TORBAY COUNCIL

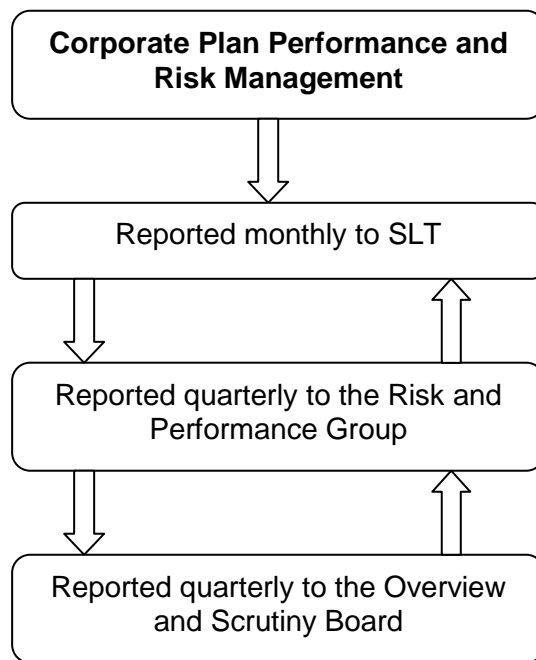| Title:	**Performance and Risk Framework**		
Wards Affected:	**All**		
To:	**Audit Committee**	On:	**23 September 2015**
Contact Officer:	**Anne-Marie Bond**		
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1. Background

1.1 At its meeting on 29 July 2015, the Audit Committee received a report which outlined the Council's Performance and Risk Framework and how this should be aligned to the Corporate Plan.

1.2 The Corporate Plan for 2015 to 2019 has been drafted and will be considered by Council on 24th September 2015.   The draft Corporate Plan sets out two overarching ambitions of a prosperous and healthy Torbay, supported by five targeted action areas which are:

- Protecting all children and giving them the best start in life.

- Working towards a prosperous Torbay.

- Promoting healthy lifestyles across Torbay.

- Ensuring Torbay remains an attractive and safe place to live and visit.

- Protecting and supporting vulnerable adults.

1.3 Subject to approval at Council, the next stage for the Corporate Plan will see the development of longer term Delivery Plans against these five targeted actions. These delivery plans will set out the specific projects and actions the Council will undertake in order to achieve the ambitions of the Corporate Plan.

1.4 In developing the delivery plans outlined above, initial Performance and Risk Dashboards have now been produced for each of the targeted action areas which clearly align to the Corporate Plan. These dashboards do need to be populated with data, mitigating actions progress etc. In additional we would welcome the Committees view as to whether there should also be an additional line inserted to allow for national benchmarking to be included.

1.5 The purpose of this report is to update the Audit Committee on the progress made in relation to how the Council is managing its performance and risk since the last update provided in July 2015.

1.6 It should be noted that the creation of the Performance and Risk Dashboards are

still subject to change as the Councils Corporate Plan has not yet been approved, nor have the targeted actions.

2.   Performance and Risk Management Update

2.1   The Council's Performance and Risk Framework is clear that performance and risk management should be aligned to the Corporate Plan.

2.2   Since the last update to the Audit Committee in July 2015 Performance and Risk Dashboards have now been created, including the creation of a new Dashboard called 'Running an Efficient Council' – this Dashboard will include corporate performance indicators and risks, for example - finance, workforce planning, and reputational issues i.e. dealing with complaints on time, public satisfaction etc.

2.3   These dashboards have been created by the Policy, Performance and Review Team, working closely with Directors, Executive Heads and Service Managers. Copies of these dashboards can be found in appendix one.

2.4   The establishment of the 'Performance and Risk Group' has begun – Executive Heads and Directors have been asked to nominate 2-3 Service Managers / Officers from within their departments who will be responsible for reviewing and challenging the Performance and Risk Dashboards, and encouraging greater ownership of performance and risk generally.

2.5   An initial daft agenda for the first Performance and Risk Group has been formulated and Terms of Reference (TOR) for the group have been drafted (please see appendix two). The first meeting of the Performance and Risk Group is to be scheduled at the beginning of October. These meetings will then take place quarterly.

2.6   The Performance and Risk dashboards will be presented to Senior Leadership Team (SLT) for them to consider on a monthly basis. SLT will then be able to review and challenge the council's performance and risks on a regular basis and identify improvement actions or mitigations required. Feedback from the SLT meetings will then be presented to the Risk and Performance Group at their quarterly meetings.

2.7   Performance indicators and risks may be subject to change dependent on challenge from the Performance and Risk Group, SLT, and the Overview and Scrutiny Board, and also any issues that may arise throughout the year.

2.8   Operational performance and risks will continue to be monitored in business units, and issues of concern will be escalated to SLT and through the Risk and Performance Group for their review and consideration.

2.9   It is planned that once a quarter, a composite report including performance, risk and financial management information will be considered by the Overview and Scrutiny Board which will mean that there is open, democratic review and challenge to how well the Council is meeting its ambitions within the financial envelope.

2.10 Performance indicators and risks will be collated on the Council's performance management database spar.net. A complete review of spar.net is underway and the Performance and Risk Dashboards are in the process of being created within the system, including populating the Dashboards with performance and risk data and targets etc.

2.11 Officers, Service Managers and / or Executive Heads will be required to update / upload information and / or data on a regular basis. For risk, this will be monthly and for performance indicators this will be determined by the data required for the indicator.

2.12 As part of the review of spar.net meetings will be set up with Officers, Service Managers and / or Executive Heads that currently use the system on a regular basis to review the performance information that is currently held in the system to ensure that it is still relevant.

2.13 *Diagram showing reporting of Risk and Performance information:*

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┌─────────────────────────────────────┐
│   Corporate Plan Performance and     │
│        Risk Management               │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│       Reported monthly to SLT        │
└─────────────────────────────────────┘
         │                    ▲
         ▼                    │
┌─────────────────────────────────────┐
│   Reported quarterly to the Risk and │
│         Performance Group            │
└─────────────────────────────────────┘
         │                    ▲
         ▼                    │
┌─────────────────────────────────────┐
│  Reported quarterly to the Overview  │
│        and Scrutiny Board            │
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3.   Recommendations

3.1 That the Audit Committee considers the performance indicators and risks contained within the Dashboards (available in appendix one) and provides feedback to the Policy, Performance and Review Manager.

3.2 That the Audit Committee considers the draft Terms of Reference (available in appendix two) and provides feedback to the Policy, Performance and Review Manager.

Anne-Marie Bond
Assistant Director - Corporate and Business Services

Appendices

Appendix one :

Appendix two :

Performance and Risk Dashboard – Protecting all children and giving them the best start in life

<u>DRAFT Monthly Dashboard</u>

August 2015

Protecting all children and giving them the best start in life

Responsible Director: Richard Williams   Assistant Directors/Executive Head(s): Jacqui Jensen

Key performance indicators:

Measure	Trend	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Current Target	Previous Year
Number of children looked after (quarterly)								
Fostering - In House (quarterly)								
Average time from entering care to moving in with adoptive family								
Reducing the No of children 12+ entering the care System								
Stemming the flow - No of special guardianship orders/residential orders								
In house Parent/Child Placements								
GCSE Attainment (annual)								
CAMHS/emtotional health and wellbeing								

🟢 Better than target   🔺 On target   🔶 Missed target

Risk(s):

	Risk:	Mitigating Actions	Progress	Risk Owner	Score (RAG)
Risk 1	Inreased demand for services (Troubled Families/Early Help Strategy)	Mitigating Actions	Progress to date	Richard Williams	0
Risk 2	Delivery of 5 year plan - Stemming The Flow (Including PIP)	Mitigating Actions	Progress to date	Richard Williams	0
Risk 3	Delivery of TPST and Integrated Care Organisation	Mitigating Actions	Progress to date	Richard Williams	0

Performance and Risk Dashboard – Prosperous Torbay

August 2015

Prosperous Torbay

Responsible Director: Steve Parrock   Assistant Directors/Executive Head(s): Alan Denby

Key performance indicators:

Measure	Trend	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Current Target	Previous Year
gross value added (GVA) (2 year lag)									
key out of work claimants									
Business Centre Business Growth									
Number of inward investment enquiries									
% shops occupied									
Skills gap in the current workforce reported by employers									
Business Rate Income (NNDR)									
JSA claimant rate									

🟢 Better than target   🔺 On target   🔶 Missed target

Risk(s):

		Mitigating Actions	Progress	Risk Owner	Score (RAG)
Risk 1	Adoption and delivery of the Local Plan	Mitigating Actions	Progress to date	Pat Stweard	0
Risk 2	Planning income targets not met	Mitigating Actions	Progress to date	Pat Steward	0
Risk 3	Failure to understand customer requirements (TDA)	Mitigating Actions	Progress to date	Alan Denby	0
Risk 4	Business Growth, Opportunities and Diversification (TDA)	Mitigating Actions	Progress to date	Alan Denby	0
Risk 5	Failure to meet TDA/TEDC current years Income targets	Mitigating Actions	Progress to date	Alan Denby	0

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DRAFT Monthly Dashboard

August 2015

Promoting Healthy Lifestyles

Responsible Director: Caroline Dimond   Assistant Directors/Executive Head(s): TBC

Key performance indicators:

Measure	Trend	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Current Target	Previous Year
Inequalities - Gap in life expectancy									
Smoking - Smoking status at the time of delivery									
Alcohol admissions - Alcohol related admissions to hospital									
Childhood obesity - National Childhood Measurement Programme									
Health Checks - Uptake of health checks offered in primary care									
Drug Misuse - TBC (This will be the NTA indicator)									
Mental Health - Unintentional and deliberate injuries to children									

🟢 Better than target   🔺 On target   🔶 Missed target

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Risk(s):

	Risks	Mitigating Actions	Progress	Risk Owner	Score (RAG)
Risk 1	Pandemic - i.e. Flu/Ebola	Mitigating Actions	Progress to date	Caroline Dimond	0
Risk 2	Reduction in the public health grant from Public Health England to invest in the commissioning of public health services	Mitigating Actions	Progress to date	Caroline Dimond	0
Risk 3	Reduction in partnership funding for public health provisions	Mitigating Actions	Progress to date	Caroline Dimond	0
Risk 4	Reduction in statutory service funding for provisions that affect public health commissioned services or that offers added value for public health, particularly for vulnerable groups.	Mitigating Actions	Progress to date	Caroline Dimond	0

Performance and Risk Dashboard – An attractive and safe place

TORBAY

DRAFT Monthly Dashboard

An attractive and safe place

Responsible Director: Fran Hughes   Assistant Directors/Executive Head(s): TBC

Key performance indicators:

Measure	Trend	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Current Target	Previous Year
Recorded crime									
Violent crime									
Domestic violence incidents									
Decent homes/housing conditions									
How attractive do local people feel Torbay is/how satisfied with local area									
Number of individuals sleeping rough									
Tourism/number of staying visitors									

🟢 Better than target   🔺 On target   🔴 Missed target

Risk(s):

	Risks	Mitigating Actions	Progress	Risk Owner	Score (RAG)
Risk 1	Effective partnerships - i.e. Police, Housing Providers, Cultural	Mitigating Actions	Progress to date	Fran Hughes	0
Risk 2	Increased demand on housing services	Mitigating Actions	Progress to date	Fran Hughes	0
Risk 3	Meeting statutory thresholds	Mitigating Actions	Progress to date	Fran Hughes	0
Risk 4	Cost of highways improvements	Mitigating Actions	Progress to date	Fran Hughes	0
Risk 5	Cliff and Sea defence failures through storm/ lack of maintenance	Mitigating Actions	Progress to date	Fran Hughes	0
Risk 6	Effective balance between early intervention and enforcement action	Mitigating Actions	Progress to date	Fran Hughes	0
Risk 7	Cumulative impact of changes within other services i.e. Childrens, Adults etc	Mitigating Actions	Progress to date	Fran Hughes	0
Risk 8	Reduction in funding to commissioned services	Mitigating Actions	Progress to date	Fran Hughes	0

Performance and Risk Dashboard – Protecting Vulnerable Adults

TORBAY COUNCIL

DRAFT Monthly Dashboard

August 2015

Protecting Vulnerable Adults

Responsible Director: Caroline Taylor   Assistant Directors/Executive Head(s): TBC

Key performance indicators:

Measure	Trend	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Current Target	Previous Year
Permanent admissions to residential/nursing care homes									
Carers recieving needs assessment, review, information, advice, etc									
Number of repeat referrals in the last 12 months									

🟢 Better than target   🔺 On target   🔶 Missed target

DRAFT Monthly Dashboard

Risk(s):

	Risks	Mitigating Actions	Progress	Risk Owner	Score (RAG)
Risk 1	Increased demand for services	Mitigating Actions	Progress to date	Caroline Taylor	0
Risk 2	Implementation of the Care Act - Financial Strain	Mitigating Actions	Progress to date	Caroline Taylor	0
Risk 3	Establishment of the ICO	Mitigating Actions	Progress to date	Caroline Taylor	0
Risk 4	Sufficiency and sustainability of the care home market in Torbay	Mitigating Actions	Progress to date	Caroline Taylor	0

DRAFT Monthly Dashboard

August 2015

Running an Efficient Council

Responsible Director: Steve Parrock   Assistant Directors/Executive Head(s): Anne Marie Bond

Key performance indicators:

Measure	Trend	Sep-15	Oct-15	Nov-15	Dec-15	###	#####		Current Target
Percentage of National Non Domestic Rates Collected									
All stage 1 complaints dealt with on time									
Predicted end of year variance against budget									
Public satisfaction (ViewPoint survey)									

🟢 Better than target   🔺 On target   🔶 Missed target

Risk(s):

		Mitigating Actions	Progress	Risk Owner	Score (RAG)
Risk 1	Delivery against income targets	Mitigating Actions	Progress to date	Anne-Marie Bond	0
Risk 2	Workforce planning - retention of key/relevant skills across the orgsnisation	Mitigating Actions	Progress to date	Anne-Marie Bond	0
Risk 3	Robust and safe decision making	Mitigating Actions	Progress to date	Anne-Marie Bond	0
Risk 4	Infrastructure and support across the Council (back office)	Mitigating Actions	Progress to date	Anne-Marie Bond	0
Risk 5	The Council not achieving a balanced budget	Mitigating Actions	Progress to date	Steve Parrock	0
Risk 6	Budget overspend within armslength organisations , and contracted services	Mitigating Actions	Progress to date	Steve Parrock	0

Appendix 2:

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Risk and Performance Group
Draft Terms of Reference
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The Group:
   a) Membership

   Representatives from each of the service areas detailed below are required to attend each meeting:

   - Joint Commissioning Team
   - Joint Operations Team
        o Community and Customer Services
        o Corporate and Business Services

   Directors and Executive Heads are asked to nominate 2-3 Service Managers/Officers from within their departments to attend the Risk and Performance Group. Not all officers will be required to attend each meeting to ensure that there is new challenge at each meeting, and so that different perspectives can be heard.

   b) Deputies

   Service areas should ensure that if they are unable to attend, someone with the appropriate knowledge and authority is asked to deputise.

   c) Meetings

   Meetings will be held quarterly.
   Draft agenda items should be given to the organiser of the meeting one week before the meeting takes place.

Terms of Reference:
   - To review and challenge the Councils 'Performance and Risk Dashboards'
        o Protecting all children and giving them the best start in life
        o Prosperous Torbay
        o Promoting healthy lifestyles
        o An attractive and safe place
        o Protecting vulnerable adults
        o Running an efficient council
   - To scrutinise and score performance indicators and risks according to likelihood and impact factors.
   - To raise corporate risk issues to be escalated to SLT (Senior Leadership Team), and to Overview and Scrutiny where key and corporate decisions are needed.
   - To regularly review all performance indicators and risks, including projects.
   - To ensure that the councils have a suitable performance and risk management framework to address, mitigate and manage performance and risk at all organisational levels, and within projects.
   - To ensure a suitable process is in place, to escalate risks into the Performance and Risk Dashboards from lower levels, and equally to move risks down from the Performance and Risk Dashboards.

- To report on performance and risk management regularly, for example, in each Council's quarterly performance reports, to SLT, and to Overview and Scrutiny.
- To invite relevant officers or members to attend the Performance and Risk Group when required to consider particular risks and issues.
- To review the Terms of Reference when necessary.