

Audit Committee – 24 July 2018

Performance Management Framework

1. Summary of report

- 1.1 The report provides Audit Committee with a revised Walsall Performance Management Framework. The main objectives of the framework are to set out how the council ensures the delivery of the council's Corporate Plan 2018-2021, its vision and priorities, and secures effective and sustainable improvements for the benefit of our residents.
- 1.2 The framework sets out the broad performance management principles for how we approach our work and underlines the performance management responsibilities of everyone working for the council. Included in the framework is the basket of headline performance measures which directorates have identified as aligning with the priorities of the 2018-2021 Corporate Plan and that will be routinely monitored and reported on.

2. Recommendations

- 2.1 To note the revised performance management framework.
- 2.2 To note the basket of performance indicators identified to give monitoring oversight for the priorities of the 2018-21 Corporate Plan.
- 2.3 To recommend the framework for approval to Cabinet as robust and fit for purpose in setting out how the council can work to ensure the delivery of its Corporate Plan 2018-2021 and secure effective and sustainable improvements for the benefit of its residents.

3. Background

- 3.1 A performance management framework provides the structure for the council, directorates and services to effectively manage their performance. It outlines the expectations placed on services in relation to collating and monitoring performance information as part of the management of the service and provides the framework for services and all staff to recognise how their contribution connects back to the priorities of the organisation.
- 3.2 The performance management framework provides the structure against which services and directorates select the data and information used to manage performance and has led to a greater focus on data quality as services have drilled down into the information they have to understand where there is waste within their systems and processes.
- 3.3 The council has had a performance management framework in place since 2002 which is regularly reviewed to consider changes to local priorities and management arrangements along with recognised good practice. In more recent years the

framework has changed its focus to being from one that focussed on centralised monitoring of compliance with all aspects of the framework from service planning to the monitoring of performance measures to supporting self governance within services and directorates and providing clarity regarding the responsibilities of all roles within the council.

- 3.4 Giving consideration to how this framework provides effective performance management structure and guidance to support services in managing their performance is a key element of the role of the Audit Committee as it is part of the assurance framework.

4. Resource and Legal Consideration

- 4.1 None directly arising from this report. However the Audit Committee has a key role in the council's governance arrangements by ensuring that an effective internal control environment is maintained and for considering the council's framework of assurance to ensure it adequately addresses the risks and priorities of the council. The performance management framework is part of the overall assurance framework.

- 4.2 The performance management framework and its key principles are underpinned by individual directorate performance management arrangements, including appropriate tools such as performance indicators, scorecards, RAG ratings and benchmarking activity and self assessment. This enables the flexibility to respond to changing needs and priorities at service and directorate level in line with the principles of the performance management framework. No additional resources should be required for directorate and services to fulfil their responsibilities as set out in this framework.

5. Citizen Impact

- 5.1 None directly arising from this report although effective performance management arrangements support the delivery of services that are effective and efficient in meeting customer needs.

6. Performance and Risk Management issues

- 6.1 Performance and risk management is a feature of the performance management framework and its key principles. In order to successfully deliver as an organisation, corporate performance and risk management must be of upmost relevance to our strategies, objectives and goals, and assist the organisation in making informed decisions. The framework provides the means by which the organisation can embed effective performance management arrangements. A thorough understanding of how the council is performing is essential to identifying and effectively managing risks.

7. Equality Implications

- 7.1 None directly arising from this report.

8. Consultation

- 8.1 The framework has been shared for consultation and discussion with the Corporate Management Team (CMT) and with senior officers from key governance services including legal, HR, internal audit and finance and performance management.

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24 July 2018

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Corporate Governance

Performance Management Framework

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1. Introduction

The Council operates to serve the people of Walsall effectively. Against the context of the Council's Vision that "Inequalities are reduced and all potential maximised" it is important that systems and processes are in place to ensure resources are used responsibly and efficiently and that spending is done wisely with savings maximised wherever possible. It is important that available service information and data is used to measure how services are performing, identify where improvements can be made and to understand what is possible to address the needs of our communities across the borough. This enables the Council to identify and take timely action to address areas of underperformance and to ensure resources are used efficiently and responsibly to deliver the Council's priorities.

Whilst the Council operates to serve local people it does so in the context of the wider environment and must understand the implications of changes in environment on how the Council and partners operate. To this end the Council's approach to performance management is routinely reviewed and refreshed to reflect changes that have occurred. These can be national changes such as the removal of the National Indicator set or revisions to national social care and education frameworks. They can also be changes within our local environment such as refreshed needs assessments or new delivery and operation models across services or with partners. Our performance framework must cover all aspects of service delivery to ensure the Council can track impact and identify what works well and when action is needed to improve performance.

Like all other public sector bodies, in recent years Walsall has seen government grant funding reduce and a reduction and reshaping of services as the Council realigns its finances whilst delivering vital services. This performance management framework therefore supports the long term - 2018 to 2021 – Corporate Plan which in addition to our vision sets out our guiding principles and our priorities which are reflected of the needs of the borough.

1.1 Why have a framework?

"A system must have an aim. Without an aim, there is no system. The aim of the system must be clear to everyone in the system." Deming

In general terms the framework serves as a support or guide for the delivery and improvement of services to ensure the appropriate level of governance is maintained.

This framework:

- creates clarity and constancy of purpose for all services
- builds an intelligence led / informed approach to strategic and operational decision making - no change without profound knowledge of what needs to change
- helps to promote a cultural shift to learning and improvement through trust and transparency

- champions and creates learning loops for continuous improvement (based on check, plan, do)
- clearly defines the responsibilities of all engaged in delivery of council services
- helps to identify and manage risk for the Council.

The main objectives of this framework are to set out how the Council ensures the delivery of the Council's vision, purpose and priorities in the context of our guiding principle to secure effective and sustainable improvements for the benefit of our residents. It sets out the broad principles for how we approach our work but is not overly prescriptive, recognising the different needs of different areas at different times.

1.2 Definition

Performance management comprises the systems, processes, structures and supporting arrangements established by management to identify, assess, monitor, and respond to performance issues, and to allow actions to be taken which will contribute significantly to the achievement of agreed priorities and outcomes. In order to successfully deliver as an organisation, corporate performance and risk management must be of upmost relevance to our strategies, objectives and goals, and assist the organisation in making informed decisions.

Embedding effective performance and risk management will:

- ensure goals are prioritised and resources are allocated effectively
- help improve services and outcomes for local people
- provide an environment that helps motivate staff as they are aware of what is expected from them and understand how they contribute to the delivery of Council priorities
- provide Leadership with assurance regarding service delivery and a mechanism to take corrective action where performance is poor
- ensure the Council and partners achieve what they set out to do
- provide a strong evidence base for improved decision making and the effective use of resources.

1.3 Scope

The performance management framework provides the structure and the general principles for the Council, directorates and services to effectively manage their performance. It outlines the expectations placed on services in relation to collating and monitoring performance information as part of the management of the service and provides the framework for services and all staff to recognise how their contribution connects back to the priorities of the organisation.

While setting out overarching principles, the corporate framework recognises that there is great diversity amongst Council services and differing levels of demand placed on them both from statutory and regulatory requirements and external performance frameworks.

Examples of the external demands that can be placed on services to varying degrees include:

- submission of data in statutory returns to government bodies which is then collated and published to allow direct comparison with other local authorities
- statutory performance measures aligned to outcomes frameworks
- inspections of services and settings by external bodies
- peer challenges and sector led improvement

This need to comply with external performance requirements means that there must be some flexibility in how different areas implement their own performance arrangements. However, all areas of the Council are expected to comply with the specific principles set out in the framework, with support, challenge and quality assurance from the corporate centre to ensure that services are meeting their corporate requirements.

A range of performance measures – including those included in the Corporate Plan - are reported to and monitored within services, directorates, and partnership settings.

This enables service areas to fulfil their responsibilities regarding reviewing and monitoring how they are performing and where improvements can be made to ensure our organisational priorities are met.

Where areas of concern or under-performance are noted, then there is an expectation and requirement that this will be escalated up to, for example, CMT and Cabinet who will receive quarterly performance reports on progress against the priorities in the Corporate Plan. This can be done by the responsible service or by the corporate assurance team where necessary.

In order to achieve the overall vision for Walsall, the Council must also work effectively with its partners, and for this reason our Vision and Priorities align with those in the Walsall Plan (Health and Well Being Strategy).

Where this document refers to 'customer', it is meant in the widest sense as anyone who accesses council services, whether or not through choice. Other terms such as 'resident' 'service user' 'client' or 'stakeholder' may also be appropriate to particular scenarios, but for the sake of simplicity 'customer' has been used as a universal term for any person with whom the Council has to deal and who is impacted by our work. There are a variety of customers engaging with services including individuals, elected members, other council services, partner organisations and businesses.

This framework applies to all directly managed services of the Council. For those that commission services it is important that they ensure the service providers meet any information requirements to enable services to track the performance measures developed in local frameworks and that contractual arrangements cover the performance of providers.

2. Our Vision, Purpose and Values

The framework is designed to ensure delivery of our vision and priorities in a way that is underpinned by our stated purpose and our values. These are expressed in the Corporate Plan 2018 - 21 and summarised below:

Our Vision: Inequalities are reduced and all potential is maximised

Our Purpose: To create an environment that provides opportunities for all individuals and communities to fulfil their potential

Our Guiding Principles:

- Striving to be the best value local authority, use of resources compared to other outcomes
- Customer First, resolution of queries at first point of contact
- Support Services that enable the business
- Corporate Functions that support the business
- Quality Services at defined levels
- Digital by Design, by our thinking and our culture

Our Values:

Our values will help us to achieve the council's vision and priorities. They will help to deliver our priorities and shape how we as a council will work in our local and regional communities. Our values underpin the way we operate as an organisation. They influence our choices and our behaviours - they are the thread running through everything we do.

Professionalism As stewards of public funds and information, we understand the importance of our jobs, we have respect for ourselves, our colleagues, our citizens and the organisation that we represent. We act accordingly. We deal with issues, whether positive or negative, in a moderate and straightforward manner whenever possible.

Leadership Together we will create an inspiring vision of the future. We will motivate and inspire people to engage with that vision. We recognise the talents of individuals and allow those talents to be utilised for the betterment of the organisation.

Accountability We adhere to a standard of professionalism in the workplace. We hold ourselves responsible for upholding the purpose of our organisation.

Transparency We will ensure the availability of information which can be made public.

Ethical We will display integrity, honesty and be mindful of the rule of law in order to successfully practice and promote transparency of government.

Our Priorities:

Economic Growth for all people, communities and businesses

People have increased independence, improved health and can positively contribute to their communities

Internal Focus all services are efficient and effective

Children have the best possible start and are safe from harm, happy, healthy and learning well.

Communities are prospering and resilient with all housing needs met in safe and healthy places that build a strong sense of belonging and cohesion.

We work collaboratively on a day to day basis with our partners to provide vital services to residents. Our partners include WM Police; Walsall CCG; Walsall Healthcare Trust; Walsall College; whg; WM Fire Service; and One Walsall.

3. Driving Improvement via the Corporate Plan

Actively managing and monitoring performance provides an important sense check regarding what is being delivered and how well this is achieving the stated objectives. Routinely reviewing all available information and data enables individuals, services and directorates to re-evaluate what is happening and make changes where needed.

3.1 Monitoring Performance

Measuring and monitoring progress towards better outcomes for our customers will provide evidence of how successfully we are delivering the priorities in the Corporate Plan. For each priority there are expected outcomes and measures that will be monitored and reported on a quarterly basis. Performance data in a monitoring report should reflect the most recent updates available. If a measure is only updated annually, or if there is a time lag in data reporting, then there should be a greater emphasis on narrative and commentary relating to service activity and impact.

The measures included in the Corporate Plan are a subset of all measures tracked across the Council, the majority of which are found in national and/or statutory frameworks which enable comparison and benchmarking with other local authorities and nationally. Responsibility for monitoring all measures sits with the responsible service and directorate and therefore directorates are responsible for ensuring there are sufficient performance management and reporting arrangements in place.

3.2 Planning Service Delivery

Priorities are delivered by services taking action to address the needs of customers. Measures provide an indication of how well the service is being delivered but it is important that there is clarity regarding what is to be delivered, by whom and to what timescale and cost. Therefore delivering planning beneath the Corporate Plan level is an important component of the performance framework.

Whilst there is no prescriptive style for the development of directorate or service plans they should:

- connect the vision and priorities, developed based on an understanding of the needs of customers and communities, to action being taken and planned (actual service delivery)
- provide staff with sufficient detail so they know what is expected of them – use SMART objectives with clear measures of success, connecting to outcomes where possible
- consider and allocate the available resources (you can only deliver what you have the money and capacity to do)
- connect activity with measures at both the operational and the strategic level.

Where services are commissioned, contract arrangements must ensure the commissioner receives sufficient details regarding delivery of the commissioned service.

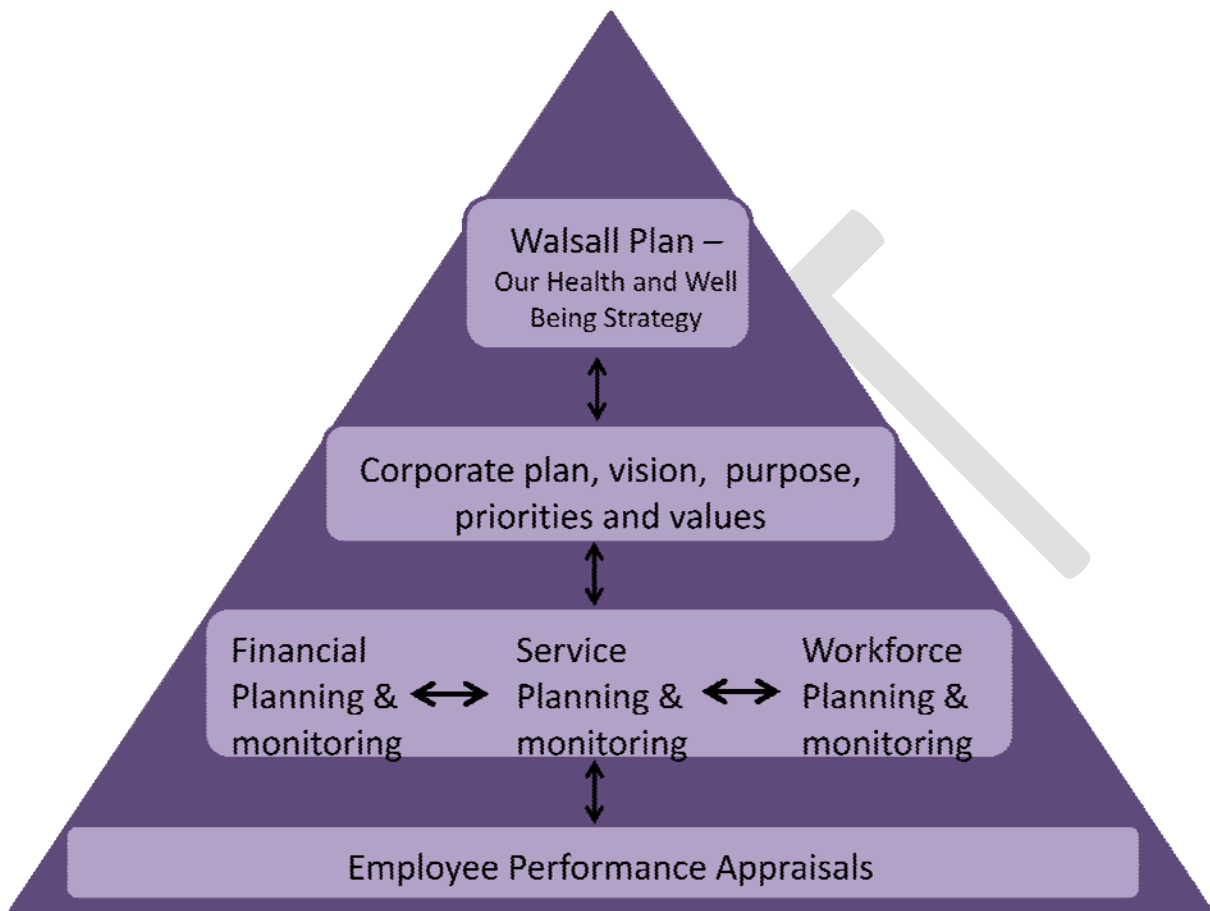
Planning pyramid

Effective service delivery to support corporate priorities requires planning and monitoring. Planning activity enables focussed activity and at the service level supports individuals in understanding how they contribute to achieving the council's priorities.

Service planning cannot be done in isolation of the corporate plan or of employee performance reviews as are informed by and inform these. Service planning activity is aligned with and will include financial, workforce, equalities, risk, IT, communications and health and safety considerations.

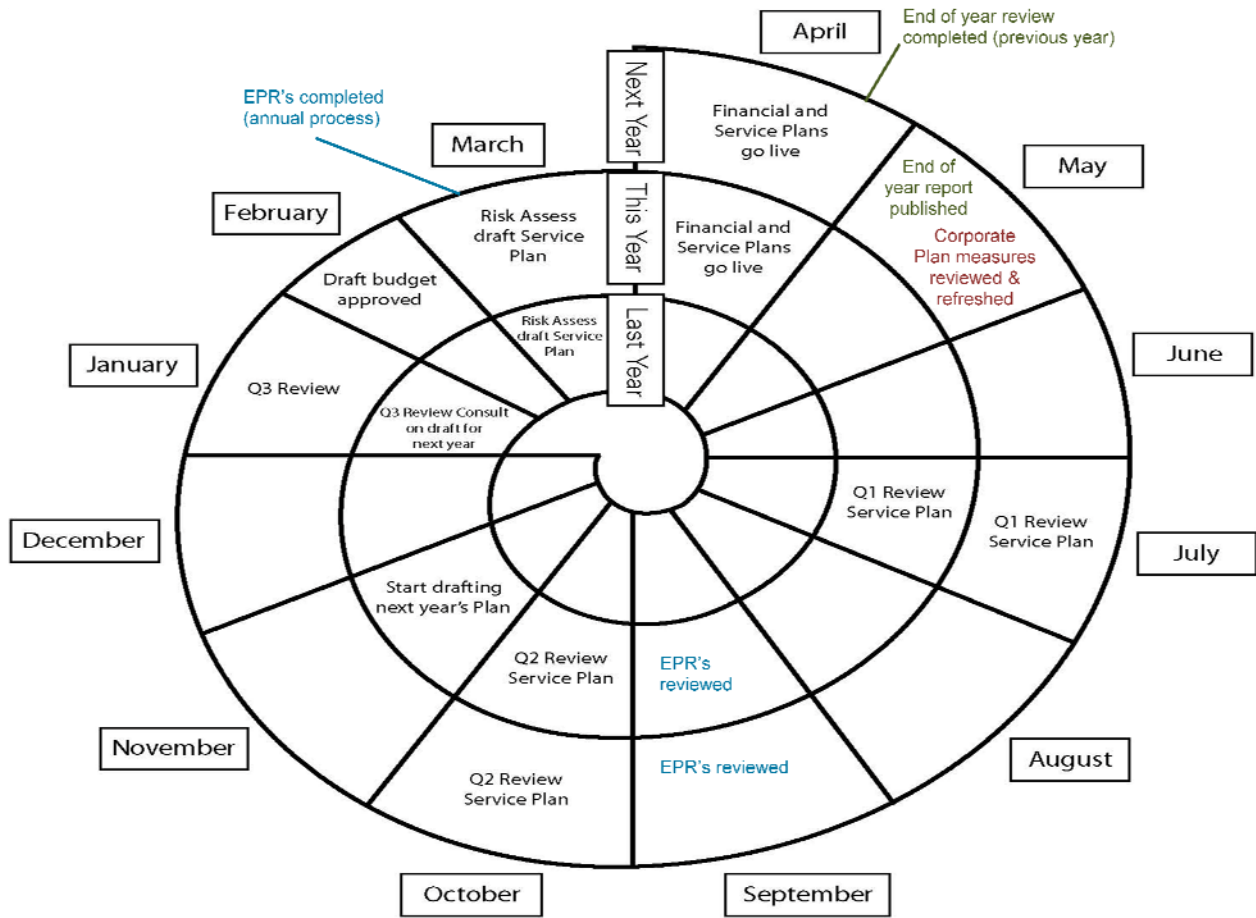
Planning occurs at various levels as more operational (service) plans detail the actual activity and delivery that will take place. This provides an important link between the strategic corporate and directorate plans and individual employee performance reviews and supports all employees understanding their role in the delivery of corporate priorities. This planning pyramid is illustrated in the following diagram.

Figure 1: Planning pyramid



Planning is a continuous process as delivery is monitored and plans are refreshed and updated. This is holistic from strategic to operational as all aspects from equalities to health and safety and financial to workforce are monitored and inform ongoing delivery. This continuous planning process is illustrated in the following diagram.

Figure 2: Planning Cycle



Each segment represents a month in each year.

3.3 Performance Hierarchy

The translation of outcomes to delivery creates a hierarchy or pyramid of information, activity and resources – the successful delivery of such a cascade is often referred to as ‘the golden thread’. It should be remembered that ‘the golden thread’ is a 2 way process as information from services is reported and informs the refresh of need assessments which informs the corporate plan and corporate priorities that are cascaded down to service and individual level. Throughout this process it is vital that monitoring is completed to ensure everything being done is having the desired impact. This learning loop is based on understanding where we want to be or what we want to address or achieve, what needs to be done to (how will it be achieved), checking to see what impact activity is having (how are we doing) and then identify whether anything needs to be changed and implement that change (how do we need to act differently). It is important that if staff are to be motivated

and feel valued that they understand how they contribute to delivery of outcomes and to addressing the priorities of customers and communities. This golden thread is depicted in the diagram below:

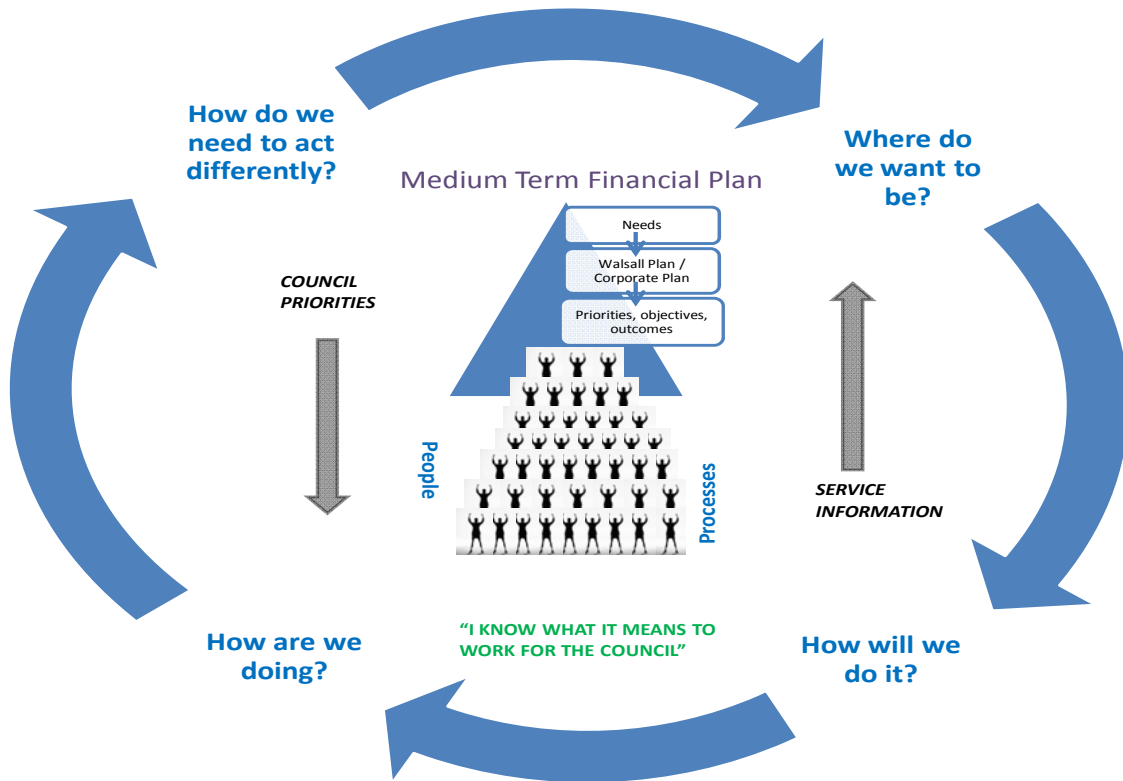


Figure 3 – Performance Pyramid

3.4 Data Quality

The quality and accuracy of data and information is of paramount importance as it identifies the needs of customers and so informs the priorities of the Council and partners and is also used for measures in tracking the efficiency of services and the delivery of outcomes. Data and information that is of poor quality may lead to the Council targeting the wrong priorities, skew the measures and mislead services and the leadership about the success being achieved in delivering against outcomes. Services must take sufficient action to improve data quality where possible and ensure it is maintained at the highest level possible.

Every employee that has responsibility for recording data in a council system has a responsibility for the quality of that data and there is an additional responsibility placed on those that collate and analyse data to ensure calculations are accurate and that definitions of measures are applied consistently and accurately.

3.5 Improvement and learning cycle

The Council's approach to improvement is based on a continual improvement and learning loop. This is a perpetual cycle as delivery of services is based on:

- **Where do we want to be?** An understanding of the Vision, purpose and strategic plans of the organisation (these detail the priorities). These plans are based on a detailed understanding of the local and national context and how this impacts on the Council, partners and our customers.
 - our Vision describes where we want Walsall to be, our aspiration for Walsall
 - our Purpose describes what the Council exists for
 - our Values describe how we will operate to deliver our Vision and priorities
 - our Priorities are areas identified, based on analysis of available data and intelligence, which need to be improved if we are to achieve our Vision. These are further broken down into more specific outcomes.
- **How will we do it?** The design and delivery of services to address the priorities (addressing the issues that most impact on customers).

Strategic and service plans articulate the actions and activity that need to be delivered to address the priorities and outcomes. The outcome sought, i.e. the identified change / improvement required shapes both the actions identified and the measures that will be used to track levels of performance.

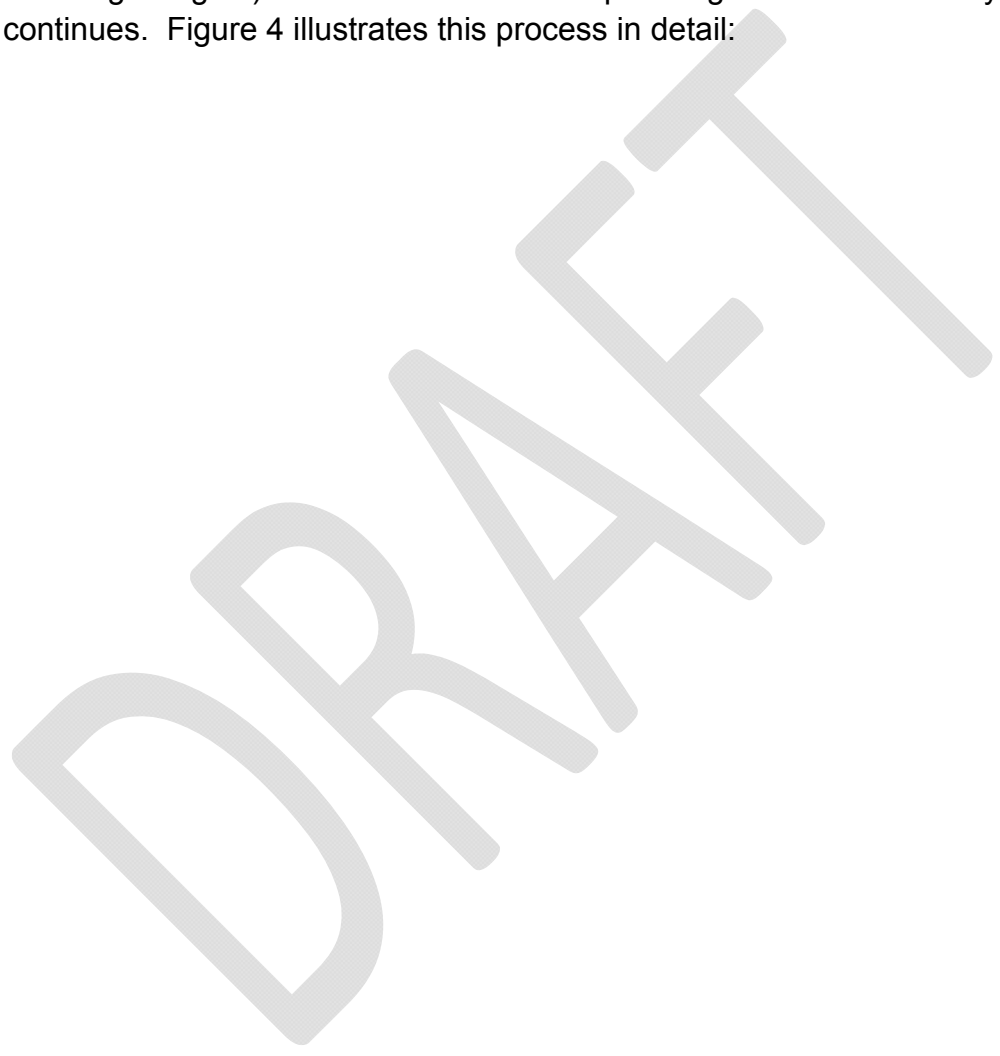
These and all level of planning must take into account the resources required to deliver the activity and actions identified from both a monetary and employee perspective. They must consider the purpose of activity from a customer perspective, remembering the full range of customers there is, understand and reflect the flow of work and recognise the workforce that is needed to deliver the service. In recognising the workforce needed, strategic leaders should ensure there are the right conditions to support staff to achieve better outcomes for customers.

- **How are we doing?** Measuring and assessing the impact of the service delivery both in terms of providing customers with what they need (addressing organisation priorities) and ensuring services are efficient and effective (delivering the organisations guiding principles); and
- **How do we need to act differently?** Based on the assessment of service performance in the previous step a thorough evaluation of how well services are performing, the identification of any required corrective action and the testing of any changes to improve delivery prior to full implementation.

Using performance information and a holistic understanding of the service being delivered it is important that there is an evaluation of the success and impact that

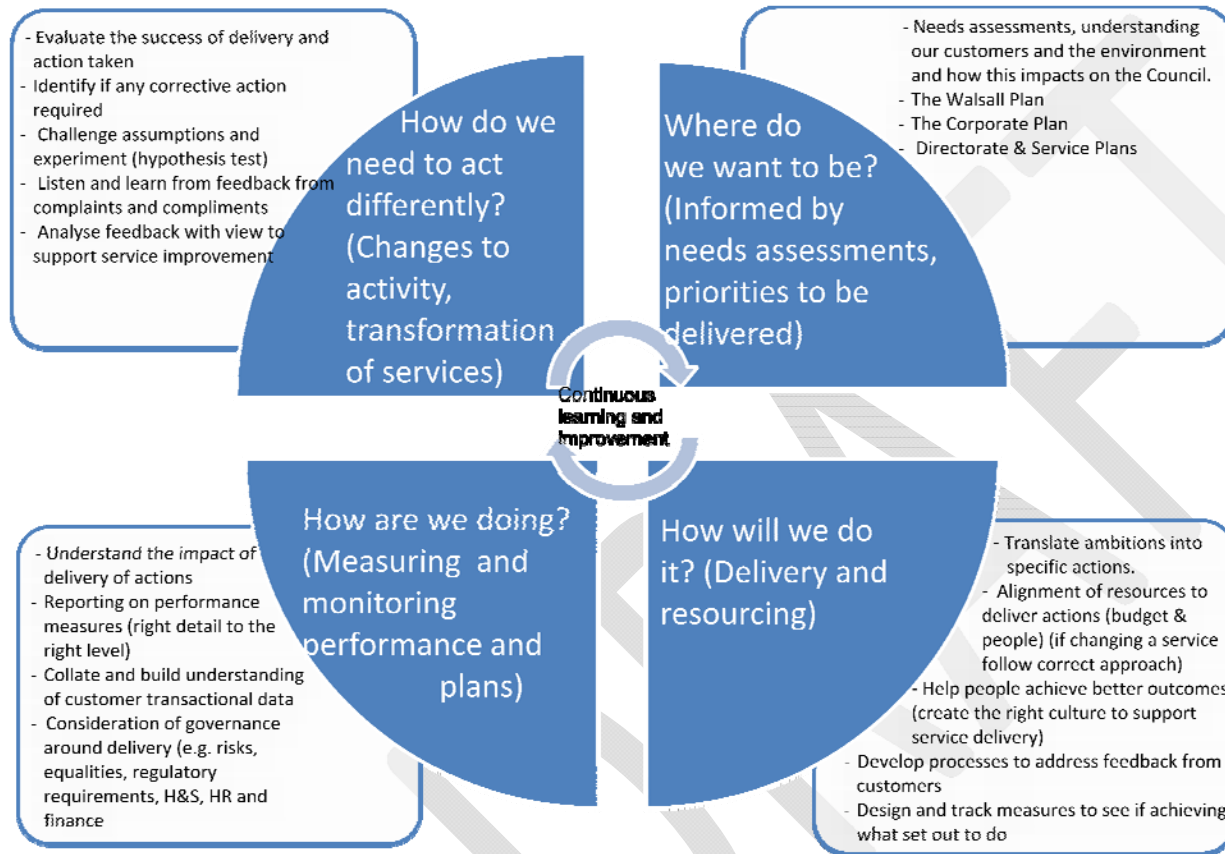
has been made as this helps identify any glitches or waste in the system so that changes to delivery can be tested before being fully implemented. If changes are to be made a corporately agreed process must be followed.

Identified changes to delivery need to be considered in the context of the organisation's strategic plans (do they meet the priorities of the organisation) and of the environment (political, economic, social etc.) in which the Council is operating. The impact of delivery may have changed the priorities and focus of the Council and changes in the environment may also affect the way in which we operate (e.g. reducing budgets). This then informs the planning of service delivery and the cycle continues. Figure 4 illustrates this process in detail:



Appendix 1

Figure 4: Learning and improvement cycle



3.6 Monitoring delivery of Corporate Plan 2018-2021

Each of the Council's five corporate priorities is further broken down in to more specific outcomes. For each of these outcomes there are performance measures that will be monitored on a quarterly basis and reported to CMT and then to Cabinet. The tables below detail this additional information for each priority.

Priority: Economic Growth for all people, communities and businesses.

Priority	Ref	Outcome	Measure Number	Measure	Polarity	Baseline March 2018	Improve / sustain /	Tolerance	Indicative Tolerance	Time period over which this will be achieved
Economic Growth for all people, communities and businesses.	E1	An infrastructure and business environment that supports job creation and accessibility throughout Walsall, supporting company expansion, relocation and competitiveness through sustainable job creation.	1	Number of jobs in our economy	↑	120,000	Improve	125,750	≥125,750	End 2018-21 Plan
			2	Number of business start ups per working age population	↑	0.74%	Improve	0.82%	≥0.82%	End 2018-21 Plan
			3	Number of business closures per working age population	↓	0.56%	Improve	0.54%	≤0.54%	End 2018-21 Plan
			4	Number of Businesses assisted / supported.	↑	260	Improve	300	≥300	Each year to 2021
	E2	Residents are supported to possess the skills required to enter into and progress in work, through the delivery of the Walsall Inclusive Economic Growth Programme.	5	Number of local people supported through Walsall Works	↑	1242 (17/18)	Sustain	1100-1300	>1100	Each year to 2021
			6	Number of local people supported through Impact	↑	1396 (17/18)	Sustain	1100-1300	>1100	Each year to 2021
			7	Number of people placed / supported into employment	↑	448 (17/18)	Sustain	400-500	>400	Each year to 2021
			8	Number of Apprenticeships supported / created	↑	72 (17/18)	Improve	80-100	≥80	Each year to 2021
	E3	Our town and district centres offer a distinctive and vibrant mix of retail, leisure, business, community and cultural opportunities, and new housing.	9	Commercial floorspace (sqm) created per annum.	↑	33,000 (2015/16)	Sustain	+/-20%	>26,400	Each year to 2021
			10	New homes created per annum.	↑	738 (2017/18)	Sustain	+/-20%	>590.4	Each year to 2021

Priority: People have increased independence, improved health and can positively contribute to their communities.

Ref	Outcome	Measure Number	Measure	Polarity	Baseline March 2018	Improve / sustain /	Tolerance	Indicative Tolerance	Time period
P1	Enhancing quality of life for people with care and support needs and those with long term conditions.	11	Proportion of people using social care who receive self-directed support and those receiving direct payments.	↑	Indicative Q4 position: 98.44%	Sustain	98% - 100%	>98%	End 2018-21 Plan
		12	Proportion of adults with a Primary Support reason of LD support in paid employment.	↑	Indicative Q4 position: 0.17%	Sustain	0.17% - 1.6%	≥0.17%	End 2018-21 Plan
		13	Proportion of adults in contact with secondary Mental Health services in paid employment.	↑	7.6%	Sustain	7% - 8%	>7%	End Yr1
P2	Delaying and reducing the need for care and support.	14	Long term support needs met by admission to residential and nursing care homes per 100,000 population.	↓	Indicative Q4 position: 636.36 per 100,000 population	Sustain	620 - 691.7	<691.7	End Yr1
P3	People recover from episodes of health or injury.	15	Proportion of older people aged 65+ who were still at home 91 days after discharge from hospital into reablement / rehabilitation services.	↑	Indicative Q4 position: 82.7%	Sustain	82% - 85%	>82%	End Yr1
		16	Delayed transfers of care from hospital.	↓	Q4 position not available (data not yet published)	Improve	1.5 - 2.6	≤2.6	End Yr1
P4	The most vulnerable are protected from avoidable harm, including treating and caring for people in a safe environment.	17	Number of safeguarding referrals and open safeguarding cases.	↓	571 concerns raised (a 10.44% increase on Q4 2016/17)	Improve	500 - 550	≤550	End 2018-21 Plan
		18	Number of Serious Case Reviews.	↓	0	Sustain	0 - 1	≤1	End Yr1

Priority: Internal Focus – all council services are efficient and effective.

Ref	Outcome	Measure Number	Measure	Polarity	Baseline March 2018	Improve / sustain /	Tolerance	Indicative Tolerance	Time period
11	Modern Services.	19	Customer Satisfaction with all Council Services.	↑	not available	n/a	n/a	n/a	n/a
		20	Percentage of customers who feel it is easy to access Council services.	↑	not available	n/a	n/a	n/a	n/a
		21	The number of customers who engage with the council digitally.	↑	84k unique website users per month;	Improve	>85,000	>85,000	End Yr1
12	A resilient council.	22	Percentage of employee appraisals completed.	↑	35%	Improve	>45%	>45%	End Yr1
		23	Level of employee engagement, who are PROUD to work for the Council and embody the Council Values.	↑	49%	Improve	>49%	>49%	End Yr1
		24	The percentage of employees responding positively that 'I have the opportunity to maximise my potential'.	↑	29%	Improve	>32%	>32%	End Yr1

Priority: Children have the best possible start and are safe from harm, happy, healthy and learning well.

Ref	Outcome	Measure Number	Measure	Polarity	Baseline March 2018	Improve / sustain /	Tolerance	Indicative Tolerance	Time period
Ch1	Children will be ready for school.	25	Percentage of pupils reaching a good level of development (GLD) at the end of reception .	↑	66%	Improve	67% - 71%	≥67%	2018
Ch2	The gaps in educational attainment between the least and most deprived communities will be narrowed and for all under achieving groups.	26	The progress Free School Meals children make.	↑	KS4 P8 -0.62 KS2 Reading -2.0 KS2 Writing -1.0 KS2 Maths -1.7	Improve	-0.61 - 0 -1.9 - 0 -0.9 - 0 -0.6 - 0	≥ -0.61 ≥ -1.9 ≥ -0.9 ≥ -0.6	2020
Ch3	Right children looked after, for the right length of time in the right placement.	27	Average length of time in care.	↓	1407 days	Improve	1406-1386	≤1406	End Yr1
Ch4	Care leavers are economically active citizens of their community.	28	Percentage of care leavers not in education employment or training (NEETs).	↓	38%	Improve	37%-35%	≤37%	End Yr1
Ch5	Young People are prevented from entering the criminal justice system.	29	Number of first time entrants. - youth offending	↓	70	sustain	52-117	<117	End Yr1

Priority: Communities are prospering and resilient with all housing needs met in safe and healthy places that build a strong sense of belonging and cohesion.

Ref	Outcome	Measure Number	Measure	Polarity	Baseline March 2018	Improve / sustain /	Tolerance	Indicative Tolerance	Time period
Co1	Enable access and use of green spaces to improve health and wellbeing and reduce social isolation.	30	Employment rates.	↑	70.4%	sustain	68% - 72%	>68%	End 2018-21 Plan
		31	% inactive adults doing less than 30 mins exercise weekly.	↓	28.7% (2016/17)	Improve	-0.5%	≤ 28.2%	End 2018-21 Plan
		32	Utilisation of green spaces for exercise/physical activity reasons	↑	17.9% (2015/16)	Improve	+2%	≥19.9%	End 2018-21 Plan
Co2	Reduce atmospheric pollution to improve long-term health of the population.	33	Pollution levels.	↓	(micro grammes per cubic metre) M6 Jct 9 - 49 Ring Road - 28 Bloxwich Lane - 40 Alumwell - 31 W'ton Road - 33 Woodlands School - 26	Improve	All 6 monitoring stations under the NO2, annual mean concentration of 40 µgm-3 (micrograms per cubic metre)	M6 Jct 9 ≤ 40 Ring Road < 28 Bloxwich Lane < 40 Alumwell < 31 W'ton Rd < 33 Woodlands School < 26	Each year to 2021
Co3	Ensure all children are a healthy weight.	34	Prevalence of overweight and obesity among children in Reception.	↓	25.8% (2016/17)	Improve	-0.75%	≤25.05%	End 2018-21 Plan
		35	Prevalence of overweight and obesity among children in Yr 6.	↓	40% (2016/17)	Improve	-0.25%	≤39.75%	End 2018-21 Plan
Co4	Housing provision matches local need and reduces homelessness.	36	Number of families with children presenting as statutory homeless.	↓	151 (Dec 17)	Improve	148 - 154	≤148	End 2018-21 Plan
		37	Statutory homelessness – acceptances per 1000 households.	↓	1.04 (Dec 17)	Improve	1.02 - 1.06	≤1.02	End 2018-21 Plan

For each measure additional information has been included to assist monitoring of performance:

- Polarity – provides the direction the performance travels in to demonstrate improvement.
- Baseline as at March 2018 – performance moving forward is in the context of this data.
- Improve / Sustain – recognising that with restrictions on resources available not everything can be improved at once measures have been reviewed and from perspective of council priorities Cabinet have identified those they wish to see improved and those where sustaining current levels of performance would be acceptable.
- Tolerance – this is a range set to show acceptable performance levels in the context of whether the aim is to improve or sustain performance.
- Indicative Tolerance – this is the level of performance that is anticipated based on the information provided.
- Time period – this provides the time period for the expected performance to be achieved. Some will be for over the life time of the Corporate Plan, others will be sooner.

In addition to the monitoring of performance against our corporate priorities a basket of measures connected to the 'health' of the Council are also monitored. Where possible the data is provided by individual directorate and as a total. The contents of this health check monitoring is detailed below.

Corporate Health Check Measures

WORKFORCE:

Qx 18/19	CS	ASC	E&E	R&T	TOTAL
FTE (% change compared to Qx 17/18)	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets.</i>				
Vacancies (% change)	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets</i>				
Agency FTE	<i>Data for the month being reported compared to the previous month given in brackets</i>				
Agency Cost (Q2 17/18)	<i>Data for the quarter being reported with comparison of previous quarter given in brackets.</i>				
ST sick inst. (Qx 17/18)	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets</i>				
LT sick inst. (Qx 17/18)	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets</i>				
£ Cost of sickness (Qx 17/18)	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets</i>				

FINANCE: Management of Resources – Service Analysis

Budget: Qx 18/19	CS	ASC	E&E	R&T	Council wide	Total	Total Cap Expenditure	Cap receipts
Target (£)								
Actual (£)								
Variance (£)								

PROCESS:

Qx 18/19	CS	ASC	E&E	R&T	Total
Statutory Complaints (Qx) :	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets.</i>				
Ave resp. time	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets.</i>				
Stage 2 Complaints	Actual data for the period being reported.				
Corporate Complaints	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets.</i>				
LGO Complaints (Upheld)	<i>Most recent annual information with number of complaints upheld given in brackets.</i>				
Standards Complaints	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets.</i>				
FOI requests received (Q2 17/18)	<i>Data for the quarter being reported with comparison of same period in previous year given in brackets.</i>				
Compliments	<i>Data for the quarter being reported with comparison of same period in previous given in brackets.</i>				
FOI response times	<i>Data for the quarter being reported with comparison of previous quarter given in brackets plus performance for rolling 12 month period.</i>				
SARS received	<i>Data for the quarter being reported with comparison of previous quarter given in brackets</i>				
SARs response	<i>Data for the quarter being reported with comparison of previous quarter given in brackets against statutory requirements</i>				
Data Breach 16/17	Level 1	Level 2	Level 3	Total	
	<i>Most recent annual information with comparison to previous year. Investigating if possible for quarterly updates</i>				

Appendix 1

The following table includes the out turn as at quarter 4 for 2017/18 for baseline purposes.

WORKFORCE:

Q4 17/18 Baseline	CS	ASC	E&E	R&T	TOTAL
FTE's	628.86	397.32	758.50	851.36	2636.04
Vacancies	190	158	139	294	781
Agency FTE	74.19	53.77	62.88	36.44	227.28
Agency Cost	£291,426	£184,802	£ 125,317	£ 145,419	£746,965
Short Term sickness instances	584	349	868	1194	2995
Long Term sickness instances	121	100	105	177	503
Cost of sickness	£853,840	£574,829	£763,267	£849,407	£3,041,343

FINANCE: Management of Resources – Service Analysis

Budget: Q4 17/18 Baseline	CS	ASC	E&E	R&T	Council wide	Total	Total Cap Expend	Cap receipts
Target (£)	99,899,320	67,102,350	47,904,884	14,715,678	(16,610,459)	108,471,436	103,646,607	2,600,000
Actual (£)	101,546,519	67,240,674	47,149,865	14,185,945	(17,341,497)	108,241,169	79,859,744	2,018,190
Variance (£)	1,647,199	138,324	(755,019)	(529,733)	(731,038)	0	(23,786,863)	(581,810)

PROCESS:

Q4 17/18 Baseline	CS	ASC	E&E	R&T	Total
Statutory Complaints received	15	22	n/a	n/a	37
Ave response time to statutory complaints	14 days	22 days	n/a	n/a	n/a
Stage 2 /3 Complaints	2/0	n/a	n/a	n/a	2/0
Corporate Complaints received	29	22	257	53	361
LGO Complaints (and those upheld) 16/17	22 (3)	9 (4)	39 (6)	13 (1)	83 (14)
Standards Complaints (Q3 17/18)	0				
Compliments (Note: Q1 18/19 data)	15	14	3	1	31
FOI / EIR requests received	50	23	147	73	365 inc. 72 multi-directorate requests
FOI response times	71% responded to within 20 days of those due to be responded to in quarter;				
SARS received	15	4	1	6	26
SARs response	<i>Of those SARS due to be responded to 58% were sent within timescales</i>				
Data Breach (17/18 annual data)	26	13	3	27	69
	69 = 11 Level zero; 32 Level 1; 25 Level 2; 1 Level 3;				

4. Roles and responsibilities

All employees are responsible for how they operate and perform. They are jointly responsible for the delivery of services, the delivery of outcomes and how well services perform in terms of meeting the needs of our customers and the delivery of our priorities.

4.1 Role of Executive Officers

Chief Executive

The Chief Executive works closely with councillors to ensure all staff understand and adhere to the strategic aims of the organisation and follows the direction set by the elected members, and is accountable for overseeing financial and performance management, risk management, people management and change management within the Council.

Executive Directors

Executive Directors are responsible for ensuring there are performance management arrangements in place that provide them with assurance about the way services are performing which includes monitoring the delivery of key performance measures and plans. They must fulfil this responsibility to the satisfaction of the Chief Executive, the Corporate Management Team (CMT) and Councillors.

Corporate Management Team (CMT)

CMT is responsible for providing visible officer leadership to ensure that the Council's vision and priorities are delivered and for promoting and ensuring excellence in respect of customer service, people management, corporate governance, performance management, financial management and control, risk management and change management.

4.2 Role of Managerial Leadership

Managers at all levels of the organisation have a vital role to play in the way the organisation learns, develops and improves in order to deliver services to residents and businesses. Managers are expected to:

- **Lead by example**
 - Work in a collaborative and productive way, exhibiting the behaviours expected of all employees.

- **Understand the system**
 - This requires profound knowledge; you don't get this from just performance reports, inspection and audit carried out for someone on your behalf and reported to a board meeting but from actively observing and participating in the work. In particular you need to understand variation and the nature of this variation. This doesn't just apply to the area you are specifically responsible for but the wider operations that, taken together, create the system that achieves the customer's purpose.

- **Act on the system and continuously review it**
 - Workers control the work and it is the role of the manager to support them by controlling the way the work works. This includes taking responsibility for all the things outside the control of workers that have a bearing on how the system works and ensuring the system is flexible enough to cope with predictable variation.

- **Remove blockages and barriers**
 - Use the knowledge of how the work works and listen to staff to act on the things that are stopping them from achieving the customer's purpose and creating waste.

- **Champion the Council's values**
 - Lead by example and show these values are part of how you work, not something that you pay lip service to. Challenge yourself and others where you fall short of meeting these values.

- **Encourage the sharing of learning**
 - Talk openly about your experiences - good and bad - so that others may learn from them. Use the profound knowledge you have developed of the system in which you work to share ideas for wider improvements outside your direct control.

- **Challenge peers**
 - Constructively challenge practice amongst your peers to ensure they are working in a way consistent with the organisation's guiding principles, priorities and values.

- **Encourage a culture of continuous improvement**
 - Don't treat this as a one off exercise to identify a set of improvements and efficiencies that can be quickly 'cashed-in' before reverting back to old management styles. This is a new culture, a way of working that demands, and allows for, constant and remarkable improvements.

- **Promote understanding of the organisation's guiding principles and the behaviours framework amongst the workforce, leading by example**
 - Create clarity and constancy of purpose by actively promoting the Council's guiding principles, priorities and values and helping staff to see how their role aligns to those
 - Provide staff with feedback, through either formal appraisal and / or other mechanisms on how they are performing and check they are aware of how they contribute to the purpose and priorities of both the services they provide and the organisation as a whole.

4.3 Role of Employees

Every employee in the Council is expected to:

- deliver quality services, working closely with the customer to ensure their needs are met, remembering the variety of customers that they engage, internally and externally, from residents to elected members, partner organisations to local businesses
- take ownership of customers' problems and the resolution of problems
- identify and remove 'waste' (steps in our processes which add no value to the work and do not help customers) and work within the financial constraints and budgets available to the service
- understand how delivery aligns to the Corporate Plan
- work collaboratively and flexibly
- recognise and understand how they contribute to the purpose and priorities of both the services they provide and the organisation as a whole
- actively participate in the Employee Performance Review process
- abide by the Code of Conduct for Employees at all times.

4.4 Role of Services

There is no prescriptive framework for services dictated by the 'centre'. Where employees and leaders understand the work, the statutory and regulatory arrangements placed upon them and the purpose they are working towards, the measures they need to understand to help them manage the work will develop.

There is an expectation that a service performance framework will encompass the following:

- support delivery of any national frameworks applicable to that area
- provide intelligence to support informed decision making and business improvement within that area with qualitative measures as well as quantitative measures
- use intelligence to challenge and improve performance
- use intelligence to identify and effectively manage and mitigate risks
- engage and work with the Corporate Assurance Team to:
 - create an effective network of analytical skills and information sharing to ensure intelligence is joined up and learning is shared; and
 - seek support and constructive challenge on meeting the above responsibilities.

4.5 Role of the Corporate Assurance Team

- **Maintains links** to the Walsall Plan and Corporate Plan for strategic alignment and reports on delivery.
- Organisational **oversight** and **independent assurance** for Members, Cabinet, Chief Executive and CMT regarding how well the Council is delivering against it's priorities and potential risks associated with external regulation and inspection regimes.
- Provides support to services in preparing for external regulation, peer review and inspections, both in supporting logistics and providing assurance regarding expected outcome.
- Provides independent **critical friend challenge** to services and CMT to help develop the right measures to ensure they align to purpose and are easily and efficiently captured and reported to inform decision making.
- **Supports** services, service clusters and directorates in the development of their individual framework and approaches, assessing effectiveness and through the collation and effective interpretation of combined data and intelligence to provide

strategic view of how the organisation is performing against both customer demand and external requirements.

- **Signposting** services to existing datasets and interpretation of information and intelligence.
- Provides co-ordinated **horizon-scanning** for the organisation, considering the potential impact of proposed changes to environment on our customers and services.
- **Coordinates** an effective network of analytical skills to help ensure intelligence, including horizon scanning, is joined up and fully utilised without any duplication.
- **Advises on the balance** of existing regulatory and national frameworks with those that support delivery of local priorities through new ways of working.
- **Informs** identification and management of corporate risks.
- Facilitates the sharing of **corporate learning**.

4.6 Role of Elected Members

Full Council is ultimately accountable to the public for the performance of the Council and is responsible for setting policy and the budget envelope for the delivery of priorities as agreed by the Council and expressed in the Corporate Plan.

Cabinet members take the lead role in agreeing appropriate performance objectives for the services within their portfolios. They work closely with executive directors to monitor the performance of services within their individual portfolios and then jointly as Cabinet to receive intelligence that informs their decision making. They know, and are accountable for, what services are doing in order to maximise, improve or turn around poor performance.

Audit Committee, through its delegated powers, contributes to the Council's governance by ensuring an effective internal control environment is maintained. In addition it reviews mechanisms for the assessment and management of risk and considers arrangements for and the merits of operating quality assurance and performance management processes. It has delegated power to consider the arrangements for performance management processes.

Overview and Scrutiny Committees are involved in performance management in a variety of ways. This includes involvement in the development, monitoring and

review of policies. Overview and Scrutiny committees are responsible for holding Cabinet to account for the delivery of the Council's strategic priorities as expressed in the Corporate Plan.

Ward Councillors, as community leaders and representatives of specific geographical areas, play a key role in consulting the community they serve and in championing the concerns and priorities of residents. This in turn influences and informs corporate priorities.

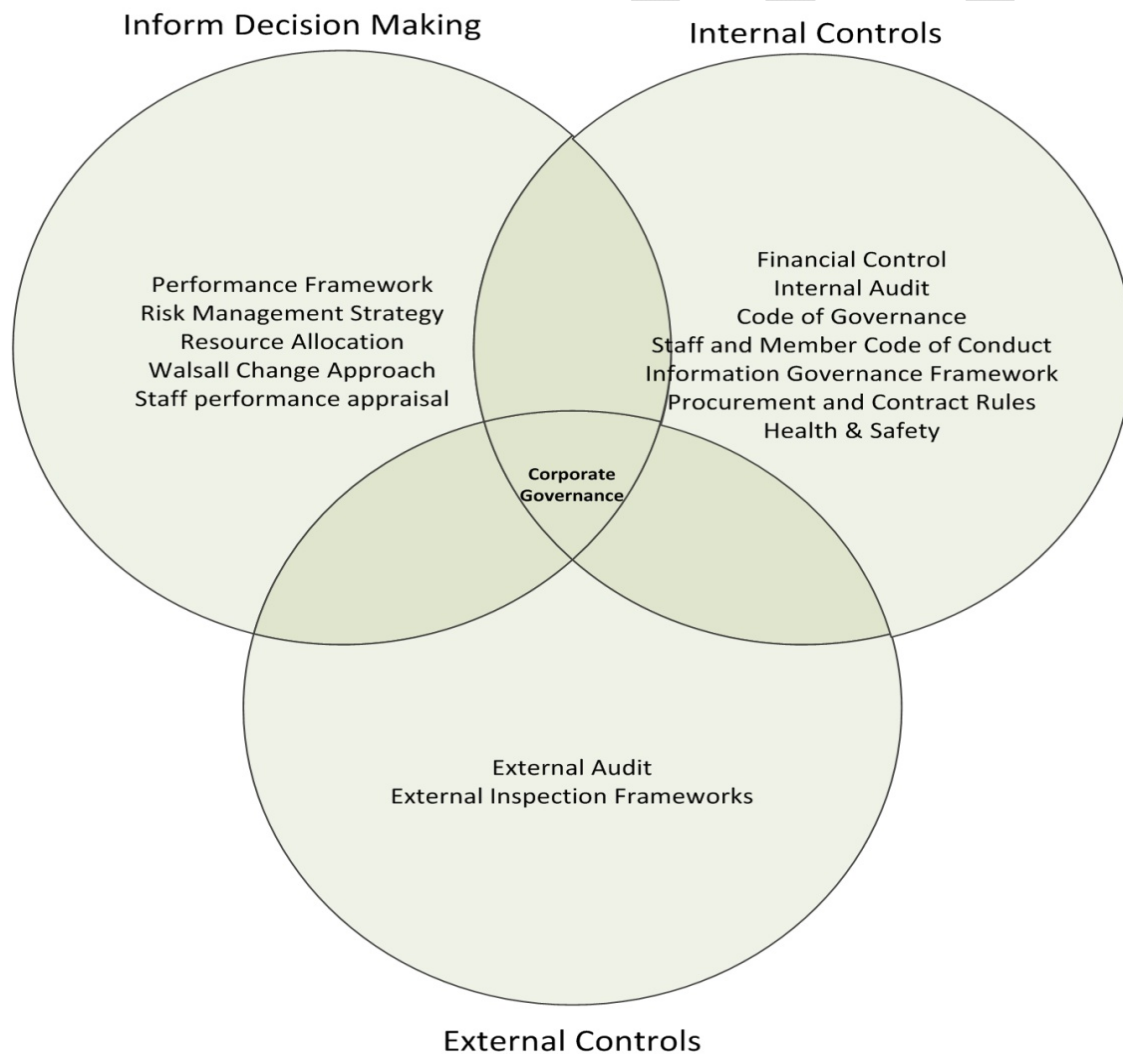
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5. Links to wider corporate governance

Governance supports the Council in delivering outcomes by ensuring there are high standards of conduct and leadership that ensures the Council does the right things, in the right way, for the right people in a timely, inclusive, open, honest and accountable manner.

The Corporate Governance Framework informs and controls how decisions are made and implemented, and the Corporate Governance Group is responsible for the strategic review of governance and the identification and delivery of activity to ensure the risk of governance failure is minimised. There are three key components of good governance as depicted in the diagram below.

Figure 5



Walsall's local code of governance has 6 key fundamental principles which underpin corporate governance. These are:

1. Focusing on the purpose of Walsall Council and on outcomes for the community, and creating and implementing a vision for the local area.
2. Elected Members and Officers working together to achieve a common purpose with clearly defined functions and roles.
3. Promoting Values for Walsall Council and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
5. Developing the capacity and capability of Elected Members and Officers to be effective.
6. Engaging with local people and other stakeholders to ensure robust public accountability.

The Performance Framework is an important part of the wider corporate governance framework which comprises the systems and processes, culture and values, by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads the community.

5.1 External Controls

The Council as a public sector organisation is also governed by a wider legislative and statutory framework and a considerable part of how this is governed is via external inspections. These provide a valuable function in holding up a mirror to the organisation so it can see how it is performing in relation to this principle. Good inspection reports provide assurance that the Council is functioning well, poor inspection reports should be seen as a catalyst for change.

Although the inspection regime has reduced significantly over the last 8 years many aspects still continue in other forms, for example the appraisal of how the Council manages its resources and achieves value for money is accommodated within the external auditor's assessment under their annual ISA 260 report and their report on financial resilience.

Other inspections and external regulation continue across different areas, for example:

- Ofsted inspects a range of settings across early years, education and children's social care, including schools, nurseries, childcare, adoption and fostering agen-

cies. Some of the main inspections for the Council across these areas are: individual inspections of maintained schools; Single inspection of LA Children's Services and Review of the Local Safeguarding Board; inspection of local authority school improvement arrangements.

- The Council is also required to provide data to Ofsted relating to schools performance, looked after children, and other vulnerable children, which is then collated and published nationally by Ofsted.
- Local area SEND (Special Educational Needs and Disability) inspections are carried out by Ofsted in conjunction with the Care Quality Commission (CQC).
- The CQC also carries out inspections across the Council's adult social care settings, with a focus on treatment, care and support services for adults in care homes and in people's own homes (both personal and nursing care). In addition, the CQC inspects registered health services provided to children and work in partnership with other inspectorates. Key multi-agency inspections for the Council are: Children Looked After and Safeguarding Reviews (CLAS) and the Joint Targeted Area Inspection Programme (JTAI).
- The Health and Social Care Information centre (HSCIC) collects statutory returns from the Council and publishes national data from these returns.
- HM Inspectorate of Probation leads a multi-agency joint inspection of work carried out by our youth offending teams.
- The Food Standards Agency carries out inspections of our enforcement services.
- The Surveillance Commissioner inspects the Council's use of surveillance under RIPA (Regulation of Investigatory Powers Act).
- The Information Commissioner's Office (ICO) has the power to undertake investigations as part of Data Protection Audits which include the powers to obtain access to premises and any data processing equipment, systems or software.