

# Performance Management Framework 2022

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## Version control

Please note for previous review history please refer to earlier versions of this document.

Version	By	Date	Comments
9.0	Performance and Risk Officer	31/03/2016	Reviewed – no changes required.
10.0	Performance and Risk Officer	01/03/17	Refresh of framework in line with Council Plan 2014-2019 (Updated in February 2017) and in line with changes in Committee structure.
11.0	Performance and Risk Officer	29/03/18	Reviewed – no changes required.
12.0	Performance and Risk Officer	14/03/19	Reviewed in line with Council Plan. Council Plan values and priorities updated to reflect changes.
13.0	Case Management Officer	11/02/21	Reviewed in line with Council Plan and new organizational model. Consultation with Strategy Lead and Strategy Specialist.
14.0	Case Management Officer	29/12/21	Reviewed – reference to performance appraisal 'Your Conversation', Commissioning Strategy and Portfolio Holder reports. Finance schedule updated.

## How we review this document

Case Management Support Services will facilitate an annual review involving:

- Lead Legal, Governance and Democracy Specialist for committee requirements
- Lead Human Resources Specialist for employees
- Lead Finance Specialist for financial reporting timescales
- Lead Strategy and Strategy Specialist to align with the Council Plan and Operational planning.

## Performance introduction

Performance management is about the delivery of the goals of an organisation and its community. It needs much more than just back office systems, processes, plans and indicators. Successful performance management needs leaders, managers and employees to see their purpose to continually improve what they do - and the services they provide to their communities.

Performance management must add value. In order to do this the processes employed must achieve the right balance between effort and results.

Performance management is central to the political process – performance information is reported regularly to Scrutiny and Cabinet Committees.

The Performance Management Framework recognises that improvement comes from people and process, and that the framework will not operate without employee awareness.

It will be about positive endorsement, continuous improvement, innovation and creativity.

In particular, the processes should emphasize the significance of performance management for enabling service improvement, and build links into other improvement processes - and into training and development.

Effective performance management:

1. Is being clear about the purpose of the Council
2. Has a strong emphasis on achieving outcomes
3. Has robust and effective planning systems which ensure the allocation of resources follow service demands
4. Monitors delivery against clear targets and acts upon them
5. Minimises the risk of serious error

Additionally our political and administrative leadership makes performance a priority, and the clear vision motivates, enthuses and empowers employees – an organisation that has a culture that is enabling and empowering.

## Purpose and aim of the framework

The purpose and aim of our Performance Management Framework is to make sure we deliver:

- the right services
- at the right time
- in the right way
- value for money

Our Performance Management Framework sets out how we put this into practice:

- providing an overview of the steps to be taken, followed by a brief explanation of each
- summarising Member and Officer performance management roles and responsibilities
- listing reporting arrangements for various Council and Partnership plans and strategies

Our Performance Management Framework follows the sequence of:

**Plan → Do → Review**

**Plan** means being clear about what we are setting out to achieve and how we are going to achieve it

**Do** means putting our plans into action in the most efficient and effective way

**Review** means monitoring results to ensure that we:

- achieve what was planned and to the agreed standard
- can compare our performance with other service providers and with our own past achievements to show trends
- have relevant and timely information to feed back into the process
- can inform stakeholders accordingly

Performance management is the responsibility of everyone in the Council. A summary of the key roles and responsibilities of Officers and Councillors is set out below:

Who actions	Plan - Vision, Planning, Commitment	Do – Action and Results	Review – Monitoring Review and Response
Councillors	Approve the Council Plan, key strategies and Budget.	Hold the Cabinet to account. Scrutinise the Council's performance.	Undertake specific reviews of any identified performance issues which can be undertaken through the Council's arrangements for scrutiny.
Cabinet	Formulate the Council's priorities. Monitor and respond to performance data Challenge performance of all services.	Ensure strategic delivery of Council Plan .	Monitor performance with Portfolio Holder plans via regular meetings with Operational Leads and Lead Specialists.
Corporate Management	Oversee Performance Management Framework Commitment to Council's priorities through the allocation of responsibilities and resources	Strategic responsibility for delivery of Council's priorities including monitoring performance Take a view on service underperformance and manage the Council Plan	Ensure that Operational Leads and Lead Specialists annual performance appraisals underpin the performance with the Council Plan. Review the Council Plan Performance Report every quarter.

Who actions	Plan - Vision, Planning, Commitment	Do – Action and Results	Review – Monitoring Review and Response
Operational Leads and Lead Specialists	<p>Ensure that operational plans underpin performance with the Council Plan.</p> <p>Produce and sign off operational plans.</p> <p>Contribute to the Council’s corporate priorities and objectives.</p> <p>Manage projects applying project management techniques appropriately.</p>	<p>Ensure that managers’ annual performance appraisals underpin performance with operational requirements.</p> <p>Provide data in accordance with performance reporting requirements.</p> <p>Maintain operational budget and implement efficiencies</p>	<p>Hold 1-2-1’s with managers as required to manage performance with key activity – this may include projects as well as day to day work.</p> <p>Monitor performance at operational level.</p> <p>Respond to operational and organisational workflow and workload issues.</p> <p>Support employees to deliver their objectives and manage employee performance.</p>
Employees	Responsible for personal development and performance	<p>Understand how work contributes to vision, priorities and objectives</p> <p>Raise specific issues regarding performance with Operational Leads and Lead Specialists</p>	Ensure that activity listed within individual performance reviews is implemented on schedule

# Performance reporting process

The Council will make decisions on the priorities, risks, activities, ownership, targets and measures necessary to meet the needs of South Lakeland. This process involves a 'Plan Do Review' approach with six steps. These steps are Vision, Planning, Commitment, Action, Monitoring and Review – and are detailed below.

## 1. Vision

Performance management begins with a clear vision. The Council's corporate vision is contained in the current Council Plan. The vision is underpinned by our agreed values, which influence the way we work. The vision lies at the heart of everything we do.

## 2. Planning

The Council's priorities are set out in the Council Plan and are informed by the Council's approach to service delivery

The Council must focus on how we and our partners can achieve positive outcomes for our communities - to improve their quality of life and the services we provide for them.

When planning, the Council must ensure it understands South Lakeland, our communities and their needs based on a detailed knowledge of key demographic data, customer satisfaction and perceptions.

As a Community Leader, the Council should engage with and share information, where applicable, with partners particularly the Cumbria Local Enterprise Partnership, the Health and Wellbeing Board, Parish and Town Councils and Community Groups.

We must also be aware of available resources, anticipated risks and levels of current performance when setting priorities and developing Plans.

The Council's services are delivered through plans and strategies at all levels, both independently and in partnership with other service providers and provide a link between our high-level Vision and strategic priorities and team and individual performance. The Commissioning Strategy is a key part of this process.

## 3. Commitment

The priorities for South Lakeland are set at the highest level. These priorities are not only supported by the Council's strategic and operational plans but also individual employee appraisals. Managing employees' performance is a continuous process.

It involves making sure that the performance of employees contributes to the goals of their teams and the business as a whole. Performance monitoring which includes risk management activity ensures that the key priorities are met.

Organisational commitment is demonstrated through the allocation of responsibilities and resources.

Members' responsibilities are set out in the Council's Constitution.

Officers' responsibilities are contained in the Constitution, Job Descriptions and annual appraisals.

Ownership of responsibility is further supported by:

- The Personal Qualities Framework links organisational targets and actions with those of individual employees
- Commitment to training and development through the Corporate Training Programme and Training Budget

Financial resources are allocated to the Council's Priorities through the Medium Term Financial Strategy and annual Revenue and Capital Budgets. Resources provided by other bodies are secured through external funding bids.

Commitments towards achieving South Lakeland and Cumbria Strategy priorities are demonstrated through membership of Boards, Task Groups and Officer Working Groups.

## 4. Action

To meet Council Plan priorities plans will implemented at strategic, operational and individual levels. Delivery will be in line with the key policies and strategies as listed in the current Council Plan approved by Full Council.

### Measures of success

Leadership Team will set measures and monitor activity.

Performance management will allow consistency and better access to information regarding ownership, service activity and measures, and to improve monitoring and reporting procedures.

Every stage of the performance management process relies on evidence and data to allow the organisation to make judgments on what South Lakeland and the Council's needs are; what its customers' needs are; what it has achieved and how it compares. It is vital that data is high quality, reliable, and timely. As part of a rolling programme of scorecard review, regular assurance checks will be carried out and reported to Members and Officers.

### Financial Management

Financial Management covers all financial accountabilities in relation to the running of the Council, including the policy framework and budget.

All Members and Officers have a duty to abide by the highest standards of probity in dealing with financial issues.



This is facilitated by ensuring everyone is clear about the standards to which they are working and the controls that are in place to ensure that these standards are met. The Corporate Finance Update report is presented to advise Members of the financial position of the Council each quarter and explanations of variances are provided.

The report is presented to Members. The report summarises the General Fund revenue and capital positions with monitoring updates for large and volatile costs and income, approved savings, Treasury Management, Revenue Collection and Sundry and Long term debtors.

The Corporate Finance Update report includes the following areas:

1. Revenue Budget monitoring
2. Budget Savings monitoring
3. Capital Budget monitoring
4. Treasury Management review

### Personal Qualities Framework

It is important to ensure that all employees are aware of how the Personal Qualities Framework and performance appraisal 'fits' with the Performance Management Framework. In terms of the hierarchy of strategic and business planning the performance appraisal process sits as follows:

1. Council Plan
2. Operational level plans
3. Personal Qualities Framework

The above plans are aspirational i.e. they are the statement of either new objectives or an intention to improve service/performance on existing objectives. Therefore individual performance appraisals will reflect this i.e. the performance objectives will be about implementing new services, improving existing services, reducing cost etc. The Personal Qualities Framework also includes two other factors, Personal Qualities and Development.

Personal Qualities reflects the way in which employees conduct themselves and the manner in which business is undertaken. Adherence to these qualities will support the successful pursuit of objectives. Development acknowledges that for employees at all levels there will be gaps between current performance and target performance which cannot be addressed by additional resources or new technology but by enhancing the skills, knowledge and confidence of the post-holder.

Performance Appraisals are not the only corporately supported performance / communication mechanisms available. For line managers performance appraisals form part of a tripartite employee management portfolio.

- Performance Appraisal 'Your Conversation'
- Team Meetings

- One to One's (1-2-1's)

Managers and employees need to be able to differentiate between the aims and content of the various meetings.

1-2-1's between managers and employees should be conducted on a regular basis and are an opportunity to:

- Manage tasks and prioritise work
- Tackle day to day supervision and resource issues
- Monitor and evaluate incoming and outgoing work

They can also be used to visit the performance objectives and individual development needs and, where appropriate, amend/update the performance review and developmental review sections of the performance appraisal documentation.

Managers should brief their teams once a month as a minimum and should be the opportunity to:

- Communicate corporate information
- Discuss service issues
- Raise awareness of topical issues facing the Council
- Listen to ideas and discuss innovative solutions on issues facing the team, service and Council

The aim of the Personal Qualities Framework is to ensure the performance appraisal process is embedded within organisational culture and practice rather than be a stand-alone, once a year activity.

## 5. Review

Performance data will be collected and areas for concern identified. Areas that are not on track will be commented on by employees with ownership at weekly meetings.

## 6. Monitoring

Feedback and other information generated in delivering services enables us to actively monitor performance and report as necessary to Committees, management and operational teams, individuals, members of the public and external agencies. Portfolio Holder reports also provide Committees with sight of progress – and this includes Overview and Scrutiny Committee. Performance monitoring is undertaken in accordance with the following:

Quarter	Actions
<b>Quarter 1</b> April	Complete a review of and update the policies and strategies integral to the Performance Management Framework. Report the Council's 'Quarter 4' performance data to Overview and Scrutiny Committee and following this to Cabinet.

Quarter	Actions
	Employee appraisal process is started.
May	Publish the Council's 'Quarter 4' performance data which details progress with towards priorities and measures and the management of risks. Statutory deadline for completion of Council's Annual Financial Accounts and Annual Governance Statement.
June	Start of Audit of Council's Annual Financial Accounts and Annual Governance Statement.
<b>Quarter 2</b> July	Council approves performance framework related policies and strategies. Update the Council Plan. The draft budget strategy with the Medium Term Financial Plan is prepared. Report the Council's 'Quarter 1' performance data to Overview and Scrutiny Committee and following this to Cabinet. Publish the Council's Medium Term Financial Plan Target for completion of Council's Annual Financial Accounts and Annual Governance Statement.
August	Consultation on the draft Council Plan. Publish the Council's 'Quarter 1' performance data.
September	Employee mid-year Job Appraisals are completed. Statutory deadline for completion of external audit of Council's Annual Financial Accounts and Annual Governance Statement.
<b>Quarter 3</b> October	Report the Council's 'Quarter 2' performance data to Overview and Scrutiny Committee and following this to Cabinet.
November	Publish the Council's 'Quarter 2' performance data.
December	Approve the Council Plan Budget options are aligned to priorities Consultation on the draft budget.
<b>Quarter 4</b> January	Report the Council's 'Quarter 3' performance data to Overview and Scrutiny Committee and following this to Cabinet.
February	Finalised the Council Budget and Capital Programme. Publish the Council's 'Quarter 3' performance data.
March	Publish the Council's operational plans including the workforce element.

Detailed information regarding costs, performance and benchmarking of services will be reported along with a value for money calculation. This will bring essential business information to decision makers – for more detail see below:

### Costs

- Costs of individual services

### Benefits

- Measures that show performance
- Benchmarking for comparing with other authorities

### Value for Money

- Cost per head of population

Results of service performance are published internally and externally in the Council's Overview and Scrutiny Committee reports.

In addition, the Council provides employees, Members and the public with feedback on the Council's performance in a number of digestible formats. This includes the annual report of our performance over a 12 month period.

## 6. Review and response

Reviewing and taking corrective action are essential steps as they distinguish performance management from performance monitoring. Action taken is recorded to provide an audit trail and evidence of improvement, and could include any or all of the following:

- Reassessing the need for a particular service
- Re-designing standards, measures and targets
- Reviewing systems and processes
- Re-evaluating resource requirements

Customer feedback is used to support the review process, while benchmarking helps to set Council performance into context by comparing processes and measure results, for example when carrying out service reviews or value-for-money exercises.

Implementation of this Framework is overseen by the Corporate Management Team.