

Performance Management Framework

Our Planning Framework

November 2021

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Our Planning Framework

‘The Wedding Cake’



The Planning Cycle



Making sure we achieve what we set out to do

1. INTRODUCTION

- 1.1 This framework sets out the Council's approach to monitoring and managing the performance of the Council's services. The aim of this Performance Management Framework is to keep the Council on track and focused on delivery of its key priorities, by providing councillors, managers and staff with the information and tools they need to deliver high-quality and high-performing services which help to achieve good outcomes for residents.
- 1.2 It is more important than ever that the Council knows that what we spend and what we do is having an impact on outcomes, and that we know and manage our business sustainably, effectively, collectively and at service level.
- 1.3 This framework is designed for everyone involved in delivering the outcomes we want, sets out our systematic approach to performance management, linking service delivery to our vision and priorities. It identifies responsibility and accountability for each stage of the Council's performance management process, from business planning to service delivery, to performance review, self-assessment, the outcomes achieved and to changes that may be necessary.
- 1.4 This framework responds to the requirements of the **Well-being of Future Generations Act 2015**. The Council must:
- set Well-being Objectives and demonstrate how we apply the sustainable development principle (and the way we do it) and show how our priorities contribute to National Well-being Goals.
 - identify '*Where change needs to happen*' in seven areas of corporate governance – one of which is performance management. (SPSF1 Para47)
- 1.5 The **Local Government and Elections Wales Act 2021** provides for the establishment of a new and reformed legislative framework for local government elections, democracy, governance and performance. It replaces the Local Government Measure 2009. [Part 6 of the Act outlines new duties in respect of Performance and Governance of Principal Councils](#) and includes specific duties for the Council:
- Duty to keep performance under review;
 - Duty to consult on performance;
 - Duty to report on performance – based on self-assessment approach;
 - Duty to arrange a panel performance assessment;
 - Duty to respond to a panel performance assessment report.
- 1.6 Performance Management is also a core part of the Council's Code of Corporate Governance which sets out Carmarthenshire County Council's approach to achieving and maintaining good corporate governance.
- 1.7 It is part of the overall governance process that encompasses Risk Management, Financial Planning and People Management.
- 1.8 Various departments and services also have statutory duties in terms of performance management which need to align with the Council's Corporate Strategy.
- 1.9 However, performance management is not just about compliance it is good practice. It is about delivering on promises.

2. CONTEXT

Our Performance Management Framework can be outlined using the word **SIMPLER**:

S	Strategic Alignment
I	Improvement
M	Measuring, Monitoring and Management
P	Priorities
L	Listening, Learning and Leadership
E	Everyone
R	Reviewing, Reporting, Risks and Regulation

S	<p>Strategic Alignment: Strategic Alignment ensures that the Council's Strategy is supported by all service business plans, strategies and resources. It is about making plans 'stack up' like a wedding cake. There needs to be a clear line of sight or a 'golden thread' that stitches the Council's plans and services together.</p>
I	<p>Improvement: Our ambition should be to always do better, we should strive to achieve excellence, not just satisfying targets or minimum duties but exceeding expectations, ensuring the Council is delivering what people want. Improvement expectations must of course be realistic in terms of delivery, but our ambition must always focus on doing better. The Local Government and Elections (Wales) Act 2021 has strengthening and empowering local government at its core. We have a legal duty to keep performance under review:</p> <ul style="list-style-type: none"> ○ exercising functions effectively ○ using resources economically, efficiently and effectively; and ○ governance is effective for securing the above.
M	<p>Measurement: We need to understand the difference our actions make Monitoring: We need to monitor action plans and targets Management: We need to manage performance</p>
P	<p>Priorities: We need to focus on what matters most. We cannot do everything.</p>
L	<p>Listening: We need to understand what the public want and involve them Learning: We need to share and learn from best practice and aim to be better (even if already best in class) and this should be an implicit part of our approach. Leadership: Leaders need to show performance counts and give recognition</p>
E	<p>Everyone: We need to involve a diversity of the population in the decisions that affect them. We need to ensure staff shape their roles in delivering our plans</p>
R	<p>Reviewing, Reporting, Risks and Regulation: We have a duty to self-assess our performance and report annually Risk: A risk is anything that can impede or enhance the achievement of a strategic objective Regulation: provides an important independent assessment of Council and their stewardship of public funds. They ensure our compliance with our legal duties on performance.</p>

3. UNDERSTANDING PERFORMANCE MANAGEMENT

3.1 What is Performance Management and why it is important?

3.1.1 Performance Management is defined as:

‘making sure we achieve what we set out to do and taking action in response to actual performance to make outcomes for users and the public better than they would otherwise be’.

3.1.2 Performance management is important for every organisation. As part of effective management and working practices, performance management should drive service delivery and improvement in every area of the Council.

3.1.3 Performance management underpins strategy development, governance and controls which direct money and people to deliver their objectives in a cost-effective way (with due regard to risks and opportunities).

3.1.4 Performance management helps the Council understand:

- Where we are now and where we want to go?
- What are we doing to get there?
- When will we get there?
- Who is involved?
- What will it cost?
- Whether we are on track or not?
- Whether we succeeded or not in getting there?
- Whether we succeeded or not?
- What things need to be done differently next time?

3.2 Performance Cycle

3.2.1 The framework is based around the cycle of three activities:



4. PLAN

4.1 Our Vision

Our vision
A structured set of plans to translate the vision into actions and outcomes
A coherent set of success measures to track delivery



4.1.1 Put simply, our Performance Planning is about making sure that our plans 'stack up' or that they are strategically aligned. Managing performance is essentially about planning what an organisation wants to achieve, doing the work, reviewing what has been done and assessing whether it has the desired impact. The aim of alignment is to have clear links between strategic priorities and service priorities (captured in service plans) through to plans at an operational and individual level. This is often referred to as the 'golden thread'.

4.1.2 Our Carmarthenshire Performance Planning 'Wedding Cake'



4.2 National Goals (a closer look)



4.2.1 The Well-being of Future Generations Act confirms a national set of goals for public services to work together towards achieving.

The **ABC** of the Well-being of Future Generations (Wales) Act 2015

A	One Principle	<p>The Act states that we <u>must</u> carry out sustainable development, improving the economic, social, environmental and cultural well-being of Wales.</p> <p>The sustainable development principle:</p> <p><i>‘... the public body must act in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.’</i></p>										
B	5 Ways of Working	<p>To demonstrate the application of the principle we must adopt the following ways of working</p> <table><tr><td>Long Term</td><td>Looking at the <u>long term</u> so that we do not compromise the ability of future Generations to meet their own needs</td></tr><tr><td>Prevention</td><td>Understanding the root causes of the issues to <u>prevent</u> them reoccurring</td></tr><tr><td>Integration</td><td>Taking an <u>integrated</u> approach so that we look at all well-being goals and objectives of other services and partners</td></tr><tr><td>Collaboration</td><td><u>Collaboration</u> - Working with others in a collaborative way to find shared sustainable solutions</td></tr><tr><td>Involvement</td><td><u>Involving</u> a diversity of population in decisions that affect them</td></tr></table> <p>Our regulators must make sure that we are applying these.</p>	Long Term	Looking at the <u>long term</u> so that we do not compromise the ability of future Generations to meet their own needs	Prevention	Understanding the root causes of the issues to <u>prevent</u> them reoccurring	Integration	Taking an <u>integrated</u> approach so that we look at all well-being goals and objectives of other services and partners	Collaboration	<u>Collaboration</u> - Working with others in a collaborative way to find shared sustainable solutions	Involvement	<u>Involving</u> a diversity of population in decisions that affect them
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C	7 National Well-being Goals	<p>There are 7 well-being goals in the Act. Together they provide a shared vision for public bodies to work towards. We <u>must</u> work towards achieving all of them</p> <ul style="list-style-type: none">• A prosperous Wales• A resilient Wales• A healthier Wales• A more equal Wales• A Wales of cohesive communities• A Wales of vibrant culture and thriving Welsh language• A globally responsible Wales <p>Public bodies must set Well- being Objectives to maximise their contribution to these National Goals</p>										

Programme for Government

4.2.2 The Welsh Government's [Programme for Government](#) and the associated [Well-being Statement](#) for this Senedd term was published in June 2021, setting out the ambitious set of commitments which Welsh Ministers intend to deliver this term. *We will use this Programme to inform our planning post Local Government Elections May 2022.*



4.3 The Council's Corporate Strategy (a closer look)

Background to the Corporate Strategy

- 4.3.1 Our Corporate Strategy spells out what we want to achieve as a Council, and how we will organise ourselves to achieve it.
- 4.3.2 We must by law, set and publish Well-being Objectives that maximise our contribution to the national Well-being Goals. The Council's Well-being Objectives are embedded in the Corporate Strategy which guides and steers the actions and decisions of the organisation.
- 4.3.3 Departmental business plans align themselves to delivering the Corporate Strategy and Well-being Objectives.
- 4.3.4 The Council's current [Corporate Strategy](#) and Well-being Objectives were reviewed in June 2021.
- 4.3.5 By May 2022 the Public Services Board (PSB) will publish an updated Carmarthenshire Well-being Assessment to identify where we need to improve well-being the most in Carmarthenshire.
- 4.3.6 After the Local Government election in May 2022, the Council will need to publish a new Corporate Strategy and Well-being Objectives. We will aim to publish this by no later than July 2022.
- 4.3.7 The Corporate Strategy sets out the strategic intent and direction of travel for the local authority over the duration of the administration's five-year term.
- 4.3.8 The Corporate Strategy should take account of and respond to the Public Services Board's well-being assessment and plan as well as the objectives and outcomes set by any regional fora the Council is involved with such as Corporate Joint Committees, City Deal, Regional Partnership Board etc.
- 4.3.9 When setting Well-being Objectives we must ensure:
 - a) Each Well-being Objective has a lead Cabinet Member and a Lead Head of Service, and an existing Corporate Group will monitor progress.
 - b) Divisions collaborate to deliver individual steps within Well-being Objectives, and this is aligned within business plans which identify the actions and targets that will contribute to these objectives.
 - c) That we are taking all reasonable steps to achieve these Well-being Objectives as required by the Well-being of Future Generations Act. Corporately we will monitor Well-being objectives to ensure that they have acted in accordance with the sustainable development principle and applied the five ways of working.
 - d) That each Well-being Objective will be challenged by the Scrutiny Committee under who's remit it falls.

4.4 Departmental Plans and Strategies (a closer look)

Departmental and Divisional Plans

- 4.4.1 These are produced to give staff, customers, elected members and partners a clear plan of the services provided, actions to be taken and performance measures to monitor progress whilst also aligning to Well-being Objectives. They translate strategic objectives to service objectives, to individual staff actions. They enable the Department and Division to be held to account. They review performance for the previous year, outline core business and set actions and performance measures for the year ahead.
- 4.4.2 The review sections of the plans provide information to make a judgement and evaluation on how we are joining up services to deliver our common objectives and inform an Annual Report. This forms part of our self-assessment approach.
- 4.4.3 The forward plan element of the business plans identifies the **SMART** (Specific, Measurable, Agreed, Realistic and Timebound) actions and targets to deliver our Well-being Objectives. The ambition should be to always do better, not just satisfying targets or minimum duties but exceeding expectations, ensuring the Council is achieving the right outcomes and delivering what people want.
- 4.4.4 However, in an era of austerity and budget cuts it is recognised that using resources economically, efficiently and effectively may mean doing the same with less or doing things differently. Improvement may not always be quantifiable gain in service output. There are other aspects to improvement:
- making progress towards the Council's strategic objectives
 - improving the quality of services
 - improving availability of services
 - improving fairness and equity
 - improving sustainable development
 - improving the efficiency of services and functions
 - innovation and change.
- 4.4.5 Business plans must consider the five ways of working to ensure a sustainable approach is embedded across all that the Council does. Therefore, all actions and measures need to consider impact and approach in terms of the long-term, prevention, integration, collaboration and involvement.
- 4.4.6 We have a legal duty to keep performance under review and we do so through our performance monitoring arrangements. We must ensure that we are:
- exercising functions effectively;
 - using resources economically, efficiently and effectively; and
 - governance is effective for securing the above.
- 4.4.7 Each of the Council's five departments produce annual Departmental Business Plans that show how the department supports the Corporate Strategy and Well-being Objectives through its core provision and proposed development for the period in question. The five departments, as noted below, will also prepare divisional plans outlining the detailed actions and measures the services will progress during that period.
- | | |
|-------------------------------------|--------------------------|
| • Chief Executive's Department | • Communities Department |
| • Corporate Services Department | • Environment Department |
| • Education and Children Department | |



Departmental Business Plan Engagement and Assurance

- 4.4.8 To ensure alignment between corporate objectives and departmental service business plans an internal Engagement and Assurance approach will be undertaken. This will be a constructive challenge process in order to add value and build on integration across corporate requirements, departmental and service plans. There will need to be clarity of expectations and buy-in from all in order to ensure this approach helps build a corporate understanding of interdependencies and interaction between the various Council services.
- 4.4.9 An Engagement and Assurance Group will be held with each Departmental Management Team (DMT) in order to consider and discuss departmental business plans.
- 4.4.10 The Engagement and Assurance Group will initially consist of representatives from the Well-being of Future Generations Act seven corporate areas of change with an independent Head of Service joining each session. Going forward, options for independent/external input into this approach will be developed.

Area of Corporate Change	Panel Member	Areas of interest
1. Corporate Planning 2. Performance Management	Head of ICT and Corporate Policy	<ul style="list-style-type: none"> To ensure alignment to Well-being Objectives To ensure the plan addresses any areas for improvement identified in the review section. To ensure regulatory report recommendations are addressed To ensure the Five ways of Working are addressed
3. Financial Planning	Head of Finance	<ul style="list-style-type: none"> To ensure the financial and business planning are aligned To ensure budget efficiency proposals are aligned with business planning/service impacts
4. Workforce Planning	Assistant Chief Executive	<ul style="list-style-type: none"> To ensure consideration of workforce planning is aligned to future business needs To ensure TIC findings are addressed
5. Procurement 6. Risk Management	Head of Revenues and Financial Compliance	<ul style="list-style-type: none"> To ensure alignment with procurement forward work programme To ensure alignment with corporate and service risks To ensure appropriate action against any Internal Audit findings To inform future audit work programme
7. Assets	Head of Regeneration	<ul style="list-style-type: none"> To ensure Asset Management Plans are in Place
8. Corporate Communication	Marketing & Media Manager	<ul style="list-style-type: none"> To ensure customer focus to service provision and development

- 4.4.11 Final departmental business plans will be agreed by the Chief Executive and respective Cabinet Members.
- 4.4.12 Departmental Plans will be submitted to respective Scrutiny Committees annually alongside the draft budget proposals (usually December/January).

Divisional Business Planning

- 4.4.13 Divisional Business Plans are produced by Heads of Service and provide more detail and breakdown on the service. They should outline the core business of the services and how resources will be used as well as improvements and new proposals being planned.
- 4.4.14 Once final departmental and divisional business plans are approved by the respective Director the relevant content will be uploaded to the Council's PIMS system for on-going performance monitoring which will be undertaken through a quarterly Corporate Management Team performance monitoring session.

Departmental Strategies

- 4.4.15 There are a significant number of departmental and service strategies in a range of areas across the Council. These strategies must also align to the Corporate Strategy and Well-being Objectives.
- 4.4.16 Examples of types of key strategies include: Net Zero Carbon Plan, Welsh Language Standards, Strategic Equalities Plan, Biodiversity Plan, Procurement Strategy, Financial Plan, Future Direction of Education Services, Carmarthenshire Homes Standard+ and the Carmarthenshire Economic Recovery and Delivery Plan.



4.5 Individual Plans and Objectives (a closer look)

- 4.5.1 The foundation of our planning framework is what many thousands of staff do every day in their work. Plans do not get things done; people do. It is important that staff know how they fit in with the overall picture and that the things they do and data they may report contribute to the Council's wider performance and progress. All staff have a role to play in ensure the Council fulfils its commitments.
- 4.5.2 Our Appraisal system supports staff to improve, personally and professionally and focuses on strengths. It aims to **recognise** good work and successes, to help people and the service **grow** by exploring how well they have done well, and how we can work **together** to achieve our ideas.
- 4.5.3 The approach is based on strengths, building on what's working, so we can do more of it. The focus is moving **from what is wrong, to what is strong**.
- 4.5.4 Annual Appraisal should inform individual objectives which are aligned to the divisional and departmental plans whilst also addressing personal and professional development.

Delivery of planned actions Communication of what has been done



- 5.1 Departments, services, teams and individuals are responsible for the **delivery** of the activity, actions and targets set out in their plans. Plans do not get things done in themselves. It's what people do every day in their thousands that counts. These are the doers and are the foundation of the whole planning framework. The Council has core functions to deliver as well as priority areas for development and each of the services will focus on making progress against these actions. There also needs to be alignment and adjustment between core functions and priority areas where priority areas for development can be embedded within core functions.
- 5.2 It is essential that **records** are kept and that performance returns are completed. Good data helps inform decision making and service responsiveness and adjustment. Gathering service information and intelligence is key to managing performance measures.
- 5.3 In order to enable service improvement, we need to gather as much information as possible about customer and staff experience of the service. **Stakeholder involvement** and gathering views are important and it is essential that quantitative and qualitative feedback is captured. We want to know what works best and keep doing it.
- 5.4 We need to communicate what is being done and how things are going to customers and stakeholders.
- 5.5 We also need to **communicate** performance information to staff. It is particularly important that staff are updated about how their contributions are impacting on performance for their team, service, department and the Council overall – a collective Carmarthenshire approach. It is important to recognise good performance.
- 5.6 Performance monitoring is also key. Corporately we monitor performance quarterly throughout the financial year (Q1 April-June; Q2 July-September; Q3 October-December; Q4 January-March).
- 5.7 Corporate performance monitoring reports provide information relating to:
- delivery and progress against the Council's Corporate Strategy which includes the targets set for the steps within each Well-being Objective
 - regulatory report recommendations
 - internal audit recommendations.
- 5.8 Progress updates are entered quarterly onto our in house developed Performance and Improvement Monitoring System (PIMS). PIMS is able to tailor reports to required audiences. If progress is off target this can be explained, and remedial action identified.
- 5.9 The Corporate Management Team (CMT) will hold quarterly performance monitoring meetings which will consider progress reported through performance monitoring arrangements and

identify areas for further analysis/development. Performance information will be considered alongside a range of other sources including (but not limited to) risk and financial management, complaints, consultation feedback, TIC review findings, workforce information etc in order to provide a Council overview of performance and progress.

- 5.10 If any areas of unexpected or poor performance are identified as part of this performance monitoring process then matters will be escalated and kept under closer review for a designated period. If there is no improvement in performance during that period further steps will be taken with the possible introduction of an intervention board scenario.
- 5.11 Quarterly performance reports, based on the performance monitoring information and findings from CMT discussions will be submitted to Cabinet and scrutiny committees for further consideration and analysis.

6. REVIEW, REPORTING, RISKS AND REGULATION

Duty to keep performance under review

Under the Local Government and Elections Act 2021 we must keep under review the extent to which we are fulfilling the 'performance requirements' that is, the extent to which:

- we are exercising our functions effectively;
- we are using our resources economically, efficiently and effectively; and
- our governance is effective for securing the above.



6.1 Review: self-assessment

- 6.1.1 We need to keep our performance under review and look at how effectively the Council is operating, not only in terms of meeting individual objectives, but how it is delivering its functions, using its resources and governing itself.
- 6.1.2 We achieve this review through a process of self-evaluation and constructive challenge and assurance.
- 6.1.3 Self-assessment is a way of critically, and honestly, reviewing the current position to make decisions on how to secure improvement for the future. Self-assessment is more than stating what arrangements are in place; it is about considering how effective these arrangements are and how they can be improved. Self-assessment needs to be rooted in day to day working and management arrangements.
- 6.1.4 Considering the extent to which the Council is meeting its performance requirements is a corporate, organisational assessment rather than an assessment of individual services. For example, we consider the role of leadership, and the effectiveness of the relationship between the political leadership and senior officers in the Council, in ensuring the Council is able to respond to the changing environment in which it operates. It is about the Council being self-aware, understanding whether it is delivering the right outcomes, and challenging itself to continuously improve how it manages delivery of services and performs as the custodian of the area.
- 6.1.5 Self-assessment is achieved by using strategic intelligence on how the Council is operating, and identifying what action is needed to ensure it can continue to provide effective services now and for the long term.
- 6.1.6 At its simplest level, self-assessment is about the Council understanding what and how we can do things better. In order to understand this, the Council needs to know:
- How well do we know what we are achieving?
 - How well are we performing in terms of the things we are doing?
 - Are we doing the right things?
 - How well are we working with others to do the right things?

- 6.1.7 The self-assessment process encourages honesty, objectivity and transparency about the Council's performance and governance, including its key relationships between political leaders and officers and how these are managed.
- 6.1.8 Self-assessment uses a variety of sources of information. We have been using this range of information as part of our Business Planning and Annual Reporting for a number of years. The Act specifies a range of sources that should be used to help inform self-assessment including (but not limited to): reports by the Council; inspection and regulatory reports; service specific information; assessment of well-being; reports by external bodies and advisors; scrutiny task and finish report; performance reports; staff surveys; complaints and compliments and so on.

6.2 Review: Panel Assessment

Duty to arrange a panel performance assessment

The Local Government and Elections Act 2021 sets a duty to arrange and respond to panel assessments.

A council must arrange for a panel to undertake an assessment, at least once during the period between two consecutive ordinary elections of councillors to the council, of the extent to which the council is meeting the performance requirements.

The duties in relation to panel performance assessment will come into force from the start of the next local government electoral cycle, in May 2022.

Duty to respond to a panel performance assessment report

A council must prepare a response to each panel performance assessment report, setting out the extent to which it accepts the conclusions in the report, the extent to which it intends to follow any recommendations in the report, and any actions the council intends to take to increase the extent to which it is meeting the performance requirements

- 6.2.1 The findings and recommendations of the panel performance assessment will provide an external perspective. The panel assessment should provide an independent perspective with objective external challenge. It is an opportunity to test thinking with impartial expert peers.
- 6.2.2 A panel performance assessment should demonstrate a culture where councils are open to and embrace challenge.
- 6.2.3 In preparing for a panel assessment the Council will scope the requirements of the panel performance assessment to address any particular challenges that have been highlighted in our self-assessment or in recent audit, inspection or regulator reports. This will help to identify the skills and expertise required from the panel to maximise the impact of the assessment.
- 6.2.4 The Council will also need to identify panel assessors, commissioning the panel to undertake the assessment, and meet any associated costs. It will have a mix of experienced senior officers, councillors and others who work with local government including from the wider public and other sectors. The panel commissioned will include as a minimum:
- An independent panel chair – not currently serving in an official or political capacity within local government
 - A peer from the wider public, private or voluntary sectors
 - A serving local government senior officer, likely to be equivalent to chief executive or director, from outside the council to be assessed
 - A senior elected member, from outside the council to be assessed.
- 6.2.5 The assessment itself will consist of a desk-based review by the panel to inform their initial thinking and decisions on the areas they wish to focus on during the assessment and discussions

between the panel and elected members, officers and other stakeholders about areas within the scope of the assessment.

- 6.2.6 Once the assessment is completed the Council will receive feedback and a report on the main findings and recommendations. The Council will need to consider the report and agree the actions it intends to take following the learning from the assessment.
- 6.2.7 It is for the Council to choose the time during the electoral cycle when panel performance assessment is likely to be of most value to the Council. The only requirement on timing is that arrangements must enable the council to publish a panel performance assessment report at least six months before the date of the next ordinary election. Councils will wish to consider timing in relation to the code of recommended practice on local authority publicity, and not leave it too late in the cycle to enable a panel assessment to be commissioned and concluded.
- Duty to consult on performance
- 6.2.8 In reaching the conclusions of the self-assessment, the Council must also take into account the views of local people, businesses, staff and recognised unions.

Duty to consult on performance

The Local Government and Elections Act 2021 requires that a Council must consult a range of people at least once in each financial year about the extent to which the council is meeting the performance requirements. The statutory consultees are:

- a) local people;
- b) other persons carrying on a business in the council's area;
- c) the staff of the council; and
- d) every trade union which is recognised (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992 (c. 52)) by the council.

- 6.2.9 The Council must consult with local people, businesses, staff of the council and trade unions and in doing so must ensure representation from a range of population age groups, geographical coverage including socio-economic balance, protected characteristics, communities of interest etc.
- 6.2.10 The consultation can be achieved either by being incorporated as part of a wider approach to engagement or as a standalone consultation. The key priority should be to ensure that the Council involves the views of these stakeholders in reaching its conclusions of the extent to which it is meeting the performance requirements.

6.3 Reporting

Duty to report on performance

The Local Government and Elections (Wales) Act 2021 requires that a Council must produce a self-assessment report in respect of each financial year. The report must set out its conclusions on the extent to which it met the performance requirements during that financial year, and any actions it intends to take, or has already taken, to increase the extent to which it is meeting the performance requirements

The performance requirements are the extent to which:

- we are exercising our functions effectively.
- we are using our resources economically, efficiently and effectively.
- our governance is effective for securing the above.

- 6.3.1 The Council Annual Report will be based on the self-assessment approach whilst also setting out progress against our Corporate Strategy and Well-being Objectives. Each Well-being objective is evaluated in turn against a range of evidence and a judgement made on performance based on triangulating this information. In addition, it also includes any areas for improvement.

6.3.2 In short, the Annual Report outlines:

- How well are we doing?
- How do we know?
- What and how can we do better?

Taking action on self-assessment

6.3.3 The Council will be proactive in addressing the findings of its self-assessment and will where required change internal processes and procedures to support more effective planning, delivery and decision-making to drive better outcomes, and innovative ways to better deliver our functions.

6.3.4 Where there are opportunities, we will engage with sector led support as we are an open organisation intent on delivering the best for our communities.

Who is involved in the self-assessment?

6.3.5 The Annual Report is owned and led at a strategic level, whilst involving members and officers at all levels of the organisation and across communities.

6.3.6 Scrutiny committees are a key part of offering constructive challenge to how a Council is performing and how it organises itself in the delivery of sustainable services. Scrutiny committees, Governance and Audit Committee, as well as internal audit, will be a key part of a Council's self-assessment.

Publication

6.3.7 The self-assessment report will be published within four weeks of it being approved by County Council and sent to regulators and Welsh Government.

6.4 Risks

6.4.1 A risk is anything that can impede or enhance the achievement of a strategic priority. When looking at how to achieve an objective over time there are some anticipatable 'snakes or ladders' ahead and risk management is about navigating these, avoiding the pitfalls, seizing the opportunities and managing and mitigating risk.

6.4.2 Risk management has a strong link to performance management – if risks are not managed effectively then it is unlikely that a Council will deliver its ambitions and achieve value for money. The Council has an agreed Risk Management Strategy which sets out the Council's approach to risk management both internally and within the wider environment in which the Council operates.

6.4.3 Business Plans include information about known risks and assist with identifying emerging service risks.

6.4.4 The Corporate Risk Register is overseen by the Risk Management Steering Group (RMSG) and is used to inform service planning. RMSG receives progress reports in person from risk owners as timetabled on a quarterly basis and regularly brief Risk Champions on progress.

6.4.5 By linking business plans and the corporate risk register senior officers and elected members are advised of key risks and mitigating actions being taken by the Council.

6.4.6 The Corporate Management Team, the Governance and Audit Committee and Cabinet oversee the effectiveness of corporate risk management arrangements and receive regular risk status reports. Control measures are approved and challenge provided to ensure the effective development and operation of risk management arrangements across the Council.

6.5 Regulation

- 6.5.1 Regulation provides an important independent assessment of councils and their stewardship of public funds. Our principal regulators are:
- Audit Wales
 - ESTYN
 - Care Inspectorate Wales.
- 6.5.2 Regulatory reports are welcomed by the Council as a 'health check' and an opportunity to identify 'best practice' and any risks.
- 6.5.3 The regulators consult with the public sector on their review programmes and conduct improvement reviews within Wales to identify best practice on the selected areas.
- 6.5.4 All regulatory reports received by the Council are logged by the Corporate Performance Management Team and they are considered by the most appropriate Department/s and respective Cabinet Member/s and a Carmarthenshire action plan response will be presented to Corporate Management Team and Cabinet. The report and Carmarthenshire response will then be submitted to the Council's Governance and Audit Committee to provide assurance of the Council's response. Relevant scrutiny committees will also be engaged as appropriate.
- 6.5.5 The role of the Governance and Audit Committee is to review and assess the risk management, internal control, performance management and corporate governance arrangements of the Council. Therefore, the Committee must consider all reports of external review bodies – principally; Audit Wales, Estyn and the Care Inspectorate Wales (CIW). As well as actively considering reports the committee is expected to assure themselves that there are arrangements in place to monitor and evaluate progress against any recommendations contained in them. The focus here should be on holding executives and officers to account to ensure that reports and recommendations have been acted upon. Some service specific reports may also be relevant for consideration by scrutiny committee as part of their service improvement role.
- 6.5.6 Regulatory reports also inform our self-assessment, review and annual reporting and are part of the basket of evidence that we use to triangulate our performance.

Commissioners

- 6.5.7 There are a number of commissioners and offices in Wales (and nationally with responsibilities in Wales) that provide direction, insight, guidance and regulation on a range of matters. The Council must consider and take account of steps it should take to respond to matters and recommendations outlined by these officers. The range of commissioners include:
- Welsh Language Commissioner;
 - Children's Commissioner for Wales;
 - Older People's Commissioner for Wales;
 - Future Generations Commissioner for Wales;
 - Public Services Ombudsman for Wales;
 - Information Commissioner's Office;
 - Equality and Human Rights Commission (EHRC);
 - Biometrics and Surveillance Camera Commissioner.

7. ROLES & RESPONSIBILITIES IN PERFORMANCE MANAGEMENT

- 7.1 Effective performance management requires clearly defined and structured accountability.
- 7.2 More precise responsibilities are defined in the Council's Constitution, but the following provides an outline of key roles and responsibilities held by elected members and staff in the Council's performance management functions.

Elected Members	<p>Council</p> <ul style="list-style-type: none"> Approve the Corporate Strategy and Annual Report <p>Cabinet Members</p> <ul style="list-style-type: none"> Responsible for performance in their respective portfolios Deputy Leader has portfolio responsibility for performance management Cabinet Member for Rural Affairs and Communities has responsibility for implementing the Well-being of Future Generation Act 	<p>Governance and Audit Committee</p> <ul style="list-style-type: none"> Independent assurance of the Council's governance arrangements and performance 	<p>Scrutiny</p> <ul style="list-style-type: none"> Hold Cabinet members to account Scrutinise performance for respective portfolios/remits To consider matters affecting a service area or remit
Senior Management	<p>Corporate Management Team</p> <ul style="list-style-type: none"> Strategic responsibility for the delivery of the Council's objectives On-going corporate performance monitoring Deliver Departmental Business Plans 	<p>Heads of Service</p> <ul style="list-style-type: none"> Deliver divisional and service objectives Overall responsibility for operational performance 	<p>Senior Managers</p> <ul style="list-style-type: none"> Deliver team plan objectives On-going performance monitoring of respective service areas
Internal staff /Groups	<p>Corporate Performance Management</p> <ul style="list-style-type: none"> Performance management framework Advice and support Production of plans and approaches <p>Risk & Internal Audit</p> <ul style="list-style-type: none"> Assess the effectiveness of internal control mechanisms, including quality assurance and use of performance information 	<p>Performance teams in each department</p> <ul style="list-style-type: none"> Ensuring coordinated approach and compliance Work together and share best practice 	<p>All staff</p> <ul style="list-style-type: none"> Deliver individual objectives Understand how they fit in

Steps from Performance Measurement to Performance Culture

