

Performance Reporting Guide

Introduction

The purpose of this guide is to provide an overview of the Council's Performance Management arrangements, and the key role that **Updaters** play in ensuring that performance reporting is accurate, timely and reliable.

Each Head of Service has a Service Plan that aligns to the Well-being Outcomes and Objectives that the Council is striving to achieve as outlined within the Corporate Plan 2016-2020). The Service Plans outline the **Actions** and **Measures** that will be undertaken during the year that will contribute towards achieving our Corporate Plan priorities.

Solely collecting this performance information achieves very little; to be effective the Council must use this information to assist improvement by ensuring it informs the decision making process. The quality and reliability of the information provided through the performance reporting process is essential therefore, to ensure we deliver continuous improvement.

How does performance reporting work?

The Council reports performance on a quarterly basis, with quarter 4 (End of Year) acting as an overview of the whole year's performance. The reporting year runs from the first day of April in the current year to the last day of March in the following year e.g. 1st April 2016 to the 31st March 2017.

Each Directorate has a Performance Indicator (PI) Co-ordinator who is responsible for co-ordinating the Directorate's performance data reporting. Co-ordinators liaise with both Owners and Updaters and the Improvement and Development Team to ensure that returned performance data is accurate and of high quality. The current PI Co-ordinators for each directorate are:

- Environment and Housing: **Jo Lewis**
- Learning and Skills: **Lisa Lewis**
- Social Services: **Jason Horton**
- Managing Director and Resources:
 - Legal Services: **John Tresidder**
 - Democratic Services: **Jeff Rees**
 - Financial Services, Strategic ICT: **Angela Evans**
 - Regeneration and Planning: **Fiona Lambert**
 - Performance and Development: **Jo Beynon**

Updater Spreadsheets

In order to ensure a consistent approach to reporting performance information, all performance information is collated centrally through by the Improvement & Development Team through specially created Directorate level **Updater spreadsheets**:

- Environment and Housing
- Learning and Skills
- Social Services
- Managing Director and Resources

Built in Excel, the Updater sheets are split into separate Tabs for **Actions**, **Calculated measures** and **Uncalculated measures**. See below a sample screenshot of the Updater sheet 'Action' tab:

Ref	Action Title	Owner	Updater	Start Date	End Date	Q1%	Q1 Status	RAG Status	Q1 Comment	Q2%	Q2 Status	RAG Status	Q2 Comment
SL/A001	Undertake a full review of the schools funding formula	Paula Ham	Anne Brown	April 2016	November 2016			●				●	
SL/A002	Review formula for allocation of post-16 grant funding.	Paula Ham	Anne Brown	April 2016	November 2016			●				●	
SL/A003	Promote digital access and literacy with particular reference to deprived areas and hard to reach groups	Paula Ham	Andrew Borsden	April 2016	31st March 2017			●				●	
SL/A004	Work with Cardiff and the Vale Adult Community Learning Partnership to align the curriculum offer with learner needs	Paula Ham	Andrew Borsden	April 2016	31st March 2017			●				●	
SL/A005	Develop robust	Paula Ham	Andrew	April 2016	31st March								

The references for Actions relate to each Service Plan area. For example, in **SL/A001** above, 'SL' refers to Service Plan area which is Strategy, Community and Learning Resources. 'A' refers to the fact that this is an action and '001' is the unique /individual number for the action. Assigned to each Action is an **Owner** and **Updater**.

The **Owner** designates who 'owns' the Action, and is responsible for the work that is undertaken to achieve the action. The action owner will normally be a Head of Service or manager and will sign off comments before they are reported.

The **Updater** designates the officer responsible for providing the performance update against the action.

Against each action a timescale is also set. This provides a start and end-date that provides a timeline for reporting progress against the action and the completion of the action.

For actions, progress is measured in a **percentage**; e.g. 25%, a **status**; measured as either, 'Completed' 'On track' or 'slipped', and a **comment on progress** is required each quarter.

Commentary provided by Updaters must outline what has been achieved as a result of the activities undertaken to date. If an action has been completed then the commentary must outline the achievements/ benefits realised from completing the action. Slipped actions must also provide clear reasons as to why this has happened and what remedial action will be taken to bring the action back on track.

Updaters should refer to their respective Service Plans which outline for each action, the expected outcomes and key milestones for completion. The commentary provided should always reflect these regardless of whether the action has been completed or not. An example of a completed updater sheet is provided below:

Ref	Action Title	Owner	Updater	Start Date	End Date	Q1%	Q1 Status	Q1 Progress	Q2%	Q2 Status	Q2 Progress	Q3%	Q3 Status	Q3 Progress
LS/ A191a	Work at Local Authority level to further develop key aspects of leadership such as working with Governors, tackling underperformance and effective use of grants. (Estyn R2)	Mike Glavin	Meryl Plumber	01/04/2015	31/03/2016	25.00	On Track	Governors made presentations at Head Teacher (HT) meetings including the Bronze Award and on communication with Governors. HTs have been provided with guidance and exemplar material to assist with the production of high quality HT reports to Governors.	50	On Track	The monitoring of effectiveness of the PDG has been included as part of the governors' finance training. A self evaluation tool has been shared with headteachers to facilitate an evaluation of how PDG grant has been used in each school. Five Newly appointed headteachers are enrolled on the CSC leadership programme with another 6 listed for	75%	On Track	

For **Measures**, the referencing used mirrors that of actions; a measure for Strategy, Community and Learning resources would be listed as **SI/M001**. In this case 'M' relates to a measure. Measures are either **calculated** or **uncalculated**. Calculated measures are those that either measure a percentage or an average.

Calculated measures are worked out by using a **Numerator** and **Denominator**. **The Numerator is a sub-group of the target population that meet the criteria as defined in the indicator definition.** For example:

N: The total number of 16-18 year olds not in education, employment or training in the Vale of Glamorgan

The Denominator is the target population and includes all service users or events that qualify for inclusion in the indicator definition. For example:

D: The total number of 16-18 year olds in the Vale of Glamorgan

Calculating the measure: The percentage of 16-18 year olds who are NEET (not in education, employment or training) is worked out by dividing the Numerator by the Denominator and then multiplying that figure by 100, as set out in the definition.

87

X100

3272

The percentage of 16-18 year olds who are NEET = 2.66

When entering data for calculated measures into the Updater sheet, only the Numerator and Denominator should be entered as the Updater sheet already contains the formula and agreed target and will perform the calculation required.

The relevant quarter on the Updater sheet linked to the measure will turn Red, Amber or Green based on the reported performance. This is known as the 'RAG' performance status. This will appear on Updater sheets as below:

Ref	PI Title	Owner	Updater	Q/A?	Q1 Actual	Q1 Comment	Q2	Q2 Comment	Q3	Q3 Comment	Q4	Q4 Comment	Targets
173	LSM051N The total number of 16-18 year olds not in education, employment or training.	Andy Borsden	Nisha Shukla	Quarterly	87		70	See comment in LSM051	90		66		
173	LSM051D The total number of 16-18 year olds.	Andy Borsden	Nisha Shukla	Quarterly	3272		3156	Total number taken from VGS TIER model, for September.	3166		3421		
174	LSM051 Percentage of 16-18 year olds who are NEET. (DA1)	Andy Borsden	Nisha Shukla	Quarterly	2.658924205	The percentage of 16-18 year olds who are NEET continues to reduce.	2.217397	A slight decline from Q1, as young people are placed into education or training with the help of support workers post summer holidays.	2.842704	The number of NEET young people increases during the third quarter of the year as a result of young people dropping out of courses. The early identification system will be extended to school 6th forms in February to identify those who are at risk of becoming NEET. It is expected that the number of year 12 and 13 (16 to 18 year old) pupils	1.329261		
175	LSM052N The total number of year 11 pupils that continue in full time education.	Mike Glavin	Richard Evans	Annual							na		2.78%

Uncalculated measures are worked out differently. For these measures there are no numerators or denominators, an uncalculated measure is quantitative in that they often measure the 'number' of something. For example, the number of books issued to customers in Welsh. For these measures performance will be cumulative. This means that for quarter 2 the figure will be the quarter 1 figure + the quarter 2 figure, quarter 3 will be Q1 + Q2, + Q3, and quarter 4 (End of Year) will be Q1 + Q2, + Q3, + Q4. See sample screen shot below for uncalculated measure.

Ref	PI Title	Owner	Updater	Q/A?	Q1	Q2	Q3	Q4	Comments
LSM012b	The number of books issued to customers in Welsh.	Andy Borsden	Chris Edwards	Quarterly	2481	5981	8351	10993	We have narrowly missed the target and will be undertaking work to promote Welsh language books during
LSM021d	The number of schools requiring Estyn/local authority follow-up activity as a result of inspection during the financial year.	Mike Glavin	Ceri Johns	Annual				2	2 schools inspected during the financial year were placed in monitoring. Albert Primary (local authority &
LSM029	Number of hits on the library website.	Andy Borsden	Chris Edwards	Quarterly	31769	65108	95873	128739	This target has been met for
LSM030	Number of enrolments on accredited courses for priority	Andy Borsden	Phil Southard	Annual				736	
LSM039	Number of successful completions on accredited adult literacy and numeracy courses.	Andy Borsden	Phil Southard	Annual				119	duplicate of M010b
LSM041	Number of young people actively engaged with transition support	Andy Borsden	Tina Simmons	Quarterly	251	260	319	499	This target has been Engagemen t with the Intermittent IT access Target exceeded as

For all measures a **RAG (Red, Amber or Green)** performance status will be given for performance. This designates whether performance has met target, **Green** (target has been met or exceeded), **Amber** (performance is within 10% of target), **Red** (target has been missed by more than 10%).

For those measures where the performance status is shown as either Amber (within 10% of target) or Red (has missed target by more than 10%) a comment is required to explain performance including any planned remedial action. For those measures that have met target a comment is encouraged as this is good practice as it tells the story behind the data reported.

When reporting quarter 4 or End of Year performance, commentary is required for all measures including those with a green performance status, where the target has been met or exceeded. The commentary should give the reason for the improvement.

A number of measures reported are **Public Accountability Measures (PAMs)** and these measures are reported to Welsh Government and the Local Government Data Unit annually. It is essential therefore that the information provided for these measures is accurate and robust. In addition to PAMs, a number

of measures have been taken from the Council's Improvement Plan, this is a statutory plan, published annually, that illustrates to residents what the Council intends to do over the coming year and what they can expect to see if we achieve our Improvement Objectives (IOs).

All Measures including IOs and PAMs are detailed in the **Performance Indicator Definition Library** which is available both on the Council's Performance Management web-pages and the Key Documents page on staffnet. [Performance Indicator Definition Library](#)

The Reporting Process

The Council reports its performance on a quarterly basis; with quarter 4 providing an overview of performance over the year. During each quarterly reporting period, Directorates will provide an update of progress against both actions and measures.

Quarterly Reporting

Each quarter Updater sheets are sent out to PI Co-ordinators who will collate respective Directorate performance responses. Following a three week period where all relevant actions and measures are updated, the performance information is signed off by relevant Heads of Service and then returned to the Improvement and Development Team via Updater sheet submission from PI Co-ordinators.

On receipt of Updater sheets, the Improvement & Development Team prepare the quarterly performance reports for firstly Directorate Management Teams, Corporate Management Team, and the relevant Scrutiny Committees and finally Cabinet. The Corporate Management Team and Cabinet reports provide overall Council performance for the quarter.

Following the publication of the new Corporate Plan 2016-2020, quarterly performance reports will now be reported by Well-being Outcome and Objective area to the following Scrutiny Committees:

- Corporate Performance and Resources
- Environment and Regeneration
- Healthy Living and Social Care
- Homes and Safe Communities
- Learning and Culture

Quarters 1, 2 and 3 follow the same process. However, at quarter 3, alongside providing the performance update, PI Co-ordinators must provide performance targets for all performance indicators for the coming year. Updaters must work with PI Owners to set targets in line with the Council's [Target Setting Guidance](#) which details why we set targets and how and when to do so. It also includes relevant templates.

Annual (End of Year) Reporting

On the whole, the reporting process for quarter 4, or End of Year, mirrors that of quarterly performance, there are however some additions to the process which are highlighted below.

Performance against all actions must be reported at End of Year. **The commentary provided by Updaters must outline what has been achieved /benefits realised as a result of the activities undertaken to date. Updaters should refer to their respective Service Plans which outline for each action, the expected outcomes and key milestones for completion. The commentary provided should always reflect these regardless of whether the action has been completed or not.**

Where an action has slipped, that is, not been completed during the planned timescale, clear reasons need to be provided as to why this has happened and what remedial action will be taken. **In such instances, the Updater must liaise with the Owner to determine whether the action should be carried forward into the next year, deleted if no longer relevant, or subsumed into another action. This information needs to be reflected in the commentary in order to provide a clear audit trail for all actions.**

All performance measures submitted at End of Year must be supported by evidence papers. Evidence papers need to show the source of the data, where the evidence has come from. This can be in the form of tables, screen shots or reports. It is essential that the evidence submitted relates to the correct period e.g. (1st April 2018 - 31st March 2019). On evidence sheets it is also essential that both numerators and denominators and overall performance are easily identifiable. It is essential that the evidence submitted is robust and accurate as this information will be audited.

Performance against all measures must be reported at End of Year. For all measures where the target has been missed (**red status**) commentary must be provided explaining the underperformance and any remedial action. The same applies to performance with an **amber status** (performance within 10% of target). Performance exceeding target (**green status**) should also provide commentary on the reason for the improvement.

For National Strategic Indicators and Public Accountability Measures the Welsh Government and Data Unit require us to provide commentary where performance has changed by more than 20% (either an improvement or deterioration) when compared to the previous year. **Where relevant, Updaters need to ensure that this is reflected in the commentary provided.**

The statutory national dataset (comprising PAMs) must be reported within set timescales, usually during mid to end of May each year and the reporting timetable reflects this requirement.

Evidence Submission

Evidence submission at End of Year follows a number of steps:

- Updaters must complete an **End of Year Evidence Cover Sheet** for each Performance Indicator (see completed example below).

End of Year Evidence Cover Sheet 2018/19			
PI Ref.	EDU/016a		
PI Description	Percentage of pupil attendance in primary schools		
PI Owner	Mike Glavin	Updater	Richard Evans
Calculated	X	Uncalculated	
Calculation			
Numerator	165369: The total number of sessions missed by all pupils in primary schools		
Denominator	3541646: The total number of sessions possible for all pupils		
Calculation	$1 - (165369 / 3541646) \times 100$		
Total	95.33%		
Checked by (PI Coordinator/ PI Owner)	Lisa Lewis/ Mike Glavin		

- Updaters must follow the naming convention for evidence files submitted to PI Co-ordinators for verification. **This requires the completed End of Year Cover Sheet and relevant evidence to be merged into one document with the file named after the relevant performance measure reference. e.g. 'CS/M022'**
- Updaters must liaise with Owners to agree performance information prior to submitting to Co-ordinators.
- PI Co-ordinators must verify reported performance data and supporting evidence supplied by Updaters to ensure that reported performance reconcile with the supporting documentation submitted.
- On receipt of the evidence papers the Improvement & Development Team will quality check the evidence and update our **End of Year Evidence Checklist** (see below). If any further evidence or amendments are required a member of the Improvement & Development Team will contact the relevant PI Co-ordinator to advise and they will in turn liaise with the relevant Updater to ensure correct evidence is submitted.
- On completion of the audit, the national dataset is submitted to Welsh Government and the Local Government Data Unit. End of Year reports are subsequently produced and reported in line with the Council's performance monitoring arrangements.

PI Ref	PI Description	Directorate	QC passed (tick/cross)	Issue (Reason for fail)	Follow up

End of Year Checklist

When completing End of Year returns (all measures):

- Refer to the Performance Indicator Definition Library when completing the End of Year Evidence Cover Sheet. **The method of calculation in the PI Definition Library must be followed for all indicators.** Each definition will outline any formulas/calculation methods along with sources of data and whether the PI is a cumulative or annual measure.
- Ensure that the figure that is reported is clearly outlined on the evidence sheet(s) and matches with the figure entered onto the Updater spreadsheet.
- The evidence papers/supporting documentation supplied must relate to the performance indicator. **Follow the naming convention for submitting evidence files.** Evidence papers can be in a range of formats e.g. reports, spreadsheets and screen shots from systems.
- Evidence papers/supporting documentation must reconcile with the figures used in the PI calculation and the final figure that is reported. This supporting evidence is what is used by the auditors to verify the performance data.
- Evidence papers must show the source of numerators and denominators i.e. where and how the figures have been derived in order to calculate the PI.
- The calculation (the formula) used to work out the reported figure must be clearly shown on the evidence papers.
- The reporting period is clear on the evidence (April 2018 - March 2019) and the data supplied is consistent with this time period.

Should you have any further questions about the performance reporting process, please do not hesitate to contact a member of the Improvement & Development Team:

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