

Agenda



Delegated Decisions - Leader

Date: Tuesday, 21 July 2020

To: Councillor J Mudd

Item		Wards Affected
1	<u>Planning and Performance Policy and Risk Management Policy</u> (Pages 3 - 28)	All Wards

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Date of Issue: Monday, 13 July 2020

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Report

The Leader of the Council

Part 1

Date: 20 July 2020

Subject Planning and Performance Policy and Risk Management Policy

Purpose To request the Leader of the Council approve the new Planning and Performance Policy and the Risk Management Policy as part of the wider Planning, Performance and Risk Management Framework that supports the delivery of the Council's Corporate Plan.

Author Head of People and Business Change

Ward All

Summary The Council's Planning, Performance and Risk Framework brings together the Council's Planning & Performance Policy and Risk Management Policy to support the delivery of the Council's Corporate Plan. Bringing together these 3 areas of Planning, Performance and Risk Management acknowledges how they are intrinsic to ensuring effective decision making is made throughout the organisation. The policies also recognise the need for the Council to consider its risk appetite when deciding on the opportunities and managed risks in delivering its strategic aims and meeting its legislative / regulatory requirements.

Proposal That the Leader approves and endorses the Planning & Performance Policy and Risk Management Policy that will be adopted for Newport City Council.

Action by Senior Leadership Team and Heads of Service

Timetable Immediate

This report was prepared after consultation with:

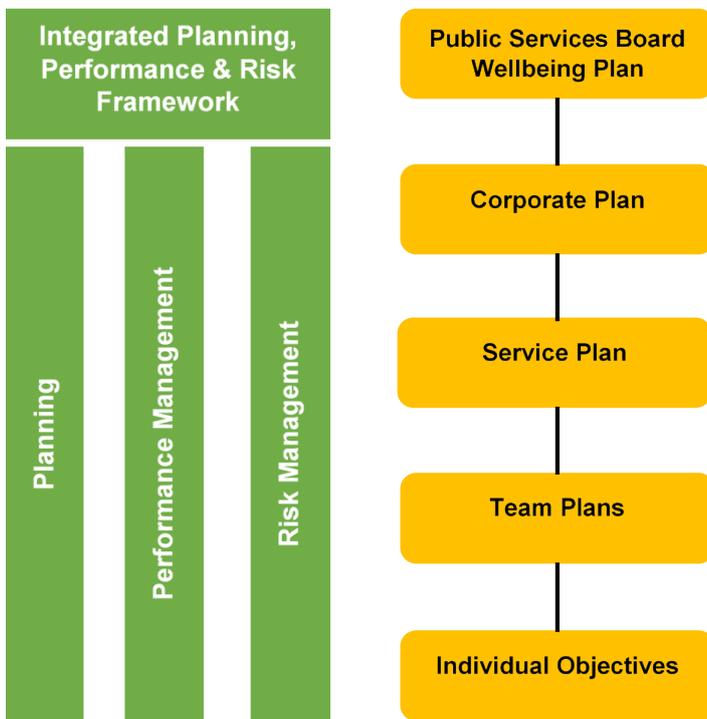
- Cabinet
- Audit Committee
- Overview and Scrutiny Management Committee
- Corporate Management Team
- HR and OD Manager

Signed

Background

Newport City Council is responsible for delivering over 800 different services both statutory and non-statutory to residents, businesses and other service users. We face complex and wide ranging challenges that are externally driven e.g. Welsh Government and some that are driven more locally through local needs and priorities in the City. The [Wellbeing of Future Generations \(Wales\) Act 2015](#) requires all public bodies in Wales including Newport City Council to think about the long term impacts of our decisions. The Act is about sustainable development to improve the social, economic, environmental and cultural wellbeing of Wales. To do this Newport Council is required to set and publish Wellbeing Objectives that maximise our contribution to each of the wellbeing goals and taking reasonable steps to meet these objectives. To be able to manage these effectively throughout the organisation it is critical for the Council to take an integrated approach in our planning, performance and risk management.

To support this new approach the Council has updated its Planning & Performance Policy (Appendix 1) and Risk Management Policy (Appendix 2). Below is a diagram that demonstrates how these policies support this new Framework (Appendix 3) and how we as organisation put these policies at the heart of the Council's decision making at every level of the organisation.



The diagram above also demonstrates the 'golden thread' between strategic, operational and individual planning & performance management in Newport Council. At each of these levels, Members and officers should understand their role and how at each level contributes towards the overall aim of delivering the Council's Corporate Plan and the Public Services Board Wellbeing Plan. Both policies also recognise the role that the effective financial planning monitoring has in supporting the delivery of the Council's objectives; and also the importance of having effective personal performance framework to ensure staff objectives and performance align to the strategic goals of the Council.

The Risk Management Policy sets out how Newport City Council will manage its opportunities and risks in delivering the Council's strategic and operational objectives. The Risk Policy includes the Council's Risk Appetite which demonstrates the level of opportunities and risk the Council is willing to take / accept in the delivery of its services. This supports the overall risk culture that the organisation will adopt and enable Members and staff to making informed decisions based upon robust evidence. The Risk Appetite of the Council will be examined annually by the Council's Cabinet and Senior Officers to ensure that it

remains reflective of the Council's culture and requirements to comply with necessary legislation and regulatory requirements.

To support embedding the new policies, People and Business Change have already undertaken changes to the processes for monitoring and reporting performance and risk across the Council. Over the last 18 months improvements have been made to the Council's Management Information system to support the implementation of the new policies. New procedures are also in place to provide guidance and support to officers across the service areas ensuring that they understand their role and responsibilities. Going forward this guidance and support will be further enhanced through video training and face to face training (where permitted by Covid 19 legislation).

Appendix 1 – Planning, Performance and Risk Management Framework

Appendix 2 – Planning and Performance Policy

Appendix 3 – Risk Management Policy

Financial Summary

There are no direct costs associated with this report.

Risks

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
The Council does not achieve its strategic and operational objectives.	H	L	Adoption of the new Planning & Performance Policy and Risk management Policy to support effective decision making. Training, guidance and support provided to staff. Regular governance monitoring and reporting of performance and risk.	Corporate Management Team Senior Officers

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

One Newport Public Services Board Wellbeing Plan 2018-23

Newport City Council Corporate Plan 2017-22

Options Available and considered

1. To approve the Planning and Performance Policy and Risk Management Policy that will be adopted by the Council
2. Reject both policies and request further information before it is adopted by the Council.

Preferred Option and Why

1. To approve both policies as part of the Council's overall Planning, Performance and Risk Management Framework that will support the delivery of the Council's Corporate Plan and future Strategic plans.

Comments of Chief Financial Officer

There are no direct financial implications arising from this report itself.

The Council's Medium Term Financial plan both informs and is developed around the Corporate Plan. Service area detailed budgets then also inform and are developed around service plans. The issues around risk have a potential financial impact and when appropriate, financial provision is required and made around these.

Comments of Monitoring Officer

There are no specific legal issues arising from the Report. The proposed Framework will provide an integrated approach to service planning, performance monitoring and risk management and ensure that the Planning & Performance Policy and the Risk Management Policy work together in a consistent way, to underpin service delivery, decision-making and the achievement of strategic objectives. The policy framework will be complemented by an integrated management information system which will improve the arrangements for monitoring and reporting performance and risk. The draft Policies and Framework have been circulated to Scrutiny Management Committee for comment and the Audit Committee have also been consulted, specifically about the approach to risk management and, where appropriate, their comments have been incorporated within the revised Policies.

Comments of Head of People and Business Change

The adoption of both the Planning & Performance Policy and Risk Management Policy will support the changes that have been made to improve the monitoring and reporting of performance and risk over the last 18 months. These policies will improve the transparency and accountability in the strategic and operational decisions made throughout the Council and will enable Members and officers to effectively monitor the Council's performance and management of risk. The implementation of the new policies supports the Council in delivering its Wellbeing goals in the Corporate Plan and the Public Services Board Wellbeing Plan.

Local issues

None.

Comments from Non-Executive Members

Cllr Al- Nuaimi

The substantive part of the report is done in 3 sections The Draft Integrated Planning Performance and Risk Framework, The Draft Planning and Performance Management Policy 2019-2022 and the Risk Management Policy 2020-2022. The Framework coming at the end of the report is confusing and appears superfluous, as it's already being referred to extensively in the 2 policies earlier. As you come to the end of reading, one tends to ask, what should come next!

Another comment to make is that the Planning and Performance Policy appears to be the definitive policy over 2020/22, the other policy on Risk management is referred to as a DRAFT and over the years 2019-2022. The question arises is the Council, at the present time, operating on a draft Risk Management, that is yet to be approved. Can I suggest, the drafting of the report is looked at again.

I welcome the rationale and thrust of the report to link and integrate the Planning, Performance and Risk Management in order to deliver the **Public Services Board Wellbeing Plan, and Council Corporate Plan** objectives. I welcome in particular the breakdown of roles and responsibilities, given in the chart on pages 13-16.

However, it appears that engagement with stakeholders, e.g. Newport Residents, businesses, voluntary and community organisations is absent in that long and detailed chart. Engagement is a cornerstone of the Future Generations Wellbeing Act, and as such has a significant role in the statutory and non-statutory public services delivered by the Council.

Another comment that could be made on that chart, is the role of elected members in the delivery of the integrated plans. Below Cabinet member Council has 40 non-executive members and their role is spelled out as holding the Council executive to account. It would be useful for this general

statement, correct as it is, if this could be expanded, to spell out in a little more detail, the actual roles of the non-executive members.

Through the Scrutiny and Audit Committees, non-executive members can contribute to the development of policies and the review of those already operating. Here it would be good for these roles to be noted. Furthermore, and in order to ensure that all members of the Council contribute effectively, to the objectives of this integrated framework, the work programmes of both Cabinet and Scrutiny Committees are synchronised and dovetailed.

Cllr K. Thomas

It would seem inappropriate not to recognise the huge changes and challenges which have been forced upon Newport and the other local authorities since Emergency Measure were brought in during March 2020 to enable responses to the Covid-19 crisis.

The introduction of these powers present precedented challenges to local government in service delivery and their future performance. Throughout the remaining time of this crisis situation, and into the future, the council will continue to maintain standards in governance measures such as those of this policy, which ensure consistency and sustainability of the Newport Council functions which service citizens.

New needs have emerged and priorities have been realigned to evaluate and service the knock-on effects of having to manage previously unanticipated demand, which is likely to be cross-cutting over NCC services, in both people and place divisions, as the council delivers services to citizens, businesses and visitors.

At national and international levels it has emerged that there has been the lag in data collection and subsequent evaluation and interpretation, which inform local authority responses. It is welcomed that these policies state the council's confidence that it has managed to improve its data collection functions. High-quality, reliable and timely data is certainly essential. It will be imperative to maintain more responsive systems as so many new delivery areas have emerged with little or no warning since the COVID-19 crisis struck.

Local authorities no longer operate as autonomous units and the Well-being of Future Generations Act sanctions integration of all public services – allowing Welsh NHS services to collaborate contribute to council services at this crucial time in a way which cannot be produced by the competitive tendering process in NHS Wales. This collaboration and involvement can be delivered by participation in the Public Service Board, Local Service Board and the Gwent Local Resilience Forum, which include Civil Contingencies. The prevention element allows focus on the risk of falling behind in the council's Corporate Plan.

New risks will be identified at this stage, and right through until the end of 2024 because of what the city and region have been through. On the positive side, the council is been likely to have identified huge resources from individuals within its own workforce: their responses to the changes in demand. Those who have been able to work have continued to do so in ways which have been totally different and often taking on new roles and Individual Performance Monitoring will be able to recognise this.

Non-corporate-based services have been particularly under pressure and proved to be adaptive, which will undoubtedly continue to be needed in to the post COVID-19 phase.

Challenges are likely to be forthcoming from external regulatory reviews, which are likely to depart from their previous remit.

Regarding the financial situation, which local authorities are always mindful of, pressures on Welsh government funding for the direct extra costs to the council/lost revenue, the financial crisis for many businesses new and established in the city, not to mention the financial crisis for families and individuals will present challenges which the council need strong but adaptive policies, such as those stated here, to manage.

This may be a difficult time to take forward opportunities to develop risk appetite and this will be influenced by external forces which are likely to continue to emerge until at least the end of the current Corporate Plan in 2024. Statements on 'low tolerance' on departures from health and safety, governance, legal and regulatory requirements, as well as the reputation of the council, are welcome

It is recognised that the council's high-level plans may see changes during, and following, these unprecedented times. It is welcomed that this policy provide a robust statement framework and standards to help meet its responsibilities towards social, economic, environmental and cultural well-being.

Overview and Scrutiny Management Committee and Audit Committee comments

The Planning & Performance Policy was submitted to the Overview Management Scrutiny Committee in April 2020 for comment and responses were provided back to the Councillors accordingly.

The Risk Management Policy was presented to the Council's Audit Committee on 29th January 2020. Agenda and minutes from the Committee can be located [here](#). Feedback and comments raised by the Committee were considered and incorporated into the Risk Management Policy presented to Leader.

Equalities Impact Assessment

Not applicable.

Children and Families (Wales) Measure

Not applicable.

Wellbeing of Future Generations (Wales) Act 2015

As stated in the report above, the adoption of the Planning & Performance Policy and Risk Management Policy supports the delivery of the Council's Corporate Plan 2017-22 and its Wellbeing Objectives. These policies will support the Council's governance, monitoring and reporting of progress being made against the Corporate Plan and ensure there is accountability and transparency with decisions made in the Council.

Prevention

Through the adoption of the Framework and policies Newport Council is able to demonstrate how it is able to deliver its strategic objectives and align them to the Act. Through effective performance monitoring the Council is able to identify those areas which are performing well and those areas which require improvement. The Council will be able to identify trends and implement actions to prevent performance from getting worse. Effective risk management also identifies and put in place actions for risks which could prevent the Council from achieving its objectives and meeting its statutory requirements. The Risk Management Policy now includes a Risk Appetite statement that sets out the Council's culture and approach which the opportunities and risks are managed and decisions made.

Collaboration

The drafting of the new Framework and policies has been completed in collaboration with other departments such as Internal Audit, Newport Intelligence Hub and the Corporate Management Team. Over the last 18 months the Council has implemented new performance and risk processes that support the delivery of the new policies and has worked with the software vendor, Inphase, to implement the systems to capture the data. Service area feedback has been important throughout this process in improving reporting and monitoring of performance and risk to Council Members and officers.

Integration

The new Framework and policies recognise the requirement for the Council to integrate its approach to its planning, performance and risk. The new policies integrate with the Council's Corporate Plan and the new Strategic Recovery Aims as the Council moves forward post Covid 19 and preparation for future Corporate Plans. The policies also demonstrate how the Council's plans align from the Public Services Board Wellbeing Plan to Corporate and Service Plans to personal performance plans. Through this approach the Council is able to ensure service areas and its partners are able to focus on its key strategic and operational goals and sustainable development.

Long Term

The Framework and policies recognise the requirement for setting strategic / long term plans for delivering its corporate objectives. The Risk Management Policy recognises that the Council needs to understand future / emerging risks such as climate change and ensuring that the Council is able to address these risks both in the short term and long term. Whilst performance management is often looking back, the policies understand the requirement for using performance data to be able to forecast and model future impacts and supporting evidence based decisions for the Council.

Involvement

The development of the Framework and its policies have involved the Council's Audit Committee (Risk Management Policy) and the Overview Scrutiny Management Committee (Planning & Performance Policy) in providing feedback on its contents and application into the organisation. Their views have informed changes made to both policies. In the setting of the Council's Risk Appetite, a workshop was held with the Council's Cabinet to gain their understanding and consideration of their risk appetite for the Council. This work supported the development of the risk appetite. Ongoing, the Council's Audit Committee and scrutiny committees will be providing regular feedback assessment of the Council's performance and management of risk. The Framework and policies will be communicated on the Council's website and ongoing training provided to officers and councillors.

Crime and Disorder Act 1998

Not applicable.

Consultation

Cabinet
Corporate Management Team
Chief Internal Auditor
Overview Scrutiny Management Committee
Audit Committee

Background Papers

Public Services Board, One Newport Wellbeing Plan 2018-23
Newport City Council Corporate Plan 2017-22
Cabinet Report Mid-Year Review, February 2020
Cabinet Report Q3 – Corporate Risk Register Update March 2020

Dated: June 2020



Newport City Council DRAFT Planning and Performance Management Policy 2019-22

Version 0.6

Introduction and background

The aim of this policy is to embed a strong planning and performance culture where everyone is aware of their contribution towards the council's vision - *Improving People's Lives*. Newport City Council is responsible for delivering over 800 services both statutory and non-statutory to residents, businesses and other service users. The Council's Corporate Plan 2017 – 2022 has set 4 Wellbeing Objectives and 4 Corporate Themes that aim to achieve the Council's vision.

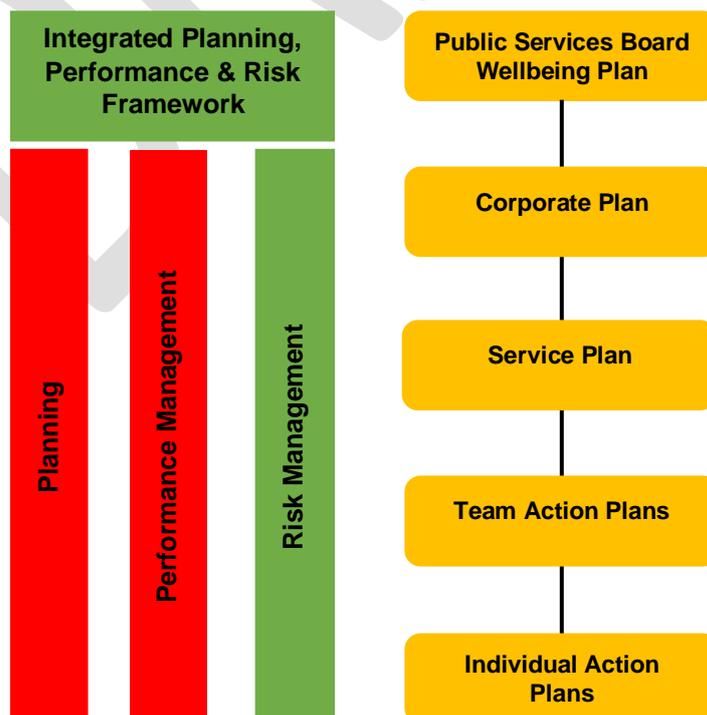
The [Well-being of Future Generations \(Wales\) Act 2015](#) requires all public bodies including Newport City Council to think about the long term impacts of our decisions. The Act is about sustainable development to improve the social, economic, environmental and cultural wellbeing of Wales. The One Newport Public Services Board has developed a Wellbeing Plan for 2018-23 with 5 Interventions to support the 7 Wellbeing Goals set in the Act. To support the delivery of our objectives and the decisions we make the Council is required to consider the 5 Ways of Working principles below:



Integrated Planning, Performance and Risk Management Framework

The Integrated Planning, Performance, and Risk Management Framework recognises that in order for us to achieve our objectives we need to have a culture that is able to effectively plan, be able to demonstrate clear outcomes that benefits our stakeholders, and also be resilient to the opportunities and risks that we encounter. These 3 pillars of planning, performance and risk are essential and should be interwoven into our decision making at every level of the organisation.

The diagram below sets out how the Framework and supporting policies support the key strategic and operational levels in Newport Council.



Strategic, Operational and Individual Planning

An essential foundation of effective performance management is planning. As defined in the diagram above, effective planning needs to be undertaken at all levels of the organisation whether it is delivering Corporate Plan Wellbeing objectives, projects, Service Plan objectives or individual objectives.

Corporate Plan

This sets out the Council's strategic vision, Wellbeing Objectives and priorities for delivery. This is commonly set over a 5-year period by the Council's Cabinet administration and also supports the delivery of the Public Services Board Wellbeing Plan.

Service Plan

Sets out what each service area is going to deliver over the year to achieve objectives and priorities that are set out in the Council's Corporate Plan. This will include actions and performance measures that are aligned to the Corporate Plan objectives.

Team Action Plans

Sets out individual team actions that will support the service plans. This may include specific actions and performance measures aligned to the service plan objectives.

Individual Action Plans

Sets out individual members of staff objectives and actions that support the delivery of service plans and team plan objectives.

For the Council to develop effective plans that provide a clear understanding of the direction and alignment to the Council's Corporate Plan, it is necessary to consider:

1. **Need** - What is the need of our customers, communities, legislative and regulatory requirements (5 Ways of Working: Long Term / Collaboration / Prevention / Integration / Involvement);
2. **Objective(s)** – How do our objective(s) support and impact on the needs identified (SMART). How will we measure the success and impact on delivering our objective(s)?
3. **Resources** – Do we have the resources e.g. staffing (capacity / capability), Finance (revenue, capital, grants) to deliver our objectives. How does that affect our targets?
4. **Risks** – What are the risks that might prevent us from achieving our objectives? Are these captured in the risk management system?
5. **Plans** – What actions are required to deliver our objectives? Who will lead on the delivery of the action? How long will the action(s) take to deliver?
6. **Review** – This is linked to performance management (see below) and monitoring of performance every quarter.
7. **Revise** – Revise action plans (amend / add new actions) to deliver objectives.

Financial Planning

The Council's Finance Service is responsible for supporting service areas and managers and to safeguard the resources of the Council. Every year the Council sets the budget and the Medium Term Savings Plan. As part of the service planning cycle it is crucial that you:

- Get to know your Finance Business Partner and to talk to them for financial advice and before starting any project.
- Own and understand your budget and cost drivers by completing your monthly updates and speaking with your business partners.
- Don't commit unless you have the spend within your budget.
- Be aware and manage your risks.
- Comply with Contract Standing Orders, Financial Regulations and Procurement policy.

What is performance management?

Planning and performance are intrinsically linked and are key to enable the Council to achieve its vision. In the delivery of the Council's objectives (corporate / service / team / individual) it is important that we are able to translate these into tangible actions and measures which are able to demonstrate how well we are succeeding and their impact on the services, customers (internal / external), communities and other stakeholders that are involved in the Council. For our performance we have adopted the industry standard of Plan – Do – Review – Revise (see diagram below)



This approach is relevant to all of the actions and decisions made at every level in the Council. All service areas are expected to have a service plan that have clear objectives and actions that enable the Council to achieve its Corporate Plan (Wellbeing Objectives) as well as deliver on specific activities that support the needs of its customers / users, enable compliance with legislation and/or regulation and improve the effectiveness and efficiency of our resources and assets. These may also translate to specific team action plans (where applicable) and individual performance objectives.

To support this process, the Council uses the Management Information (MI) Hub to monitor and report on progress against the delivery of the service plans and their associated performance measures and risks.

For individual performance monitoring, it is necessary for officers to have set objectives and actions that are aligned to service plan and team plan objectives / actions. These performance plans help support teams deliver their objectives and should enable officers to identify opportunities for development and/or improvement in their performance. For corporate based staff, the Council uses the iTrent system to set and

monitor performance. For non-corporate based services delivered by the Council e.g. care homes, front-line staff and schools etc., specific performance plans and monitoring arrangements agreed by the relevant manager should be in place. The Council's Human Resource team can be contacted for more information on Personal Development of Newport City Council's employees at the following email: human.resources@newport.gov.uk.

Planning & Performance Governance inc. roles and responsibilities

The Council's Constitution sets out how planning, performance and risk is managed in Newport City Council. These processes should be known at all levels of the organisations and it is important to have plans that align from the Wellbeing Plan to individual plans (and vice versa). The table below outlines the roles and responsibilities which each level, internal /external partners and regulators have in monitoring, reporting and providing assurance over the delivery of our objectives and actions. Roles and responsibilities relating to risk management are outlined in the Risk Management Policy.

Role	Planning Responsibility	Performance Responsibility
Council	<ul style="list-style-type: none"> Approving the strategies and plans included in the Policy Framework e.g. PSB Wellbeing Plan (1 of 4 statutory bodies) and the Council's Corporate Plan. Approval of the Council's budget and final accounts. 	Not Applicable.
Cabinet	<ul style="list-style-type: none"> To agree operational strategies and policies within the Council's Policy Framework e.g. Corporate Plan. 	<ul style="list-style-type: none"> To agree performance management frameworks and procedures. To regularly monitor (6 monthly) the overall performance and risk of the Council and progress of delivery against the Corporate Plan. To monitor and any action taken in relation to management or performance information. Take into account observations and recommendations from the Council's performance scrutiny committees.
Cabinet Member	<ul style="list-style-type: none"> Approving any policy or policy documents relating to their portfolio including service plans. 	<ul style="list-style-type: none"> To monitor performance (quarterly) against service plans including finance, performance measures and risks within their portfolio and to determine any actions arising. To challenge poor performance and promote good performance within their portfolio. Oversight of progress made against recommendations from Internal Audit and external regulators.
Overview and Scrutiny Management Committee	<ul style="list-style-type: none"> Consultation on corporate strategies, plans and frameworks including the Corporate Plan, Corporate Annual Report and Director of Social Services Annual Report 	<ul style="list-style-type: none"> To hold the Council's executive (Cabinet) to account. Monitor the performance and success of services and outcomes of policies. Coordinate the programme for the Performance Scrutiny Committees and implementation of the work programme.
Performance Scrutiny Committee – Partnership	<ul style="list-style-type: none"> Contribute towards the Public Services Board (PSB) Wellbeing Plan by way of pre-decision scrutiny. 	<ul style="list-style-type: none"> Holding the PSB to account for their performance. Monitor the performance of the PSB against partnership plans and priorities every quarter. Monitor the implementation of any recommendations and actions made to the PSB.
Performance Scrutiny Committee –	<ul style="list-style-type: none"> Not applicable 	<ul style="list-style-type: none"> Holding the executive to account for its performance including finance. Monitoring of performance of service plans and their contribution towards the overall

Role	Planning Responsibility	Performance Responsibility
People / Place & Corporate		<p>Corporate Plan (6 monthly). Challenging areas of poor performance and promoting good performance.</p> <ul style="list-style-type: none"> • Receive external regulatory reports for People Directorate and assurances of delivery against recommendations and proposals for improvement.
Audit Committee	<ul style="list-style-type: none"> • To review and approve the annual programme for internal audits, audit priorities and effectiveness of the programme to provide adequate assurance in respect of the Council's main business risks. 	<ul style="list-style-type: none"> • Making reports and recommendations to the authority on the adequacy and effectiveness of risk management, internal control and corporate governance arrangements. • To receive and approve the Council's Annual Statement of Accounts in accordance with the Accounts and Audit Regulations.
Public Services Board	<ul style="list-style-type: none"> • Prepare, consult and deliver the local Wellbeing Plan. 	<ul style="list-style-type: none"> • Monitor and report on the delivery of the local Wellbeing Plan holding partners to account on poor performance and promoting good performance.
Senior Leadership Team	<ul style="list-style-type: none"> • Control service budgets within overall agreed limits and subject to the strategies, policies objectives and targets agreed by the Council. • Ensure service areas have set strategies, policies and plans that support the overall delivery of the Council's Corporate Plan. 	<ul style="list-style-type: none"> • Hold Heads of Service to account over performance, challenging poor performance, promoting good performance and determining appropriate action(s).
Chief Executive	<ul style="list-style-type: none"> • Determine the framework for Service Plans by each Service Head. 	<ul style="list-style-type: none"> • Holds all Chief Officers to account for their decisions and performance of their services. • To determine methods of monitoring and activities in relation to performance management of the Council's staff.
Directors	<ul style="list-style-type: none"> • Deliver care and support services which discharge the Council's social services functions and meet the Council's wellbeing objectives. • Determine matters relating to operational plans and finance 	<ul style="list-style-type: none"> • Ensuring that strong performance management arrangements are in place across social services, and reporting at a corporate level and to members on the authority's performance in respect of these. • Director of People – to report annually on the performance, risks and plans for improvement of Social Services functions.
Corporate Management Team	<ul style="list-style-type: none"> • To deliver the framework for service plans as directed by the Chief Executive. • Oversight on the delivery of project plans. 	<ul style="list-style-type: none"> • To monitor service area performance and risk every quarter and to address any significant issues and/or actions. • Agreeing performance targets for the Council to ensure continuous improvement of the Council's services. • To monitor the performance of corporate programmes and projects and to address any significant issues and/or actions.
Heads of Service	<ul style="list-style-type: none"> • Directing and oversight over the setting service plan objectives and actions for their service area. • Agreeing performance measures that support the delivery of their service plan objectives. • Agreeing and oversight of risks that prevent the delivery of the service plan and corporate objectives. • Oversight of Project Management 	<ul style="list-style-type: none"> • Accountable for performance and achievement of planned objectives / actions in their service area. • Responsible for keeping Directors and relevant Cabinet Members up-to-date with performance matters. • Sharing success stories and sharing best practice with others. • Responsible for addressing poor performance and mitigating negative outcomes.

Role	Planning Responsibility	Performance Responsibility
		<ul style="list-style-type: none"> Identify and escalate risks that will impact the delivery of the service plan and/or corporate plan objectives. Responsible for implementing and updating action plans to address the regulators recommendations and proposals for improvement.
<p align="center">Service Management Team / service Managers</p>	<ul style="list-style-type: none"> Supporting Heads of Service in the setting of service plan objectives and actions. Identifying performance measures and targets that are aligned to delivery of service plan and corporate objectives. Set team plans and actions aligned to service plan objectives. Ensure resources (Financial / Human) are able to support the delivery of the Corporate Plan and service plan objectives. 	<ul style="list-style-type: none"> Providing regular updates on the progress of delivery against service plan objectives / actions. To raise areas of poor performance and implementing mitigating actions to improve performance. Share success stories and areas of good performance in teams. Identify and escalate risks that could impact on the delivery of the service plan or corporate plan. Ensure budgets and finances are able to support the delivery of the service plans and Corporate Plan objectives.
<p align="center">All employees</p>	<ul style="list-style-type: none"> Set objectives in their personal performance plan that support the delivery of objectives in Service / Team. Understand and contribute towards the objectives and actions set in the Corporate Plan and service plans. 	<ul style="list-style-type: none"> Regularly monitoring performance against objectives and actions set in their own personal performance plan. Support and provide information to service / team managers on delivery actions set in service / team plans. Where applicable ensure performance data is accurately produced and submitted in a timely manner. Support the delivery of actions identified through internal / external reviews of service area performance.
<p align="center">Performance & Research Business Partner</p>	<ul style="list-style-type: none"> Support Cabinet / Senior Leadership in the development of the Corporate Plan and service plans. Support the development of necessary policies and procedures that support the Planning, Performance and Risk Management Framework. Where applicable, support external regulatory reviews e.g. WAO, CIW and/or Estyn. Provide advice, guidance and where applicable support planning, performance risk. Support Newport Intelligence Hub in the maintenance and administration of the performance management system. 	<ul style="list-style-type: none"> Support and prepare service area's quarterly update of their performance. Support and draft the Council's annual review of performance against the delivery of the Corporate Plan. Support and monitor the delivery of performance against external regulatory reviews. Ensure mechanisms are effective in providing accurate and timely performance measures.
<p align="center">Internal Audit</p>	<p align="center">Not Applicable</p>	<ul style="list-style-type: none"> Provide assurance on the effectiveness of the performance and risk management policy and processes. Follow up of recommendations and management actions.
<p align="center">Wales Audit Office / External Regulators</p>	<ul style="list-style-type: none"> Provide assurance on how the Council manages and spend public money on the delivery of services and the Council's Corporate Plan. 	<ul style="list-style-type: none"> Assurance over the financial reporting and use of resources Risk based performance audits on the delivery of services and compliance with legislation / regulation.

Role	Planning Responsibility	Performance Responsibility
	<ul style="list-style-type: none"> • Provide assurance that the Council is delivering services in accordance with statutory legislation and regulation. 	<ul style="list-style-type: none"> • Regulatory reviews of statutory functions and services to ensure compliance with legislation and regulation. • Follow up of recommendations / proposals for improvement.

Performance Data / Data Quality

Newport City Council uses and accesses many different systems to plan, monitor and report on the delivery of services and activities. To support effective decision making and utilising effectively the 5 ways of working principles (Wellbeing of Future Generations Act) at every level of the Council it is vital that all of this information is founded on high quality, reliable and timely data. Not having access to this information and data can lead to decisions that are unsound, impacts on the reputation of the Council and can lead to further disciplinary and/or financial action.

All employees of the Council have a duty to ensure that the information collected, stored, reported and shared meets the requirements of the Data Protection Act 2018. That same data which is used to produce performance measures / indicators, financial budgets and reports, service plan actions and risks also has to meet these requirements.

To ensure a corporate approach is adopted, the Council has developed ***a Data Quality Protocol*** that outlines the requirements of maintaining high quality data and producing accurate and timely performance information. All employees that are responsible for the administration, interrogation and reporting from these systems should be aware of the requirements set out in the Protocol.

Each service area is also required to ensure effective quality assurance processes are in place to record, validate and check the data before it is submitted onto the Council's Management Information Hub and/or external organisations such as Data Cymru (WLGA), Welsh Government and others.

Links to other Corporate Policies

Integrated Planning, Performance and Risk Management Framework

Risk Management Policy

Finance Policies / Procedures (To be Confirmed)

HR Policies / Procedures (To be Confirmed)

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Newport City Council
Risk Management Policy 2020-22

Version 0.4

Newport City Council Risk Management Policy (2020-22)

Introduction

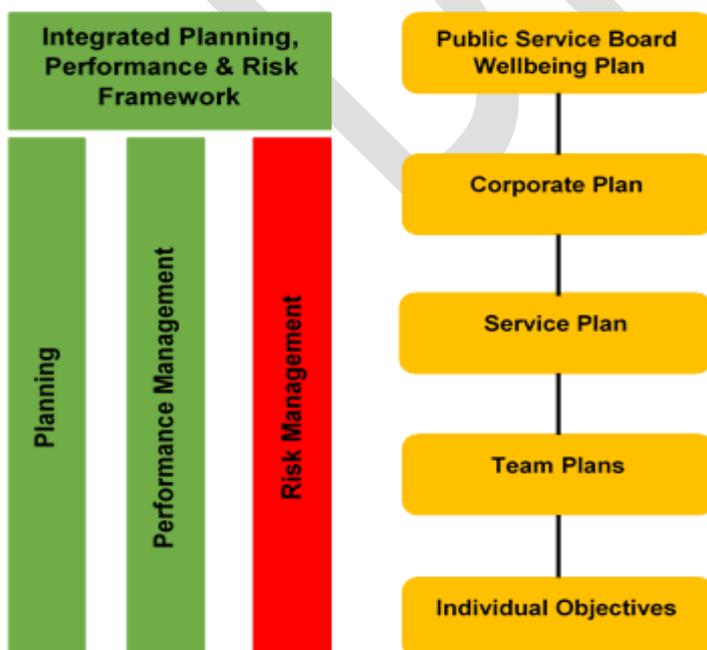
Newport City Council (NCC) is responsible for delivering over 800 different services both statutory and non-statutory to residents, businesses and other service users. The Council faces many complex, wide ranging challenges and threats that could prevent us from delivering these services effectively. The Corporate Plan 2017-22 has set out 4 Wellbeing Objectives and 4 Corporate Themes that will enable the Council to deliver its mission of 'Improving People's Lives'. To deliver these objectives and its services the Council will need to take well managed opportunities and risks in the decisions that are made at all levels of the organisation.

The [Wellbeing of Future Generations \(Wales\) Act 2015](#) requires all public bodies in Wales including NCC to think about the long term impacts of our decisions. The Act is about sustainable development to improve the social, economic, environmental and cultural wellbeing of Wales. To do this Newport Council is required to set and publish Wellbeing Objectives that maximise our contribution to each of the wellbeing goals and taking reasonable steps to meet these objectives. Also, in the decisions that we make we are required to consider the 5 ways of working principles:



Integrated Planning, Performance and Risk Management Framework

The Integrated Planning, Performance, and Risk Management Framework recognises that in order for us to achieve our objectives we need to have culture that is able to effectively plan, be able to demonstrate clear outcomes that benefits our stakeholders, and also be resilient to the opportunities and risks that we encounter. These 3 pillars of planning, performance and risk are essential and should be interwoven into our decision making at every level of the organisation. The diagram below sets out the key strategic and operational levels in Newport Council.



What is Risk Management?

A risk is simply an expression of uncertainty and is concerned with the probability of an event taking place (likelihood) and its impact that could constitute opportunities for benefit or threats to success. Risk is part of everything that we do and it is important for the Council to embed good risk management in our everyday business and in the decisions we make.

Managing risk processes effectively enables the council to safeguard against potential threats and exploit opportunities to improve services and provide better value for money.

Risk Appetite Statement

Cabinet is responsible for setting and monitoring the organisation's risk appetite. The Council's Risk Appetite Statement reflects the amount and type of risk that it is prepared to seek, accept and tolerate in the pursuit of its long term objectives. The Risk Appetite statement is fully supported by the Council's Senior Leadership Team and Corporate Management Team who will embed it throughout the organisation.

The Council's Cabinet encourages the Council to take 'well-managed' risks, seizing new opportunities and innovative approaches that enable the organisation to achieve its objectives provided that it is within the agreed risk tolerance range. With the opportunities and risks that present themselves the Council will have regard to the Well-being principles of long term, collaboration, prevention, integration and involvement. The Council's approach to and appetite for risk is summarised below:

Strategic / Policy

In the pursuit of its strategic objectives, Cabinet and officers will have to take 'well-managed' risks where there is clear evidence and opportunity to support these. But the organisation also has to protect its core activities and values and where there is risk to the delivery of these services it will take a cautious approach recognising the reputational risk to the Council.

Operational / Business Continuity

Newport City Council has a duty to maintain and deliver its services to all of its residents, businesses and visitors that use it. Cabinet, officers and our partners will take steps try and prevent future events such as loss of critical IT systems, fires, local / regional and national incidents and other incidents from taking place and to minimise the impact of disruption to our critical and front line services.

Financial

Council services and activities are operating in difficult times where budgets have to be well-managed. Newport City Council has a duty to protect the public purse and will ensure that its controls remain effective in the management and protection of its finances from misappropriation, mismanagement, poor decision making, fraud and bribery.

The Council will, where appropriate and based upon sound analysis (within agreed frameworks) we will seek to take opportunities to undertake capital / commercial investments in order to assist with regeneration or create an income for the Council, which could protect services. In its investment activities the Council will strike an appropriate balance between risk and return, minimising the risk of incurring losses. It will invest its fund prudently and have regard to the security and liquidity of its investments before seeking the highest rate of return or yield.

Governance / Legal / Regulatory

Many of the Council's services and activities are undertaken in accordance with legislative and regulatory requirements. Failure to adhere to legal / regulatory requirements can lead to financial and reputational damage to the Council. The Council has low tolerance towards these risks and will ensure that all activities will adhere to the necessary legal and regulatory requirements.

When it comes to the safeguarding of children and adults that are in our care or we come into contact with, the Council has a very low appetite for the failure in our controls and we will ensure that Council representatives and third parties operating on our behalf adhere to these requirements.

Health & Safety

Cabinet and officers have a low tolerance towards activities that may harm or cause injury (both physical and mental well-being) to our staff, and anyone who uses our services. All Council employees and representatives have a duty to ensure that services and activities have fully considered and taken appropriate measures to comply with the necessary health and safety legislation.

Reputational

To deliver the Council's Corporate Plan and our statutory duties we rely on our reputation to influence and secure the engagement of our constituents, businesses, partners (private, public and not for profit) and other stakeholders. The decisions made by the Council, Cabinet and officers are bound by its Constitution, Corporate Values and where applicable legislation and regulation. We shall retain an overall low tolerance of risk with regard to our reputation where our services could have a severe impact on our stakeholders. However, we are prepared to take opportunities that may be opposed by some of our stakeholders where there is satisfactory and sufficient evidence which demonstrate the long term benefits for the Council and its stakeholders.

Programme / Project Delivery

In the pursuit of our organisational objectives we are committed to seizing the opportunities where innovation and transformational change will provide benefits to both efficiency and effectiveness in the delivery of services and can provide value for money. Through the delivery of programmes and projects the Council will ensure that opportunities and risks are fully considered and evidence to support the decisions made at all levels of the organisation.

Risk Management Governance

Everyone in Newport City Council is responsible for ensuring risks and opportunities are identified and managed at all governance levels. The table below outlines the roles and responsibilities of strategic and operational functions across the Council. Additionally, and where applicable the Council's Constitution also includes information on the different governance boards, Elected Members and officers roles and responsibilities.

Governance Board / Officer role	Description of Role and Responsibilities
Cabinet	<p>The Council's Cabinet (Executive) is responsible for effective implementation of Council policy and for delivering services in line with those policies and the budget. As part of its role Cabinet:</p> <ul style="list-style-type: none"> • Approve the Risk Management Policy and procedures including the setting and agreement of the Risk Appetite for the Council; • Review the key risks to the organisation and the controls in place to provide assurance to stakeholders that risks are effectively managed; • To review the Corporate Risk Register on a quarterly basis ensuring procedures are in place to monitor the management of significant risks; • To ensure that all Strategic decisions have fully considered and consulted on the opportunities and risks.
Cabinet Members	<p>Executive functions that have been delegated to individual Cabinet Members in relation to their portfolios are responsible for ensuring risk management is embedded into any policy decision including:</p> <ul style="list-style-type: none"> • Monitoring and review of risks and the controls in place associated with the activities contained within their portfolio; • Ensuring Cabinet Member decisions have fully considered and consulted on the opportunities and risks.

	<ul style="list-style-type: none"> Promoting and ensuring risk management is embedded into the activities contained within their portfolio.
Audit Committee	<p>The Audit Committee is responsible for reviewing and monitoring the effectiveness of risk management, internal control and corporate governance arrangements of the authority. In discharging its duties, the Audit Committee shall:</p> <ul style="list-style-type: none"> Gain assurance that risk management is being properly undertaken at all levels in the organisation; Receive and provide scrutiny of the Council's Risk Management Policy and Risk Appetite Statement; Receive and provide scrutiny over the risk management arrangements contained in quarterly monitoring reports of the Corporate Risk Register.
Scrutiny Committees	<ul style="list-style-type: none"> Consideration of risks that will impact on the performance and delivery of services in the Council. Promote the use of risk management to inform effective strategic decision making in the Council.
Public Services Board	<ul style="list-style-type: none"> To identify, monitor, report and escalate risks that will impact on the delivery of the Wellbeing Plan and its Wellbeing Objectives. To develop an integrated approach to risk management and to understand and manage shared risks across the organisations involved with the PSB and the wider region.
Senior Leadership Team	<ul style="list-style-type: none"> Regularly review the risk management policy. Support and advise Cabinet in embedding risk appetite for Newport City Council into the decision making activities. Monitor key risks across the organisation considering them against the organisation's strategic objectives. Ensure that top risks have the resources allocated them to be effectively addressed. In line with the Risk Management Policy and Risk Management Framework report on key risks and controls. Create an environment in the organisation where risk management is promoted and facilitated.
Corporate Management Team	<ul style="list-style-type: none"> For the areas they are responsible for ensure the risk management process and risk reporting procedures are completed as per the Risk Management Policy and Risk Management Framework. Monitor the key risks in areas they are responsible for.
Service Management Teams	<ul style="list-style-type: none"> Effectively manage risk in their area of responsibility. Ensure that the risk management process and risk reporting procedures are completed following Newport City Council Risk Management Policy. Complete, track and monitor the progress of the service risk register. Escalate risks for Senior Leadership Team's consideration and inclusion on the Corporate Risk Register.
Performance & Research Business Partner	<ul style="list-style-type: none"> Development of the Risk Management Policy, procedures and guidance. Promote and support the Council to embed risk management into the activities of the Council. Support Service Areas in the identification, assessment and reporting of risk in the Council. Drafting of quarterly corporate risk reports to Cabinet and Audit Committee.
Risk Owners	<ul style="list-style-type: none"> Responsible for managing and monitoring a specific risk (each risk in the corporate risk register is assigned a risk owner). Ensure that appropriate resources and importance are allocated to the risks they own. Confirm the existence and effectiveness of existing actions and ensure that any further actions are implemented. Provide assurance that the risks for which they are the risk owner are being effectively managed. Escalating risks
Risk Action Owners	<ul style="list-style-type: none"> Responsible for updating mitigating risk actions every quarter. Responsible for reporting performance issues to Risk Owners in the delivery of actions that could impact on the risk.

Internal Audit	<ul style="list-style-type: none"> • Creation of audit plan that is aligned with the top risks. • Challenging and reviewing the effectiveness of the management of risk framework. • Progress review of planned actions. • Validate and test existing controls.
Civil Contingencies	<ul style="list-style-type: none"> • As part of the Civil Contingencies Act 2004, the role of Gwent Local Resilience Forum to identify, monitor and report risks that could impact on the communities, residents and businesses in across Gwent and more specifically Newport. • To put in place emergency plans, business continuity management arrangements in the event of an emergency and/or disruption to Council services • Ensure arrangements are in place inform, advise and guide public, residents, businesses and voluntary organisations about business continuity management.
Health & Safety team	<ul style="list-style-type: none"> • Ensure the health, safety & wellbeing of employees, volunteers and citizens are protected in accordance with the Council's Health & Safety Policy and supporting procedures. • Ensure Council duties are undertaken in accordance with relevant health & safety legislation, regulation and best practice • Identify, assess, monitor, report and escalate health & safety incidents, accidents across the organisation • To promote, advise and train staff to ensure health & safety legislation, regulation and best practice are applied across all activities undertaken by the Council.
All Employees	<ul style="list-style-type: none"> • All employees are to manage day to day risks and opportunities effectively and report any concerns or identified risks to their line managers. • If reporting to a line manager is not appropriate the council has a Whistle Blowing process that is available to all staff via the Intranet.
Wales Audit Office	<ul style="list-style-type: none"> • To undertake assessments on the performance of Newport City Council in accordance with the Well Being of Future Generations (Wales) Act 2015.

Risk Management Procedures and supporting guidance

To support the Risk Management Policy we have supporting procedure and guidance documents for officers to use. These can be located on the Council's Performance and Risk Intranet Page.

Other Supporting Council Policies

- Information Risk Management Policy
- Corporate Emergency Management Plan
- Business Continuity Management Policy
- Corporate Health, Safety and Wellbeing Policy
- Treasury Management Strategy
- Capital Strategy

Further Information, Advice and Guidance

Those with access to [MI Hub](#) can view RAG ratings for risk scores along with how they affect each theme as well as who is responsible for them.

Further information can be found on the [Council Performance & Risk Intranet Page](#).

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Integrated Planning Performance & Risk Framework

Version 1.0

Introduction

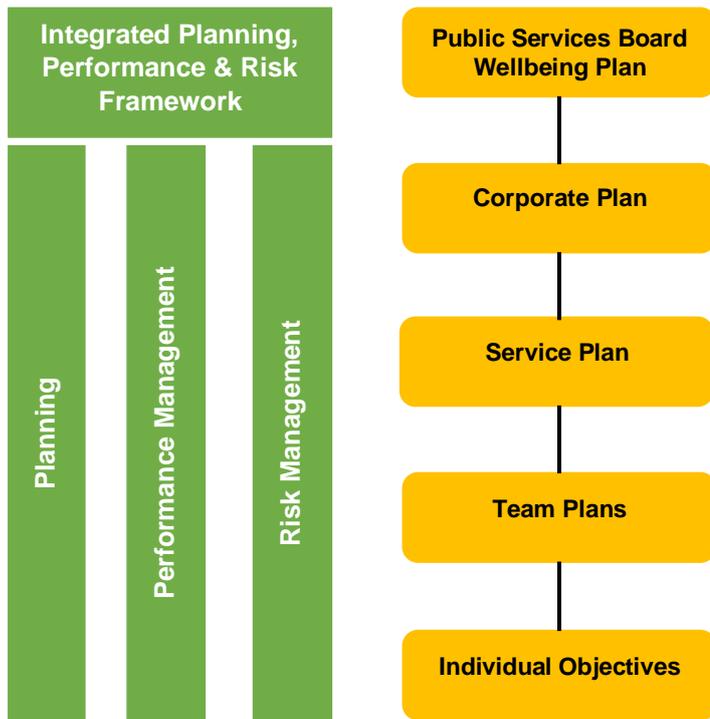
Newport City Council is responsible for delivering over 800 different services both statutory and non-statutory to residents, businesses and other service users. We face complex and wide ranging challenges that are externally driven e.g. Welsh Government and some that are driven more locally through local needs and priorities in the City. To be able to manage these effectively throughout the organisation it is critical for the Council to take an integrated approach in our planning, performance and risk management.

The [Wellbeing of Future Generations \(Wales\) Act 2015](#) requires all public bodies in Wales including Newport City Council to think about the long term impacts of our decisions. The Act is about sustainable development to improve the social, economic, environmental and cultural wellbeing of Wales. To do this Newport Council is required to set and publish Wellbeing Objectives that maximise our contribution to each of the wellbeing goals and taking reasonable steps to meet these objectives. Also, in the decisions that we make we are required to consider the 5 ways of working principles:



Purpose of the Framework

The Integrated Planning, Performance, and Risk Management Framework recognises that in order for us to achieve our objectives, organisation's culture should effectively plan, be able to demonstrate clear outcomes that benefits our stakeholders and also be resilient to the opportunities and risks that we encounter. These 3 pillars of planning, performance and risk are essential and should be interwoven into our decision making at every level of the organisation. The diagram below sets out how the framework supports key strategic and operational levels in Newport Council.



To support this Framework we have developed 2 key policies for the Newport City Council:

1. Planning and Performance Management Policy
2. Risk Management Policy

Both of these policies will be supported by procedure and guidance documentation that will enable all levels of the organisation to effectively manage planning, performance and risk.

Planning and Performance Management Policy

The delivery of the Council’s current Corporate Plan 2017-22 and future plans cannot be delivered in isolation as the diagram above demonstrates. The Wellbeing Objectives in the Corporate Plan support the Public Service Board ‘One Newport’ Wellbeing Plan. The objectives and actions from Service Plans, Team Plans (where applicable) and individual performance support the overall delivery of the Corporate Plan and Wellbeing Plan.

The corporate (strategic) planning process sets out the long term vision (5 to 25 years) for the Council to help identify a range of Wellbeing strategies that will enable sustainable development; support the needs of our communities, businesses and visitors; meet our medium term financial strategy; and deliver our statutory and non-statutory duties. The strategic planning processes should be seen as an iterative process that is able to meet our long term aims but is also able to be refreshed to reflect external and internal challenges. This is why the Council will set 3 to 5 year plans that are reviewed annually.

To support the strategic plan and objectives, the Council also has a transformational programme and projects that enables the Council to deliver its cross cutting work. These are delivered through the Council’s Business Improvement Team who support the service areas in this process.

The 8 service areas are responsible for delivering their service plan. These are aligned with the Corporate Plan and Wellbeing Objectives. Service plans focus on actions and performance measures that support the delivery of the Corporate Plan. These also consider the financial and non-financial resources such as budgets and workforce planning. Team plans may also be used to support the delivery of specific objectives contained in the service plan.

Strategic / Operational Performance Management

To support and monitor the delivery of the Corporate Plan, service plans and their objectives it is important to have financial and non-financial measures that enables the Council to make effective and timely decisions. The

Council's Finance Service is responsible for supporting service areas to manage their budgets with the Council's Human Resources team to support the service areas to manage their workforce capacity and capability.

For non-financial performance the Council's Policy, Partnership and Involvement team support the Council's service areas to monitor progress against their service plans and performance measures. The Council has 3 sets of performance measures: National (Public Accountability Measures / Social Services Performance Measures); Local (Council set performance indicators) and Management Information (Indicators to support monitoring of a service and/or function).

Individual Performance

All individual members of staff are expected to set their own objectives which are aligned with the objectives of the service plans and Corporate Plan as well as their own personal development objectives. The Council's Human Resource policies and procedures manage this process.

Overview of Risk Management and the Risk Management Policy

Opportunity and risk is part of everything that we do in Newport Council. Risk is simply an expression of uncertainty that could affect and impact our ability to achieve our objectives set in the Corporate Plan and service plans. The **Council's Risk Management Policy** sets out our approach to managing opportunities and risks in the Council and has incorporated a risk appetite statement that of the Council's Cabinet and Senior Leadership Team.

Contact and Further Information.

For further information on the following disciplines set out in this document please contact:

Rhys Cornwall – Head of People and Business Change

Rachael Davies – Human Resources Service Manager

Owen James – Assistant Head of Finance

Tracy McKim – Policy Partnership and Involvement Manager

Shaun Powell – Newport Intelligence Hub Manager

Paul Flint – Performance and Research Business Partner