivering of the priorities, (being inclusive with staff will enhance service learning and actions).
- Take ownership for developing actions, identifying risks and barriers or opportunities that improve delivery.
- Know that directors and peers are responsible for understanding what actions exist to deliver priorities and challenge their effectiveness.
- The 5 ways of working are used in the process (The BIT will help with that).
- Update your progress within the Directorate Assessments so you can identify any additional support needed or successes.
- Always aim to 'join up' different strategies and objectives in arriving at your priorities, to prevent duplication.
- Routinely review your priorities and update the Business Improvement team if your priorities change as a result.

Appendix A: Preparatory 'thoughts' for the Service

Carrying out the following 'think piece' may help Service's in their priority setting; this is not designed as a check list, it is an aid to structure thought.

Section	Detail	Purpose of section	Service Notes
Reflection & Context	<p>What is the purpose of the service?</p> <p>Do you have a purpose that is articulated?</p> <p>How would a user of the service describe it?</p> <p>The purpose should always be worded from the user of the services point of view.</p>	<p>Clear purpose helps to decide what priorities, measures and actions could be used to meet the purpose.</p> <p>A clear purpose helps all staff understand direction of travel.</p>	
Do you understand your operating context?	<p>Do you have a clear understanding of the size, scope and breadth of your delivery?</p> <p>Do you have workforce plans in place e.g. succession/staff development/managing reductions?</p> <p>What budget impacts need to be reflected in priorities?</p> <p>How is the organisational environment (internal and external) likely to impact?</p> <p>What is your service demand, is this changing?</p>	<p>A clear understating of your context will help you develop your priorities in the light of what is achievable. If your service is only partially meeting its purpose then another priority may be needed to more fully meet it.</p>	
Service Review (This would benefit from staff views and intelligence)	<p>What is going well/not so well?</p> <p>How was your performance against priorities last year/planning period?</p> <p>Are you meeting any statutory responsibilities?</p> <p>Are you reflecting on and meeting Corporate Well-being Objectives?</p> <p>Are you working to improve well-being and prevent longer-term demand for services?</p> <p>Are you collaborating with others to help you meet your aims?</p> <p>Do you know what your customers think?</p> <p>Are their needs being met/not met and do you understand why?</p>	<p>Understanding how well you are delivering will help you refocus your priorities.</p> <p>Understanding how well you are using the sustainable development principle will help you meet your priorities.</p>	

Section	Detail	Purpose of section	Service Notes
Looking Ahead Risks and opportunities	<p>What risks are you facing that could prevent you meeting your objectives?</p> <p>Are they reflected in your Directorate Risk Assessment?</p> <p>Does your service need to evolve to meet an emerging need or contract to meet a changed environment?</p> <p>Are there opportunities that you would like to exploit this year? Do they require a service review/investment? E.g. income generation/commercial opportunities/innovation/digitization?</p>	<p>A clear understating of your context will help you develop your priorities in the light of what is achievable. If your service is only partially meeting its purpose then another priority may be needed to more fully meet it.</p>	
Service development	<p>Are your staff involved in service development or service review?</p> <p>Are you consulting with your customers/communities on your plans at an early stage?</p>	<p>Service change is challenging. Customer requirements should be understood, especially equalities and Welsh language issues. Decisions need to be open and transparent.</p>	
Output	<p>What matters? What is really important?</p> <p>Can 'what matters' be developed into priorities over the short/medium or long term?</p> <p>Can your priorities be succinctly communicated to your staff?</p> <p>Are your priorities measurable either by indicator or milestone?</p>	<p>If there are many priorities, this key question helps decide which needs the most attention. Would users or staff agree these are the key areas?</p>	

Appendix B: Business Improvement Workshop Output - [Insert Service Name] and [Insert Date] [Facilitated by]

Having decided what matters, this is articulated into a set of priorities noted below:



<p>Name of Priority Word as specifically as possible - is it clear? These will be transferred to the Directorate Performance Assessment (DPA)</p>	<p>This will be measured by: Insert measures and relevant target. (Measures can be quantitative, e.g. survey, PI, milestones etc.)</p>	<p>Has the following been considered: • 5 ways of working? if so how? • Asset Needs • Equalities & Welsh Language • Bio-diversity / Sustainability • Staff development needs</p>	<p>Are there any risks that would prevent you meeting the priorities (or significant risks more generally). Some of these will be transferred to the DPA</p>	<p>Does it contribute towards a council Well-being Objective? What national Well-being goal does it maximise contribution towards?</p>

Appendix C:

Example of output (booklet) that will be provided to the services (if required) to share with the wider service (part of MyTime or MyTime extra).




Directorate of Corporate Services
Business Improvement Services



2019 Service Priorities

How will we measure progress

Measure	Actual 2017/18	Target 2018/19




Well-Being of Future Generations

What are our Key Actions

- 1.
- 2.
- 3.
- 4.

What are the Risks

- 1.
- 2.
- 3.
- 4.



Well-Being of Future Generations

What are our Key Actions

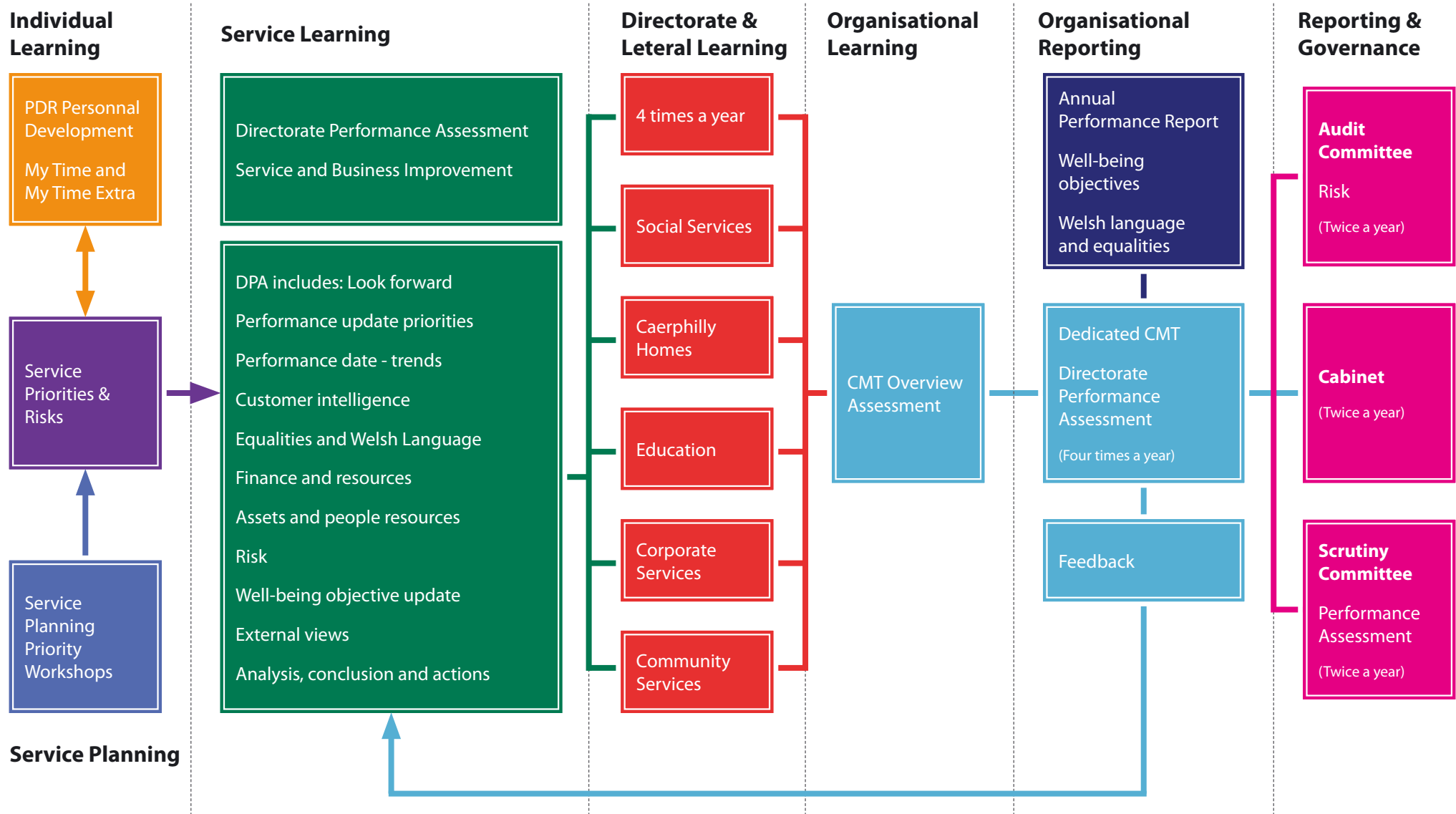
- 1.
- 2.
- 3.
- 4.

What are the Risks

- 1.
- 2.
- 3.
- 4.

With thanks to Emma Strathdee (Education) for designing the output booklet.

Performance Framework 2019



The Service Plan and its subsequent priorities are part of the overall framework as shown above.

We have a statutory duty to use the 5 ways of working in all our decision making in order to carry out our work 'sustainability'. They are:



Long Term The importance of balancing short-term needs with the need to safeguard the ability to also meet long-term needs.



Integration Considering how the public body's well-being objectives may impact upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies.



Prevention How acting to prevent problems occurring or getting worse may help public bodies meet their objectives.



Collaboration Acting in collaboration with any other person (or different parts of the body itself) that could help the body to meet its well-being objectives.



Involvement The importance of involving people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area which the body serves.

We will use the 5 ways of working as part of our thinking in all our planning activity, identifying actions and risks and in developing ways to measure progress.

