Leeds City Council[1] and Leeds Initiative Performance Management Framework

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The Performance Management Cycle

Effective performance management requires organisations to systematically and practically implement the following steps:

- **Plan** – this is about understanding current performance and identifying what needs to be improved. Priorities can then be determined, resources allocated, targets set and actions planned.
- **Do** – ensuring the proper systems and processes are in place, managing risk, communicating and implementing plans.
- **Review** – measure and monitor progress and report performance at the appropriate levels involving service users and stakeholders.
- **Revise** – using the lessons learned and performance information to make informed decisions about what needs to change.

Source IDeA

Principles of Performance Management

The principles underpinning performance management in Leeds are:

- Performance management processes and information initiate and support an open, positive and challenging debate on whether progress is good enough and which results in action being taken as a consequence.
- Provides an open and honest assessment of performance of the council and city; is easy to understand and uses plain English.
- Focused on outcomes with an emphasis on whole community/population level performance within the partnership context to enable shared commitment and joint ownership of the key issues.

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[1] There are close links between performance management and risk management and, from 2011, the corporate performance team and Council's Risk Management Unit (RMU) will begin reporting jointly each quarter to CLT. The Performance Management Framework should therefore be read in conjunction with the Leeds Risk Management Framework within which the Council's Risk Management Policy & Strategy outline specific risk management roles and responsibilities.

- Flexible and proportionate approach which is action oriented
- Is evidence based and intelligence led and provides analysis and interpretation - not just circulating data.
- Embeds principle of Collect Once Use Numerous Times (COUNT)

In addition the city has adopted the Outcomes Based Accountability (OBA) methodology to help the partnership to develop effective and on-going processes to develop plans which are effective in delivering outcomes for the public. OBA is particularly helpful to partnership working and is a way of achieving accountability which recognises that changing outcomes for a complex and diverse city like Leeds is difficult and cannot be the responsibility of one single organisation. It can only be done through effective partnership working and OBA provides some tools and techniques to help achieve this.

Planning Framework

The city and council planning framework is set out in a related document which can be found on the intranet.

Performance Management Roles

In order to ensure the right information was discussed by the right boards and stakeholders it was important to establish clear roles and responsibilities. The performance reporting arrangements have been designed to support these stakeholders in fulfilling these roles.

Internal to Leeds City Council
Chief Executive
- Holding Directors to account in quarterly 1-2-1's/appraisals for their leadership of the partnership (ie how well are they leading/facilitating the delivery of their partnership priorities in the City Priority Plan), their contribution to Cross Council Priorities and delivery of Directorate priorities (in the Council Business Plan).
- Monitoring performance of Directorates against a broader range of corporate requirements (eg minimising sickness) using the snapshot to ensure that there are "no surprises".
- Maintaining an overview of key performance issues for council and city.

CLT
- Collective accountability for delivery of Cross Council Priorities including agreeing actions to address poor performance.
- Maintaining an overview of key performance issues for council and city.
- Safe forum to raise emerging performance concerns.
- Forum to debate performance issue which require action from a number of Directorates/Services or where a one-council approach is required such as locality working and customer strategy.
- No need for duplication of discussions taking place between individual Directors and the Chief Executive.

Directors
- Accountable for leading/facilitating the delivery of their partnership priorities in the City Priority Plan, their contribution to Cross Council Priorities and other one-council approaches (eg Customer strategy or locality working) and delivery of Directorate priorities.
- Holding their Chief Officers to account in quarterly 1-2-1's/appraisals for delivery of their contribution to council and city priorities.
- Delivery of a broader range of other corporate requirements (eg minimising sickness)

Executive Board
- Maintaining an overview of key performance issues for council and city
- Accountable to the public for the performance of the council and a route for formally reporting performance to the public
- Makes decisions/revises policy in response to poor performance

Leader of Council
- Holding Chief Executive to account in quarterly 1-2-1's/appraisals for his leadership of the council and partnership and for the delivery of the Council Business Plan.
- Leadership of partnership through chairing LI Board – facilitating/leading delivery of the City Priority Plan.

Executive Members
- Maintaining an overview of key performance issues for council and city.
- Holding Directors to account for delivery of their contribution to Cross Council Priorities and the Directorate Priorities in the Council Business Plan.
- Leadership of Strategic Partnership – facilitating/leading delivery of the relevant priorities in the City Priority Plan.

Scrutiny Boards
- Providing constructive performance challenge to Executive Member(s) and Directors for the delivery of the Council Business Plan and City Priority Plan within their portfolio areas.
- Making recommendations for improvement including conducting more detailed investigations through Scrutiny Inquiries.

Performance Board
- Responsible for development and implementation of the performance management framework to support the delivery of the City Priority Plan and Council Business Plan. With a particular focus on ensuring partnership and corporate systems and process that link efficiently and effectively with directorate/service systems and processes.
- To review performance information regularly to get a collective view of performance issues and decide what needs to be escalated to decision makers.
- Embedding a performance culture change across the council and partnership working with boards and management teams to ensure performance is discussed and action is taken.
- Ensuring effective linkages are made with related agendas like equality and research and intelligence.

Corporate Governance and Audit Committee
- Reviews adequacy of the Council's Corporate Governance Arrangements including the performance management framework used to monitor the delivery of priorities. This includes receiving an assurance statement annually which forms part of the Annual Governance Statement.

Leeds Initiative Partnership
Leeds Initiative Board
- Ensuring commitment from all key partners
- Maintaining an overview of progress in the delivery of City Priority Plan and maintaining an understanding of the key performance issues for the city.
- Providing constructive challenge for progress in relation to the overall Vision themes which cut across the 5 strategic partnership eg Poverty/Inequality, Use of Resources, Locality working/community engagement
- Forum for raising and resolving performance issues that cannot be addressed within individual Strategic Partnership Boards or for escalating issues that are stuck.
- Commissioning improvement work from across the partnership
- Shaping and influencing the strategic direction of the city, reshaping the priorities as circumstances change and commissioning updates of the Vision.

Five Strategic Partnership Boards
- Leading the delivery of the City Priority Plan – monitoring performance regularly and identifying changes and improvements (using OBA Turning the Curve methodology)
- Driving the delivery of the action plan for each city priority and ensuring these are kept up to date based on performance discussions in the Board

- Providing constructive challenge across the partnership to ensure the delivery of the city priority plans based on shared commitment to delivery improved outcomes for the city

NB it is likely that a range of sub-partnerships will be developed which will have specific performance roles devolved to them from the Strategic Board. However, the overall responsibility rests with the Strategic Partnership Board.

External
Public
- Holding the council and other public services to account for performance including our progress to deliver 'Best City, Best Council'.

NB This is an area where further work is required not only to communicate performance effectively to the public but also in providing opportunities for the public to challenge the council and partners on the priorities and budget allocation. This will need to ensure all key groups eg Children and Young people, older people etc are able to participate by tailoring the methods used to the issues, the places, the times and the media that are important to those groups. This also needs to link this to Ward Members role and to the developing locality working approaches. The Local Government Group are developing tools to support this. The annual State of the City report and the Leeds local information system also provide public access to a broad range of performance data and information and are likely to form part of the solution.

Other Key Stakeholders
Area Committees + other locality bodies like clusters – further work is required to ensure that performance discussions can also be supported in localities.
Adult Safeguarding Board and Leeds Safeguarding Children Board – these boards have distinct statutory roles but also review and discuss performance.

Target Setting

In line with the OBA methodology which has been adopted by the city targets are not set at a population accountability level (outcomes and indicators) ie there are no targets within the City Priority Plan. However, within the related action plans performance measures have been identified and targets have been set for these. Similarly targets have been set for Cross Council Priorities and Directorate priorities within the Council Business Plan.

Performance Reporting Mechanisms/Elements
- Performance Reports are a high level overview of progress which includes qualitative and quantitative information and are both forward and backward looking. They are used to assess our progress in turning the curves for the city priorities and the cross council priorities and are limited to one page (2 sides) only. These are produced quarterly unless data or other requirements means a different frequency has been agreed. Drafted by a lead delivery person working with a performance lead and signed off by the Strategic Partnership Board who assign the overall RAG rating. They are written in Plain English.
- High Level Action Plans – these capture the main partnership agreed actions/activities for the delivery of the city priorities. They are produced to a consistent format and include robust performance measures with targets to enable the partnership to assess the effectiveness of the contribution of each workstream to the delivery of the outcomes. They are also a vehicle for ensuring partners commitment and for holding partners to account for their contribution to the delivery of the overall outcome. These are live documents that are reviewed and amended regularly.
- Directorate Scorecards these a quarterly progress summary against the Council Business Plan for each directorate. It includes information on the directorate priorities and performance measures as well as the directorates contribution to the Cross Council Priorities. They are a flexible tool that also includes the opportunity to raise any other performance issues to ensure that we do not have any performance surprises eg in areas of work not covered by the Directorate Priorities.

- Corporate Performance Snapshot – this brings together the full range of quarterly performance data to support the 1-2-1's/appraisal process. It is produced electronically and includes the latest performance information for the City Priority Plan and Council Business Plan alongside a broad range of corporate health data eg risk management, internal audit, compliance with governance processes etc.
- Annual State of the City Report which brings together a much broader range of information and is used in assessing our success in relation of the cross cutting Vision themes (eg Poverty/Inequality) which cannot be the responsibility of any one strategic partnership. The first report is available on the intranet. Further work is required on how we link this effectively to needs assessments including JSNA as these will feed into action plans, commissioning plans and for challenging the priorities as part of the review process.

Performance Reporting Process

The process of performance reporting is set out in the summary diagram and there is also a timetable which sets out key deadlines for the reporting process.

Key challenges/Further Work

Our performance reporting processes need to remain flexible and adaptable in order to continue to meet the needs of the council and the partnership. Within the document a number of areas have been identified for further consideration and development including:

- Development of locality based performance information that response to local need but is efficient and has some consistency. In some areas work is already well developed eg Children's Partnership and demands for information are increasing. There are potentially significant resource implications to this which will need to be resolved.
- Cross cutting issues – work is underway to ensure that these are picked up effectively through the existing actions plans and reporting processes. The LI Board have a clear role to monitor progress across the 5 strategic partnership boards in these areas. However, further work is required to ensure that a clear lead Board is agreed and no important issues are lost.
- Embedding a performance culture that is less about the process and feeding the beast and more about action and improvement. This framework goes some way to achieving this but there are very importance cultural and behavioural aspects to performance and the city's leaders are aware of these and championing these changes.
- Ensuring that we have effective arrangement for reporting performance to the public and to enable them to challenge our priorities and spending decisions.
- Arrangements for the provision of performance information and data from health needs to be monitored as there is considerable re-structuring in this area including the dismantling of the Leeds PCT, implementation of Clinical Commissioning Groups as well as the transfer of the public health duty to LCC.
- Benchmarking in the post NI era – LGG is currently developing tools to do this and we are working with core cities and other key comparators to try to ensure benchmarking continues and it provide importance context against which to judge our ambitions and progress
- We need to continue to ensuring high quality of data and development of a clear data improvement agenda as required by OBA.
- Further work to link effectively to appraisals and personal performance management arrangements.
- These arrangements provide only the minimum information and will need to be supplemented by additional more detail reporting as required. A list of additional reports is being developed for Scrutiny but this needs to be agreed and finalised.