



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

Version 0.5

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.

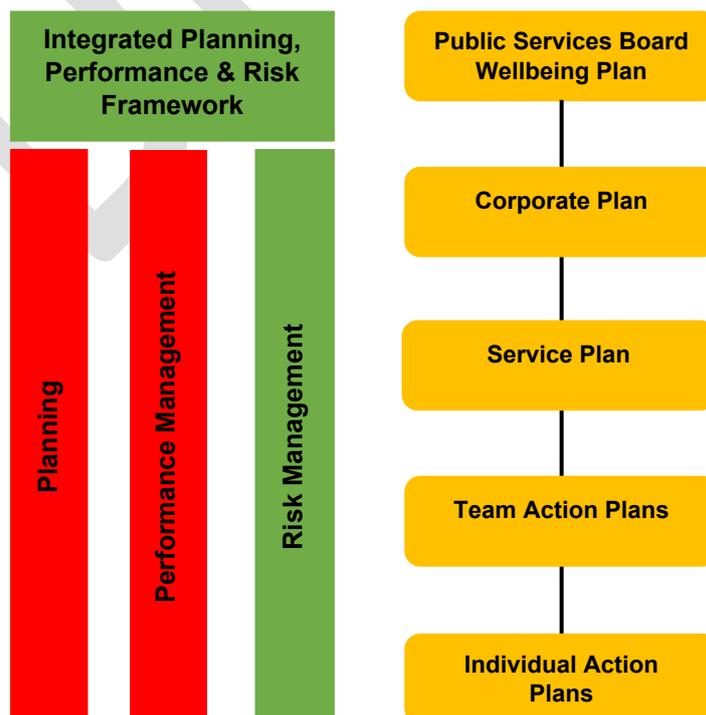
The [Well-being of Future Generations \(Wales\) Act 2015](#) requires all public bodies including Newport City Council to think about the long term impacts of our decisions. The Act is about sustainable development to improve the social, economic, environmental and cultural wellbeing of Wales. The One 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.

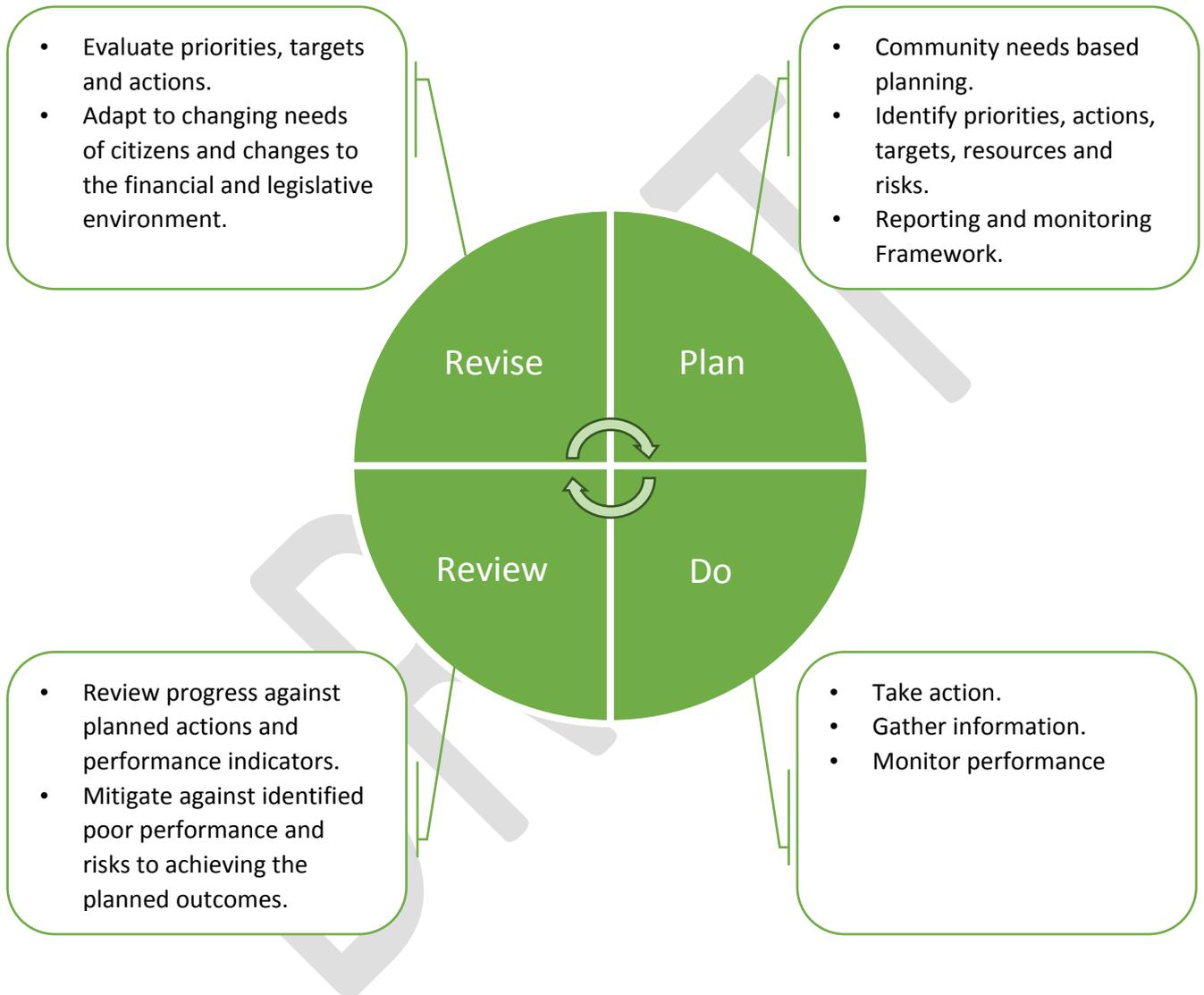
Financial Planning

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 Clear Review 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	<ul style="list-style-type: none"> Not applicable 	<ul style="list-style-type: none"> Holding the executive to account for its performance including finance within the People Directorate (Education, Children's and Adult Services).

Role	Planning Responsibility	Performance Responsibility
Committee – People		<ul style="list-style-type: none"> Monitoring of performance of service plans and their contribution towards the overall Corporate Plan (6 monthly). Challenging areas of poor performance and promoting good performance. Receive external regulatory reports for People Directorate and assurances of delivery against recommendations and proposals for improvement.
Performance Scrutiny Committee – Place & Corporate	<ul style="list-style-type: none"> Not applicable 	<ul style="list-style-type: none"> Holding the executive to account for its performance including finance within the Place & Corporate Directorate (People & Business Change, Finance, Law & Regulation, Regeneration Investment & Housing and City Services). Monitoring of performance of service plans and their contribution towards the overall Corporate Plan (6 monthly). Challenging areas of poor performance and promoting good performance. Receive external regulatory reports for Place & Corporate 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.

Role	Planning Responsibility	Performance Responsibility
		<ul style="list-style-type: none"> • 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. • 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.
Service Management Team / service Managers	<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.
All employees	<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.
Performance & Research Business Partner	<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. 	<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.

Role	Planning Responsibility	Performance Responsibility
	<ul style="list-style-type: none"> • 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"> •
Finance Business Partners	<ul style="list-style-type: none"> • Support Budget holders (Directors / Head of Service / Team Managers) in the planning and setting of budgets. • Support service areas in the financial proposals of programmes and projects. • 	<ul style="list-style-type: none"> • Support and challenge (where necessary) budget holders in the monthly monitoring of their budgets. • Ensure resources (finance / human) are able to support the delivery of the service plans and corporate plans. • To highlight and escalate risk areas that could impact on the delivery of the corporate plan / service plans.
Internal Audit	Not Applicable	<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.
Wales Audit Office / External Regulators	<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. • Provide assurance that the Council is delivering services in accordance with statutory legislation and regulation. 	<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. • 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)

Key Contacts

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