



Strategic Planning and Performance Framework

August 2019

Orkney Islands Council's Strategic Planning and Performance Framework

The purpose of this document is to clearly specify the roles, responsibilities, systems and processes that enable the Council to meet its responsibilities in respect of The Community Plan, incorporating Orkney's Local Outcomes Improvement Plan, and for facilitating community planning. Equally, the document sets out how the Council's political priorities are achieved through the Council Plan 2018 to 2023, and the Council Plan Monitoring Report which evidences progress in achieving the Council's priorities through projects and activities as set out in the Council Delivery Plan. Additionally, the document clarifies the processes for co-ordinating the Council's arrangements for service and corporate self-assessment, service planning, workforce planning, and the management of risk, performance and business continuity.

In specifying and describing the Council's Strategic Planning and Performance Framework, it is essential that the framework is seen as a fully integrated system, and not a series of related processes.

At the heart of all activity outlined in the Strategic Planning and Performance Framework is the mission the Council shares with its Community Planning partners '*Working together for a better Orkney*' and, ultimately, to improve outcomes for our communities through the services we provide.

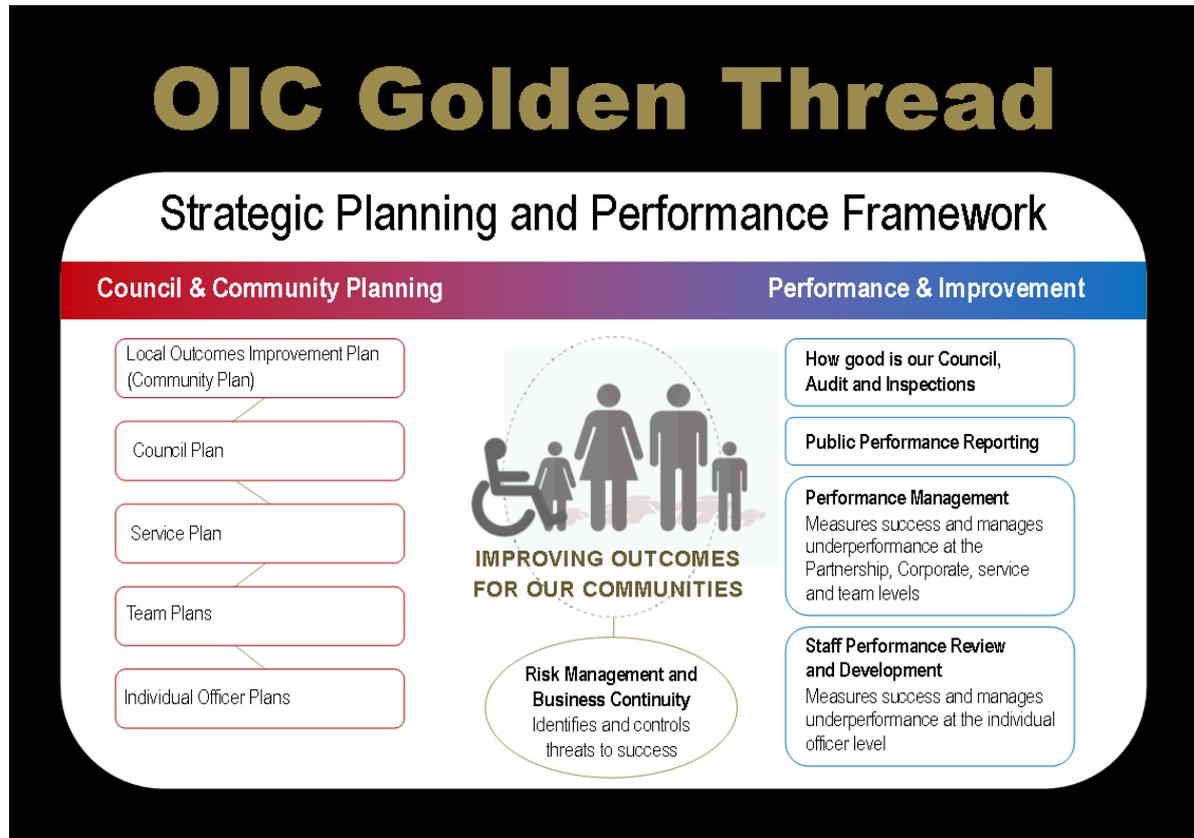
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1. Executive Summary

1.1.

The purpose of this document is to clearly specify the roles, responsibilities and systems which together make up the Council's Strategic Planning and Performance Framework. The framework describes the elements that make up the Council's strategic planning and performance arrangements, and its role in the strategic planning and performance arrangements of the Orkney Partnership. The framework goes on to describe the Council's arrangements for service and corporate self-assessment, service planning, workforce planning, and the management of risk, performance and business continuity.

1.2.

The Orkney Community Plan 2018 to 2021 is the sovereign plan for Orkney. Under the Community Empowerment (Scotland) Act 2015, each community planning partnership must prepare and publish a Local Outcomes Improvement Plan (LOIP). The Orkney Community Plan incorporates Orkney's LOIP and describes what The Orkney Partnership aims to achieve by working together, over and above what partners could achieve as individual organisations. The plan sets out The Orkney Partnership's strategic priorities for action, the challenges it faces, and its shared commitment to tackle these challenges.

1.3.

The Council Plan 2018 to 2023, within the context of the Orkney Community Plan and Scottish Government Strategic Objectives, sets out the key strategic priorities of the Council, while the Council Delivery Plan details the projects and activities through which these priorities are to be implemented, within agreed budget, over the planning period.

1.4.

Service plans, within the context of the Orkney Community Plan and the Council Plan, describe the core services and activities of Council services and how these will be sustained and improved, within agreed budget, over the planning period. The Service Plans also incorporate individual service Workforce Plans. Orkney Health and Care produces its own Strategic Plan which sets out its vision and values, and identifies the priorities for action during the time period of the plan.

1.5.

Risk management is the system through which the Council seeks to identify threats to its core services and planned developments and improvements, and then ensures that action is taken to minimise the possible adverse effects of these risks.

1.6.

Business continuity management refers to the arrangements for the continued provision of essential services following a serious incident or emergency, ensuring that these are sufficiently robust to enable services to continue, as far as is reasonably practicable.

1.7.

How Good is Our Council? (HGIOC?) is the evidence-based self-assessment tool through which the strengths and weaknesses of the Council, at service and corporate level, are assessed in a structured way. HGIOC? enables Council services to critically and objectively examine their effectiveness. HGIOC? focuses on the impact and outcomes of service delivery, leading to the maintenance of standards, the recognition of success, and the identification of areas to be improved through service and corporate planning.

1.8.

Performance management is the system through which the Council's core services and planned developments and improvements are monitored and scrutinised, and remedial action taken to address any underperformance.

1.9.

Workforce planning is the formal mechanism to define the workforce requirements of the Council based on its key activities and wider priorities. The Corporate Management Team reviews the Council's Workforce Plan annually, to ensure it is aligned to organisational requirements and is achieving the desired outcomes. Progress against objectives is reported every six months to the Human Resources Sub-committee so Elected Members can effectively scrutinise performance. As mentioned in section 1.4, Service-level Workforce Plans are incorporated in each individual Service Plan.

1.10.

Public Performance Reporting is a requirement carried out largely through the Council's Public Performance Reporting (PPR) webpages of the Council's website. The PPR webpages contain a wide variety of performance reports, for example, the Council's Annual Performance Report, six-monthly Council Plan Monitoring Reports, six-monthly service plan performance reports, and inspection reports of Orkney's schools and social care centres, all of which are also available in paper copy by request.

2. Orkney Community Plan

2.1.

The Orkney Community Plan fulfils the requirement for Orkney's statutory community planning partners to develop and publish a Local Outcomes Improvement Plan. The Plan is signed off by The Orkney Partnership Board, membership of which is listed at section 11.1.2.

2.2.

The Orkney Community Plan sets out the shared mission and seven key values shared by the members of The Orkney Partnership.

Our shared mission is – Working together for a better Orkney.

Our shared values are:

- Resilience.
- Enterprise.
- Equality.
- Fairness
- Innovation.
- Leadership.
- Sustainability.

2.3.

The Orkney Community Plan sets out the strategic priorities identified by The Orkney Partnership Board, currently:

- Strong Communities.
- Living Well.
- Vibrant Economy.

2.4.

The strategic priorities are progressed by dedicated delivery groups, whose action plans are summarised within the Community Plan. Progress towards planned outcomes is regularly reviewed by the board, and an annual performance report is produced.

3. The Council Plan

3.1.

The Council Plan sets out, within the context of the Orkney Community Plan, the key priorities of the Council, while the Council Delivery Plan details the projects and activities through which these priorities are to be implemented to improve outcomes for our communities, within agreed budget.

3.2.

The Council's mission and values are set out in the Council Plan.

Our shared mission is – Working together for a better Orkney.

Our shared values are:

- Resilience.
- Enterprise.
- Equality.
- Fairness
- Innovation.

- Leadership.
- Sustainability.

3.3

The Council's priorities as set out in the Council Plan are:

- Connected Communities – Orkney's communities enjoy modern and well-integrated transport services and the best national standards of digital connectivity, accessible and affordable to all.
- Caring Communities – People in Orkney enjoy long, healthy and independent lives, with care and support available to those who need it.
- Thriving Communities – The Orkney community is able to access work, learning and leisure through a modern, robust infrastructure which supports all our communities and meets the requirements of 21st-century life.
- Enterprising Communities – A vibrant carbon-neutral economy which supports local business and stimulates investment in all our communities.
- Quality of Life – Orkney has a flourishing population, with people of all ages choosing to stay, return or relocate here for a better quality of life.

4. Service Plans

4.1.

Within the context of the Council Plan, service plans describe the core services and activities of services and how these will be sustained and improved, within agreed budget, over the coming three years. Service plans are outcomes-focussed and also provide the mechanism for further planning within services through which the requirements resulting from new legislation or statutory guidance; political and management priorities; improvements identified as necessary by HGIOC?; and recommendations resulting from statutory inspection, internal/external audit, and service reviews, are progressed to the extent possible within available resources.

4.2.

The detailed analysis of the above results in the following outputs:

- Service action plans are the tables providing the detail of agreed service priorities, as expressed in service plans. A service action plan contains SMART (Specific, Measurable, Achievable, Relevant, Time-bound) targets and provides the mechanism through which the time-limited aspects of the service plan will be progressed to completion.
- Service key performance indicators monitor the performance of core services i.e. those services provided year on year. Some of these key performance indicators are LOIP indicators, some are Local Government Benchmarking Framework (LGBF) Indicators, some are cross-council generic performance indicators, and some are unique to individual services.
- Service risk registers identify, assess and control threats to core services and planned developments and improvements over the life of the service plan.

- Service-specific workforce planning actions are embedded within Service Plans.

4.3.

Around 30 per cent of Orkney Islands Council's staff work in Orkney Health and Care, a substantive partnership with NHS Orkney. The Strategic Planning and Performance Framework must be flexible enough to encompass such significant partnerships. Orkney Health and Care's Strategic Plan is a key document for the Integration Joint Board and reflects not only the Council's relevant key priorities within the Council Plan, but also NHS Orkney's overall strategic planning context and priorities within its Local Delivery Plan. In addition, it takes account of the national health and wellbeing objectives for both adults and children and a suite of actions have been determined which contribute to those objectives. Underpinning the Strategic Plan will be a range of service plans.

5. Risk Management

5.1.

Risk management is the system through which the Council seeks to identify threats to its core services and planned developments and improvements, and then ensures that action is taken to minimise the possible adverse effects of these risks.

5.2.

Risks are identified both at the corporate and service levels, resulting in the development of the Corporate Risk Register and service risk registers, one for each of the Council's services. Whether at the corporate or service level, the process of risk identification, assessment and control is the same.

5.3.

Once identified, each risk is assessed for its impact, ranging from 'negligible' to 'catastrophic', and for its likelihood, ranging from 'almost impossible' to 'very high'. The assessment is carried out using the risk matrix which leads to each risk being assigned a risk status of Red, Amber or Green. When a risk has been assigned a Red status, this identifies the need for action to be taken to mitigate the possible effects of the risk. This is accomplished through the formulation of an action plan, designed to minimise likelihood and/or impact of the risk, which must be monitored regularly.

6. Business Continuity Management

6.1.

Business continuity is the system through which the Council plans to provide essential services following a serious incident or emergency. The details of how individual services would recover operation following any disruptive incident are specified within the suite of service area recovery plans.

6.2.

Service area recovery plans aim to minimise the likelihood of intolerable consequence resulting from disruption to service delivery due to, for example, loss of premises, personnel, ICT infrastructure, records or data, and/or failure within supply and support chains.

6.3.

Through service area recovery plans, individual Council services are prepared to continue to provide essential services in times of disruption, and reduce the operational and financial impact by:

- Making best use of personnel and other resources at times when both may be in short supply.
- Reducing any period of disruption.
- Resuming normal working more efficiently and effectively after a period of disruption.

7. How Good is Our Council?

7.1.

How Good is Our Council? (HGIOC?) fulfils the Scottish Government's requirement for the Council to have in place arrangements for evidence-based self-assessment.

7.2.

HGIOC? also enables the Council to assess its strengths and weaknesses, in a proportionate and targeted way, against a range of indicators linked to five HGIOC? high-level questions:

- What key outcomes have we achieved?
- How well do we meet the needs of our stakeholders?
- How good is the delivery of key processes?
- How good is our management?
- How good is our leadership?

7.3.

Areas for improvement or 'gaps' in scrutiny are identified and prioritised by each service through consideration of existing and recent scrutiny or assessment processes. These are then categorised in terms of risk, with each service selecting between three and six higher-risk areas for a HGIOC? self-assessment. By focusing on the impact and outcomes of service delivery, areas where improvement is needed are addressed through service plans or team plans as appropriate.

7.4.

The Council's Corporate Management Team then analyses the service-level self-assessments to determine any areas to be considered for a corporate-level self-

assessment. Between three and six areas are then selected using a similar process to the service-level self-assessments.

7.5.

Within Orkney Health and Care an alternative method of self-evaluation is used i.e. the Care Inspectorate's self-evaluation framework, which is based on a similar model to HGIOC? thereby supporting consistency while, broadly speaking, avoiding duplication.

8. Performance Management

8.1.

The Council Plan Monitoring Report, detailing the projects and activities through which the priorities within the Council Plan are being progressed, is updated on the Council's performance management system every quarter and monitored routinely by the Corporate Management Team, and six-monthly by the Policy and Resources Committee. The Council Delivery Plan clearly identifies the intended outcomes for each action, as well as measures to evidence the impact of the Council's activities.

8.2.

LOIP performance indicators relating to the Council are monitored annually by the Policy and Resources Committee.

8.3.

The Corporate Risk Register is reviewed six-monthly by the Corporate Management Team, and annually by the Policy and Resources Committee.

8.4.

Services report a summary of their performance to their service committees on a six-monthly basis, with the interim report being presented to the November cycle of meetings and the final report to the June cycle. The following elements are individually monitored:

- Service action plans.
- Service key performance indicators.
- Local Government Benchmark Framework indicators*.
- Service complaints, suggestions and compliments.
- Service risk registers.
- Service workforce planning actions.

** The LGBF indicators are published annually by the Improvement Service, usually in January/February, and are reported to the earliest committee cycle thereafter.*

8.5.

As with the Council Plan Monitoring Report, the service plan monitoring reports clearly identify the intended outcomes for each action, as well as measures to

evidence the impact of the service's activities through SMART (Specific, Measurable, Achievable, Realistic, Timebound) targets.

8.6.

Services report those agreed actions and/or performance indicators with a Red status to the Corporate Management Team on a six-monthly basis, with the interim report being presented in November and the final report in May; this is known as exception reporting.

8.7.

In order to assist with the monitoring of service performance, the Council's traffic light system classifies the performance of each performance indicator and each agreed action as follows:

- Blue: the agreed action has been progressed to completion.
- Green: the performance indicator/agreed action is likely to meet or exceed its target.
- Amber: the performance indicator/agreed action is experiencing minor underperformance, with a low risk of failure to meet its target.
- Red: the performance indicator/agreed action is experiencing significant underperformance, with a medium to high risk of failure to meet its target.

8.8.

Actions resulting from statutory inspections and audits by, for example, external and internal audit, Audit Scotland, Education Scotland, and the Food Standards Agency, are progressed through action plans, and inform the updating of service plans. The action plans that result from inspection and audit reports are routinely monitored by the Senior Management Team and the Corporate Management Team and/or relevant service management teams, and reported to the relevant service committee as required.

8.9.

Actions resulting from service committee decisions are monitored on a six-monthly basis through committee action sheets within the Council's Performance and Risk Management Software, Aspireview, and these are routinely scrutinised by the Corporate Management Team.

8.10.

The findings of the range of customer surveys relating to Council services inform both strategic planning and the management of performance. The findings of customer surveys are considered by the Senior Management Team and the Corporate Management Team, and by the relevant service committee, when required.

9. Public Performance Reporting

9.1.

Public performance reporting (PPR) is an important aspect of the Council's efforts to inform people about its services, activities, performance and decision making. To that end, the Council provides relevant information in understandable and appropriate formats.

9.2.

The duty of PPR is carried out largely through the PPR webpages of the Council's website. The PPR webpages contain a wide variety of performance reports, for example, the Council's Annual Performance Report, six-monthly Council Plan Monitoring Reports, six-monthly service performance reports, and inspection reports of Orkney's schools and social care centres, all of which are also available in paper copy by request.

9.3.

The Council aims to publish its Annual Performance Report by March each year, for the previous financial year, which is made available online, at the main Council outlets, and by request. It is not possible to publish the Annual Performance Report sooner, due to core national data not being published until January, or later, each year. The Annual Performance Report is based on the expressed needs of stakeholders, i.e. glossy, expensive reports should be avoided; the information made available to the public should be a balanced view of what the Council did and did not achieve, in a short factual format with a mixture of numerical data and graphs/charts; and more detailed information should be available on request.

10. Performance and Risk Management Software

The Council uses the Coactiva Aspire Performance and Risk Management Software system to store performance data and to produce the range of reports required by officers and committees.

11. Roles and Responsibilities

11.1. The Orkney Partnership

Community planning aims to ensure that agencies and organisations work with each other and with the local community to improve the quality of people's lives. This is achieved through more effective delivery of services, and better engagement with the public. The Local Government in Scotland Act 2003 placed a duty on Orkney Islands Council to initiate, maintain and facilitate, and other agencies a duty to participate in, community planning in Orkney. The Community Empowerment (Scotland) Act 2015 extended the duty to facilitate community planning to include four other public sector agencies, and the duty to participate in community planning to a longer list of public sector bodies.

11.1.2.

The Orkney Partnership is led by the Orkney Partnership Board, whose membership comprises:

- Orkney Islands Council.
- Police Scotland.
- NHS Orkney.
- Highlands and Islands Enterprise.
- Scottish Fire and Rescue Service.
- Orkney Health and Care.
- Orkney College.
- Scottish Environment Protection Agency.
- Scottish Natural Heritage.
- sportscotland.
- Skills Development Scotland.
- HiTRANS.
- VisitScotland.
- Historic Environment Scotland.
- Voluntary Action Orkney.
- Orkney Housing Association Ltd.
- Orkney Community Justice Partnership.
- Scottish Ambulance Service.

11.1.3.

Delivery groups are formed by the board from partner agencies to focus on the delivery of one of the partnership's strategic priorities. The Orkney Partnership Board is responsible for developing outcomes based on inequalities and gaps in services for each of its strategic priorities. These are assigned to the relevant delivery group with a brief to develop and implement a SMART (Specific, Measurable, Achievable, Relevant, Timebound) action plan to deliver the desired outcomes. The actions and activities defined by the delivery group chair, and approved by the board, determine which partner agencies are invited to join each delivery group.

11.1.4.

The Executive Group supports the Orkney Partnership Board in the development of partnership policy and good practice governance. A key role is identifying resources (in cash or kind) to jointly address identified gaps and priorities not bridged by delivery groups. For this reason its membership is drawn from partners with executive authority to commit resources.

11.1.5.

The roles of the board, delivery groups and Executive Group are described in more detail in the Terms of Reference of the Orkney Partnership, available at: <http://www.orkneycommunities.co.uk/COMMUNITYPLANNING/documents/tors-2018-09-14.pdf>

11.2. Orkney Islands Council

11.2.1.

The Council's own strategic direction is based on the needs of the people of Orkney – as expressed through local democracy and community planning – and on the requirement for the Council to comply with both existing and new statutory responsibilities. In terms of the Local Government in Scotland Act 2003, the Council must ensure that it is making arrangements which secure Best Value, defined as:

- Securing continuous improvement in performance while maintaining an appropriate balance between quality and cost.
- Having regard to economy, efficiency, effectiveness, the equal opportunities requirements, and to contribute to the achievement of sustainable development.

11.2.2.

Best Value characteristics have been grouped to reflect the key themes which will support the development of an effective organisational context from which services can deliver key outcomes and ultimately achieve Best Value. These are:

- Vision and leadership.
- Governance and accountability.
- Use of resources.
- Partnership and collaborative working.
- Working with communities.
- Sustainability.
- Fairness and equality.

11.2.3.

Through its efforts to achieve Best Value and improve outcomes through all its services and activities the Council strives to meet its statutory responsibilities in respect of the Act.

11.3. The Monitoring and Audit Committee

11.3.1.

The Strategic Planning and Performance Framework policy document is the responsibility of the Monitoring and Audit Committee. The framework is reviewed and updated by the Chief Executive from time to time, and is presented to the Monitoring and Audit Committee when there are substantive changes.

11.3.2.

The Monitoring and Audit Committee has responsibilities, in respect of the Council's Strategic Planning and Performance Framework, for considering reports in relation to arrangements for performance monitoring and management, risk monitoring and management, business continuity, How Good is Our Council? and public performance reporting, and then making such recommendations to the Council as may be appropriate.

11.4. The Policy and Resources Committee

The Policy and Resources Committee has responsibilities, in respect of the Council's Strategic Planning and Performance Framework, for considering reports in relation to community planning, corporate planning, service planning, and workforce planning, and for scrutinising the performance of the Council Plan Monitoring Report, and then making such recommendations to the Council as may be appropriate.

11.5. Service Committees

Service committees have responsibilities, in respect of the Council's Strategic Planning and Performance Framework, for considering updates to their relevant service plans, for scrutinising performance, and then making such recommendations to the Council as may be appropriate.

11.6. Integration Joint Board

The Integration Joint Board, in relation to Orkney Health and Care services/activities, has responsibility for the planning of integrated services within the strategic plan and for the ongoing operational oversight and delivery of these services. The Integration Joint Board is a statutory participating partner in community planning under the Community Empowerment (Scotland) Act 2015.

11.7. The Senior Management Team and Corporate Management Team

The Corporate Management Team supports the Senior Management Team in promoting and delivering the Council's vision. The Senior Management Team, supported by the Corporate Management Team, has responsibility for ensuring implementation of the Council's Strategic Planning and Performance Framework and ongoing review of its content.

11.8. Service Management Teams

Service management teams have overall responsibility for promoting, progressing and ensuring all the processes which make up the Strategic Planning and Performance Framework within their respective services; and for ensuring that all service business is underpinned by the current Orkney Community Plan, Council Plan, and in respect of Orkney Health and Care, the Strategic Plan.

11.9. Performance and Risk Management Team

The Performance and Risk Management Team has specific responsibilities in respect of the Strategic Planning and Performance Framework. This includes the co-

ordination of the framework, and for carrying out research in respect of community planning, corporate planning, service planning, workforce planning, performance monitoring and management, risk monitoring and management, business continuity, How Good is Our Council? and public performance reporting, and then making such recommendations to the Corporate Management Team as may be appropriate.