



# Cabinet Performance Management) Panel

15 September 2014

Dear Councillor

## Cabinet (Performance Management) Panel - Monday, 15 September, 2014

I am now able to enclose, for consideration at next Monday, 15th September, 2014 meeting of the Cabinet (Performance Management) Panel, the following reports that were unavailable when the agenda was printed.

<b>Agenda No</b>	<b>Item</b>
6	<b>Corporate Performance Report Quarter One 2014/15 (Pages 1 - 14) (REVISED REPORT)</b> [To consider a quarterly report on the corporate performance reporting measures]
9	<b>Information Governance Performance Report - Quarter One 2014/15 (Pages 15 - 20)</b> [To consider the quarterly performance report]

If you have any queries about this meeting, please contact the democratic support team:

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# Cabinet (Performance Management) Panel Meeting

## 15 September 2014

<b>Report title</b>	Corporate Performance Report – Quarter 1 2014/15
<b>Decision designation</b>	AMBER
<b>Cabinet member with lead responsibility</b>	Councillor Paul Sweet Performance and Governance
<b>Key decision</b>	No
<b>In forward plan</b>	Yes
<b>Wards affected</b>	All
<b>Accountable director</b>	Simon Warren, Chief Executive
<b>Originating service</b>	Policy Team, Office of the Chief Executive
<b>Accountable officer(s)</b>	Charlotte Johns      Head of Policy Tel                      01902 55(4240) Email                    charlotte.johns@wolverhampton.gov.uk
<b>Report to be/has been considered by</b>	Members of Senior Executive Board 28 August 2014

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### Recommendation(s) for action or decision:

The Cabinet (Performance Management) Panel is recommended to:

1. Review and comment on the performance of the corporate performance indicators for quarter 1 2014/15.
2. Identify and feedback any further action that may be necessary.
3. Recommend any issues to be referred to a Scrutiny Panel for further consideration

## 1.0 Purpose

- 1.1 To report on the performance of all corporate performance indicators for quarter 1 2014/15 (April 2014 – June 2014).

## 2.0 Background

- 2.1 For 2014/15 a single set of 39 performance indicators has been identified that focus on monitoring progress towards delivery of the Corporate Plan. These are broken down by corporate theme as follows:

- Encouraging Enterprise and Business – 8 Indicators
- Empowering People and Communities – 14 Indicators
- Re-Invigorating the City – 7 Indicators
- Confident, Capable Council – 10 Indicators

- 2.2 Data for 25 indicators has been reported up to and including quarter 1 2014/15 and is included in this report.

## 3.0 Changes to report structure and content

- 3.1 The format for the quarterly performance report has been revised for 2014/15 and now includes the following sections:

- **City Scorecard** – A benchmarking report, covering high level outcome indicators for the City and setting out the quartile position of Wolverhampton relative to other English local authorities
- **Exception Report** – Analysis and commentary of performance indicators rated Red and therefore under-performing
- **Performance of corporate indicators** – Detailing the performance of corporate performance indicators against targets, and where applicable highlighting the direction of travel compared with 12 months previous

## 4.0 Summary of performance

- 4.1 **City Scorecard:** Of the seven indicators included in the benchmarked City Scorecard, six are ranked in the bottom quartile of all English local authorities and one is ranked in the second quartile.

- 4.2 **Exception Report:** The following two measures (5% of the total) are currently rated as Red, and therefore under-performing:

- Number of Looked After Children per 10,000 population
- Percentage of appraisals completed

Both of the measures have been rated as Red in previous Corporate Performance Reports and are covered in more detail in the exception report section.

4.3 **Performance of corporate indicators:** In quarter 1, data has been reported for 25 (64%) of the 39 indicators. The remaining 14 indicators are either reported at greater intervals than quarterly, or the data is not yet available.

4.4 Overall, two (5%) indicators are rated Red and therefore off-target; five indicators (15%) are Amber and of concern, and thirteen (33%) are rated Green and therefore on-target. Of the remaining indicators, five (13%) are baselining in 2014/15. A summary of indicator performance by corporate plan theme is included in the report.

## 5.0 Financial implications

5.1 Monitoring of the performance indicators highlighted in this report is integral to the monitoring of the budget. Where there are areas of underperformance there is often a direct impact on the budget and medium term financial strategy. The impact is assessed and monitored on a case by case basis and fed in to the budget process.

[GE/01092014/D]

## 6.0 Legal implications

6.1 There are no direct legal implications arising from this report.

[Legal Code: TS/02092014/N]

## 7.0 Equalities implications

7.1 Most of the performance measures in this report have equalities implications, however there are no equality implications relating to this report.

## 8.0 Environmental implications

8.1 Some performance measures relate to services and outcomes with implications for the local environment. There are however, no specific environmental implications arising from this report.

## 9.0 Human resources implications

9.1 Some of the performance measures incorporate human resource information, but there are no direct financial implications arising from this report.

## 10.0 Corporate landlord implications

10.1 There are no corporate landlord implications arising from this report

## 11.0 Schedule of background papers

11.1 Cabinet (Performance Management) Panel 02/09/13  
Cabinet (Performance Management) Panel 18/11/13  
Cabinet (Performance Management) Panel 24/02/14  
Cabinet (Performance Management) Panel 16/06/14

# Corporate Performance Report Quarter 1 2014/15: City Scorecard

This section sets out the quartile position of Wolverhampton's performance relative to all other English local authorities for the following outcome indicators. Data and graphics are sourced from the Local Government Association's [LG Inform](#) system.

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**Employment rate (working age population)\***

Strengthening the local economy remains a large focus of the council's corporate plan. There are a number of programmes underway to support the regeneration of the city, such as Block 10 (providing Grade A office accommodation in the city), Southside developments and i54. This is underpinned by ensuring that the training and skills offer in the city enables local people to secure employment and prosper.

Latest: 62.7% (Q1 2014) | DoT: ↓ 1.4%

**% of children living in families in poverty\***

The council is working to a Child Poverty Strategy in order to address this significant issue. The recently established 'City Board' and a subgroup focussed on economic and social inclusion will provide a forum in the city for key partners to work together to improve the four areas of the strategy – employment & skills, a good start to life & learning, good quality homes & neighbourhoods and timely & joined up services.

Latest: 30.6% (2011) | DoT: ↑ 1.6%

**Key Stage 4 - % of children with 5 A\*-C GCSEs**

The Building Schools for the Future programme and focus on improving secondary education in the city has shown a significant improvement in the Key Stage 4 performance with a Direction of Travel by 7%. Robust plans are in place to ensure the council continues to fulfil its role in challenging and intervening in schools that are underperforming in both primary and secondary age groups.

Latest: 61% (2013) | DoT: ↑ 7.0%

**Key**

- Top quartile performance
- Second quartile performance
- Third quartile performance
- Bottom quartile performance

\*Indicators are also City Strategy top-tier indicators

# Corporate Performance Report Quarter 1 2014/15: City Scorecard

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Life expectancy at birth (male)\*



Latest DoT  
77.4yrs (2010-12) ↑ 0.1%

In Wolverhampton, as in England as a whole, life expectancy continues to increase, as a result of improved social conditions, advancing medical and scientific knowledge and a highly trained professional workforce. However life expectancy in Wolverhampton is below the national average and masks a widening gap between the health outcomes of our wealthiest and most deprived communities.

% Adult population obese



Latest DoT  
69.8%(2012) n/a

National surveys estimate that some 69.8% of adults in Wolverhampton are overweight or obese, compared to a national average of 64%, and there are concerns that obesity rates may rise still further. The Director of Public Health has used her 2014 report as a 'call to action' to organisations, businesses and individuals to work together to tackle the issue.

Life expectancy at birth (female)\*



Latest DoT  
81.7yrs (2010-12) ↑ 0.1%

Action is being taken to improve life expectancy across the city. For example, the Public Health Transformation has enabled over £2million of funding to council departments, community and voluntary sector to work together to tackle issues around poor health. A focus on health is vital as it underpins the economic regeneration our city and communities.

% Children obese in year 6



Latest DoT  
24.4 (2013) ↓ 0.8%

Nearly a quarter of our Year 6 pupils are obese, compared to just under a fifth of Year 6 pupils nationally. The recent 'call to action' annual report includes a number of actions, including encouraging healthy eating and physical activity and promoting healthy lifestyles in schools and workplaces.

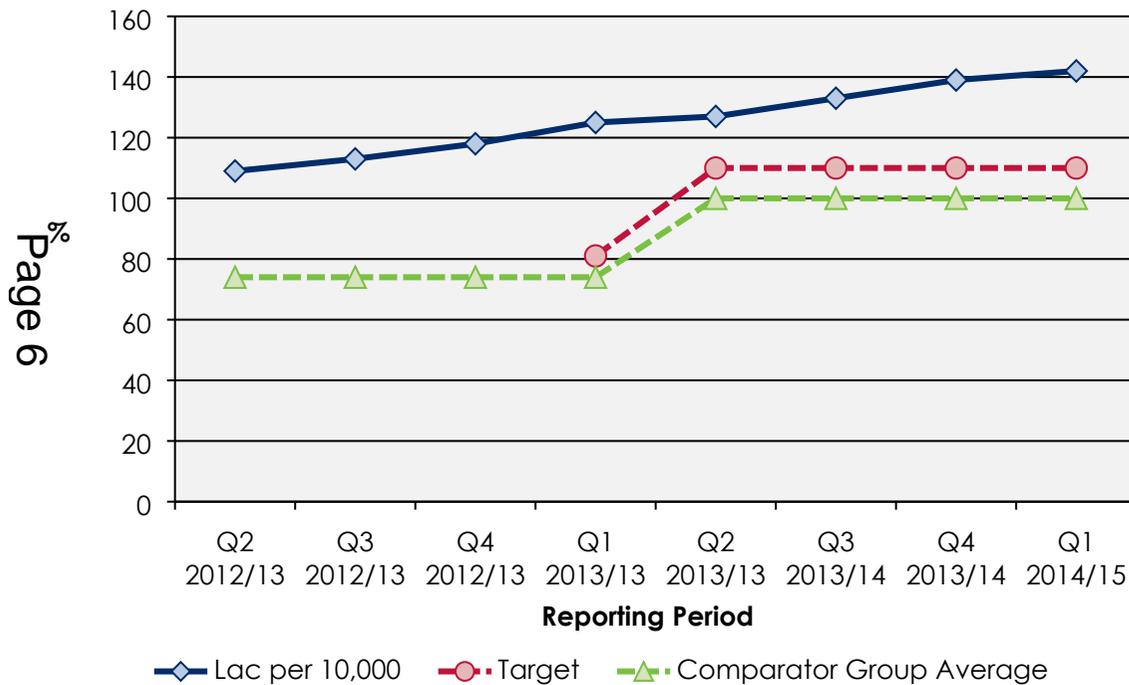
# Corporate Performance Report Quarter 1 2014/15: Exception Report

**Indicator:** Number of Looked after Children (per 10,000 population)

**Quarter 1 Performance:** tbc

**Current rating:** ▲

Period	Q1 2012/13	Q2 2012/13	Q3 2012/13	Q4 2012/13	Q1 2013/14	Q2 2013/14	Q3 2013/14	Q4 2013/14	Q1 2014/15
Data	107	109	113	118	125	127	133	139	142



**Commentary:** The number of Looked After Children has risen from 783 at the end of March 2014 to 797 at the end of June 2014.

The Families r First programme is the strategic approach to reducing the numbers of Looked After Children within Wolverhampton. This is closely monitored at a SEB/CDB and via the Children's Trust partnership Board.

Further analysis of on-going admissions is being completed to attempt to understand the reasons and profile of children becoming looked after.

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## Corporate Performance Report Quarter 1 2014/15: Exception Report

**Indicator:** Percentage of employees who have a current appraisal

**Quarter 1 performance:** 32.6%

**Current rating:** ▲

**Commentary:** Following detailed discussion regarding the performance of appraisals, the definition of this measure has been changed for 2014/15 and so is not directly comparable to 2013/14. Rather than measuring the proportion of appraisals carried out in any given period, this indicator is now measuring the percentage of employees who have a current appraisal recorded (i.e. have had an appraisal in the last 12 months).

As at the end of quarter 1 the rolling 12 month figure (1 July 2013 – 30 June 2014) was increased 32.6%. This figure is based on the current establishment report. However, it is known that the establishment report also includes those staff employed on zero-based hour contracts (e.g. election staff, organists etc.) which arguably should be removed from the denominator value. Human Resources are undertaking work to make the appraisal policy clearer in this respect.

It should be noted that the figure reported may under-sell the actual appraisal rate. Where employees have multiple jobs, it is quite possible that only one appraisal has been confirmed and recorded whereas, for example: three appraisals should have been recorded if the one appraisal covered all job roles. Actions are being implemented to ensure this is resolved going forward.

Recommendations have been made and are currently being implemented to improve the accuracy of the data uploaded via the SharePoint appraisal recording form.

The Policy Team have also undertaken a data exercise and have emailed all Strategic Directors with details of all their employees not recorded as having an appraisal, and requesting that they ensure all appraisals undertaken by their respective management teams are recorded on SharePoint.

The amount of appraisal activity recorded as taking place has increased significantly year on year. In quarter 1 2013/14 1.6% of employees had an appraisal completed and recorded. In quarter 1 2014/15 this figure was 10.15%.

As at the end of July 2014 the rolling 12 month figure (1 August 2013 – 31 July 2014) has increased to 36.5%

## Corporate Indicators: Summary of performance indicators by Corporate Plan theme

Corporate Plan Theme	On Target 		Of Concern 		Off Target 		Not available 		Baselining	
	Number	%	Number	%	Number	%	Number	%	Number	%
Encouraging Enterprise and Business	0	0%	0	0%	0	0%	7	88%	1	12%
Empowering People and Communities	5	36%	3	21%	1	7%	4	28%	1	7%
Re-Invigorating the City	4	57%	1	14%	0	0%	0	0%	2	29%
Confident, Capable Council	4	40%	1	10%	1	10%	3	30%	1	10%
<b>Total</b>	<b>13</b>	<b>33%</b>	<b>5</b>	<b>13%</b>	<b>2</b>	<b>5%</b>	<b>14</b>	<b>36%</b>	<b>5</b>	<b>13%</b>

## Corporate Indicators: Encouraging Enterprise and Business

Indicator	Target	Previous	Latest	Direction of travel	Status
Hectares of readily available employment land	41ha	56.44ha 2013	n/a	n/a	◆ Annually reported
% pupils leaving primary school with level 4 in reading, writing and maths	75%	74% 2013	n/a	n/a	◆ Annually reported
% pupils leaving secondary school with 5+ A*-C GCSEs (including Maths and English)	59%	61.0% 2013	n/a	n/a	◆ Annually reported
% of residents of working age with no qualifications	21.9%	22.9% 2013	n/a	n/a	◆ Annually reported
% of residents of working age qualified to NVQ level 4 or equivalent	21%	20.0% 2013	n/a	n/a	◆ Annually reported
% of 16 to 17 year olds in education, work based learning or employment with training	91%	90.8% 2013	n/a	n/a	◆ Annually reported
Businesses assisted	Baselining	82 Q4 13/14	123 Q1 14/15	↓ 37%	Baselining 14/15
Apprenticeship opportunities created	Baselining	n/a	n/a	n/a	◆ Data not yet available

## Corporate Indicators: Empowering People and Communities

Indicator	Target	Previous	Latest	Direction of travel	Status
Number of Families in Focus whose situation is improved	403/50%		334/41% Q1 14/15	n/a	★
Number of looked after children (per 10,000 population)	110	139 Q4 13/14	142 Q1 14/15	↓ 14%	▲ See exception report
Number of children subject to a child protection plan (per 10,000 population)	42	42 Q4 13/14	44 Q1 14/15	n/a	★
Number of years of healthy life expectancy (Males)	59.5 2010/12	59.3 2009/11	n/a	n/a	◆ Annually reported
Number of years of healthy life expectancy (Females)	58.2 2010/12	58.0 2009/11	n/a	n/a	◆ Annually reported
Number of years of life expectancy (Males)	77.6 2011/13	77.4 2010/12	n/a	n/a	◆ Annually reported
Number of years of life expectancy (Females)	81.8 (011/13)	81.7 2010/12	n/a	n/a	◆ Annually reported
% of older people who were still at home 91 days after leaving hospital	89.5%	86% 2012/13	86% 2013/14	↔ 0%	★
% of people using social care receiving self-directed support, and receiving direct payments	90%	88% Q4 13/14	85% Q1 14/15	↑ 16%	●

★ on target ● of concern ▲ off target ◆ not available ↑ improving ↓ worsening ↔ no change

## Corporate Indicators: Empowering People and Communities

Indicator	Target	Previous	Latest	Direction of travel	Status	
% of primary schools judged to be good or outstanding	78%	56% 2013	67% 2014	↑ 20%	●	
% of secondary schools judged to be good or outstanding	82%	69% 2013	71% 2014	↑ 3%	●	
Permanent admissions to care homes per 100,000 population – younger adults	24	13 Q4 13/14	20 Q1 14/15	↓ 11%	★	
Permanent admissions to care homes per 100,000 population – older people	723	735 Q4 13/14	706 Q1 14/15	↑ 2%	★	
Children who move in with their adoptive family within 18 months of entering care	tbc	56% Q4 13/14	72% Q1 14/15	↑ 90%	n/a	Target tbc

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## Corporate Indicators: Re-Invigorating the City

Indicator	Target	Previous	Latest	Direction of travel	Status
% of properties in the City empty for 3 months to 2 years	Baselining	n/a	1.4% Q1 14/15	n/a	n/a
% of properties in the City empty for over 2 years	Baselining	n/a	0.4% Q1 14/15	n/a	n/a
Gross affordable housing completions as % of gross housing completion target	15%	33% 2012/13	18% 2013/14	↓ 45%	★
% of retail units vacant in Wolverhampton City Centre	20%	21.4% Apr 2013	18.8% Q1 14/15	↑ 12%	★
Recorded incidents of crime	5% reduction	3,960 Q4 13/14	4,142 Q1 14/15	↑ 2%	●
Increase on baseline of homes meeting statutory minimum standard	610	n/a	621 Q4 13/14	n/a	★
Number of visitors to cultural venues	290,000	72,850 Q4 13/14	74,067 Q1 14/15	↑ 2%	★

★ on target ● of concern ▲ off target ◆ not available ↑ improving ↓ worsening ◆ no change

## Corporate Indicators: Confident, Capable Council

Indicator	Target	Previous	Latest	Direction of travel	Status	
% of information requests (FOI) processed in time	90%	95% Q4 13/14	94% Q1 14/15	↑ 21%	★	
% of information requests (EIR) processed in time	90%	n/a	100% Q1 14/15	n/a	★	
% of information requests (SAR) processed in time	Baselining	n/a	69% Q1 14/15	n/a	n/a	Baselining 14/15
Average number of working days lost due to sickness absence	2.12 days	1.4 days Q4 13/14	1.8 days Q1 14/15	↑ 2%	★	
Percentage of total debt collected in year	92.5%	n/a	78.2% Q1 14/15	n/a	●	
Percentage of employees who have a current appraisal	Baselining	n/a	32.6% Q1 14/15	n/a	▲	See exception report
% of complaints responded to in time	95%	100% Q4 13/14	100% Q1 14/15	↑ 5%	★	
Savings achieved in year	£26.94M	n/a	n/a	n/a	◆	Data not yet available
Unit cost per workstation / employee for administrative buildings (offices & depots)	£1,111	n/a	n/a	n/a	◆	Data not yet available
Unit cost per user / visitor for public buildings	Baselining	n/a	n/a	n/a	◆	Data not yet available

★ on target ● of concern ▲ off target ◆ not available ↑ improving ↓ worsening ◆ no change

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# Cabinet (Performance Management) Panel

15 September 2014

<b>Report title</b>	Information Governance Performance Report – Quarter 1 2014/15	
<b>Decision designation</b>	AMBER	
<b>Cabinet member with lead responsibility</b>	Councillor Paul Sweet Governance and Performance	
<b>Key decision</b>	No	
<b>In forward plan</b>	No	
<b>Wards affected</b>	All	
<b>Accountable director</b>	Keith Ireland, Delivery	
<b>Originating service</b>	Policy	
<b>Accountable employee(s)</b>	Adam Hadley	Scrutiny and Transparency Manager
	Tel	01902 554026
	Email	Adam.Hadley@wolverhampton.gov.uk
<b>Report to be/has been considered by</b>	Information Governance Board	19 June 2014
	SEB	28 August 2014

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## Recommendation(s) for action or decision:

The Cabinet (Performance Management) Panel is recommended to:

1. Review and comment on the Quarter 1 performance for Information Governance
2. Identify and feedback any further action that may be necessary.
3. Recommend any issues to be referred to the Scrutiny Board for further consideration

## **1.0 Purpose**

- 1.1 To report on the performance of Information Governance for Quarter 1 (April – June 2014)

## **2.0 Background**

- 2.1 The Information Commissioner's Office (ICO) conducted consensual audits of the Council in October 2011 and July 2012.
- 2.2 The October 2011 audit covered requests for personal data and requests made under the Freedom of Information Act 2000 (FOI). The ICO's subsequent overall opinion was that there was a very limited assurance that processes and procedures were in place and being adhered to.
- 2.3 The ICO carried out a further audit on 19 July 2012 to measure the extent to which Wolverhampton City Council had implemented the agreed recommendations and identify any subsequent change to the level of assurance previously given. This was based on an update provided in March 2012 and subsequent management information. The ICO raised the Council's status from Red "Very Limited Assurance" to Amber "Limited Assurance" as an acknowledgement that progress had been made.
- 2.4 The Council provided a final management update to the ICO on 20 December 2012, after which the ICO confirmed that the audit process has been brought to a conclusion. Throughout 2013, work has continued to ensure that a strategic approach is adopted to how the Council manages information assets.
- 2.5 In February 2014 the ICO has asked for further updates on our progress, as a result of information incidents the Council is managing. The Council was then placed under an enforcement notice to achieve 100% of employees having undertaken the mandatory 'protecting information training'.
- 2.6 In June 2014 the Council complied with the enforcement notice and achieved 100% of employees completing the 'protecting information' training.
- 2.7 In order to ensure ongoing improvements with information governance this report outlines current performance for Information Governance.

## **3.0 Progress**

- 3.1 This is contained in appendix A.

## **4.0 Financial implications**

- 4.1 There are no financial implications associated with the recommendation in this report as Councillors are requested to review the progress made on information governance.

4.2 It is worth noting, however, that a failure to effectively manage information governance carries a financial risk. Inaccurate and out of date information can lead to poor decision making and a potential waste of financial resources. In addition to this, poor information governance can actually result in a fine of up to £500,000 from the ICO.  
[GE/29082014/S]

## **5.0 Legal implications**

5.1 The Council has a legal duty under the Data Protection Act 1998, Freedom of Information Act 2000 and Environmental Information Regulations 2004 to appropriately manage and protect information assets.

5.2 The integration of Public Health into the Council in April 2012 required the Council to provide assurance to the NHS that it had in place suitable Information Governance policies, procedures and processes.

5.3 Failure to effectively manage information governance could increase risk of exposure to fraud and malicious acts, reputational damage, an inability to recover from major incidents and potential harm to individuals or groups due to inappropriate disclosure of information.

5.4 The Information Commissioner has the legal authority to:

- Fine organisations up to £500,000 per breach of the Data Protection Act or Privacy & Electronic Communication Regulations
- Conduct assessments to check organisations are complying with the Act
- Serve Enforcement Notices and 'stop now' orders where there has been a breach of the Act, requiring organisations to take (or refrain from taking) specified steps in order to ensure they comply with the law
- Prosecute those who commit criminal offences under section 55 of the Act
- Conduct audits to assess whether organisations processing of personal data follows good practice
- Report issues of concern to Parliament.

[KO/02092014/C]

## **6.0 Equalities implications**

6.1 All policies and procedures developed as part of the information governance maturity model will undergo an equalities analysis screen and full analysis if appropriate.

## **7.0 Environmental implications**

7.1 There are no environmental implications arising from this report.

## **8.0 Human resources implications**

8.1 All employees are required to comply with Information Governance legislation and are required to complete the mandatory 'protecting information training'.

**9.0 Corporate landlord implications**

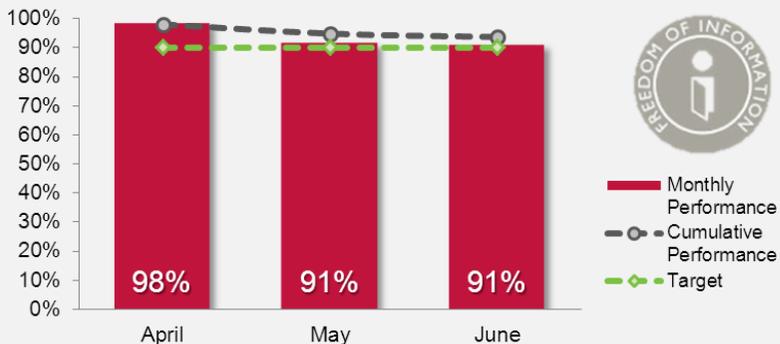
9.1 There are no corporate landlord implications arising from this report.

**10.0 Schedule of background papers**

10.1 Performance reporting report to Information Governance Board – 19 June 2014.

10.2 Update on Information Governance report to Cabinet – 26 March 2014

## Freedom of Information (FOI) Response Rates Quarter1 2014/15



## FOI Response Rate

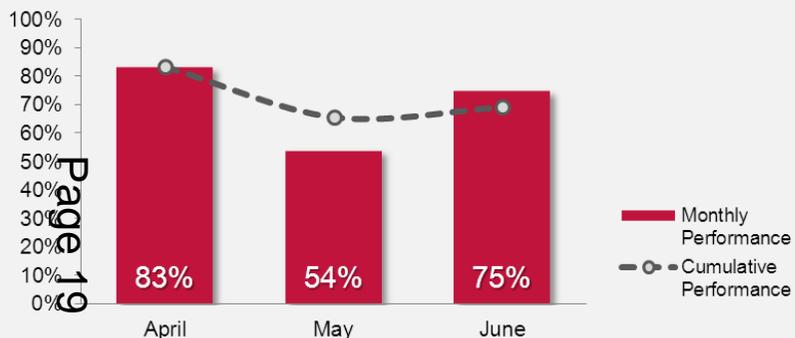


## FOI number received (response rate) by Directorate Quarter 1 2014/15

Directorate	April	May	June	Quarter Total
Community	30 (93%)★	35 (74%)▲	27 (89%)▲	92 (85%)▲
Delivery	49 (100%)★	45 (100%)★	35 (91%)★	129 (98%)★
Education & Enterprise	27 (100%)★	19 (100%)★	19 (95%)★	65 (98%)★
OCE	1 (100%)★	0 (n/a)	0 (n/a)	1 (100%)★
<b>Overall</b>	<b>107 (98%)★</b>	<b>99 (91%)★</b>	<b>81 (91%)★</b>	<b>287 (94%)★</b>

★ On target ▲ Missed target

## Subject Access Request (SAR) Response Rates Quarter1 2014/15



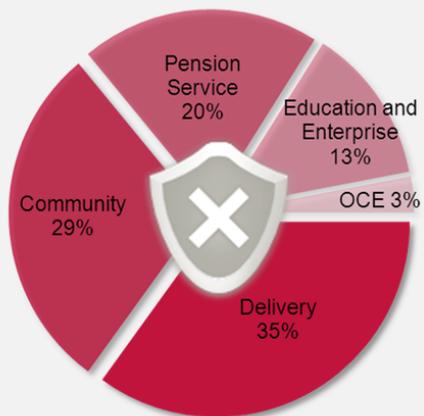
## SAR number received (response rate) by Directorate Quarter 1 2014/15

Directorate	April	May	June	Quarter Total
Community	9 (67%)	13 (31%)	11 (36%)	33 (42%)
Delivery	1 (0%)	3 (67%)	8 (88%)	12 (75%)
Education & Enterprise	12 (100%)	8 (88%)	17 (94%)	37 (95%)
OCE	1 (100%)	0 (n/a)	0 (n/a)	1 (100%)
<b>Overall</b>	<b>23 (83%)</b>	<b>24 (54%)</b>	<b>36 (75%)</b>	<b>83 (69%)</b>

## SAR Response Rate



## Information Incidents\*

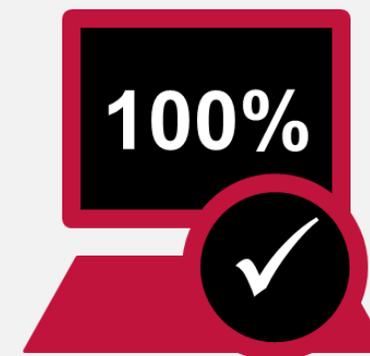


**Total Incidents**  
119

77 low impact  
34 low/medium impact  
7 medium impact  
1 medium/high impact

\*data as at 28/08/2014

## Protecting Information course completion



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