

Planning & Performance

2011-14

OUR MISSION

To deliver excellent, customer focused
and cost effective housing services
to all our residents



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- You feel this document is not as clear and easy to read as you would expect; or
- You believe that we aren't doing the things that this document says we will do; or
- You just want to comment on this document

Whatever the reason, if you want to talk to us about this document then you should contact the **Executive Director (Resources)** on **Freephone 0800 195 5552**

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Planning Framework

Purpose: Vision to Action

1.1 The planning framework identifies the 'Vision to Action' thread, that is, the thread that joins the actions of individuals to the Vision of the organisation. This is shown diagrammatically on page 5.

Links to Council Planning

1.2 Given the nature of the organisation as an ALMO, there are a number of Council strategies that are relevant to our planning process.

1.3 The Sutton Strategy 2009-20 and Sutton Plan 2009-12 both contain priorities that directly influence our Priorities. As a result, changes in these Council priorities are given consideration in the setting of our Priorities.

1.4 In addition, Sutton's Housing Strategy 2008-09 and beyond significantly influences our priorities and we work closely with the Council in the development and implementation of this strategy.

1.5 Sutton's HRA Business Plan 2009-10 to 2038-39 was developed with the Council and identifies both the revenue and capital resource requirements of implementing both the Council's and our strategic plans.

Vision, Mission & Priorities

1.6 Given our relationship with the Council, it is appropriate that we share the vision of the Council as expressed in the Sutton Plan. Thus, our Shared Vision is: **To build a community in which all can take part and all can take pride.**

1.7 Our Mission serves to highlight the unique contribution we can make towards the shared vision by identifying our community, the services we provide to them and our approach to delivering these services. Thus, our Mission is: **To deliver excellent, customer focused and cost effective housing services to all our residents.**

1.8 The focus for our medium term approach to achieving the Mission is expressed in our Priorities. Alongside the HRA Business Plan, they provide the context for the Strategic Plan which summarises the strategic objectives that are in place to address these priorities. Currently our Priorities are:

- **Putting Customers First**
To make customers the focus of all aspects of our services
- **Making Services Accessible To All**
To tailor our services to meet the diverse needs of all our customers
- **Achieving Value For Money**
To achieve long-term viability centred on value for money
- **Providing Quality Homes**
To provide sustainable homes through effective asset management
- **Creating Safe, Welcoming Neighbourhoods**
To create neighbourhoods that our customers can take pride in

Planning Framework

Strategic Planning

1.9 The range of strategies is determined by what best meets our current needs as an organisation, providing direction in the medium term. We divide them in to three categories: service strategies, supporting strategies and strategic drivers.

1.10 Service strategies relate to the main services that we provide directly to our

customers. Supporting strategies relate to mainly internal services that are provided to support the delivery of these direct services. The strategic drivers are the themes that underpin the delivery of all services. The existing strategies and their scope are given below.

Strategies and Scope	
Service Strategies	
Asset Management	<i>Major works, planned maintenance, responsive repairs, voids</i>
Community Cohesion	<i>Anti-social behaviour, vulnerable residents, domestic violence, diversionary activities, estate management (graffiti, cleaning, lighting, gardens), community tensions</i>
External Services	<i>Estate management, caretaking, grounds maintenance</i>
Income Management	<i>Financial inclusion, rent arrears, debt collection, advice</i>
Leasehold Services	<i>Service charges, major works contributions, pre-assignment enquiries, advice</i>
Older People's Housing and Support Services	<i>Wardens, mobile response, specialist support, 'staying put', information & advice</i>
Supporting Strategies	
Communications	<i>Channels, identity, PR, events, collateral, internal communications</i>
Finance Services	<i>HRA, management fee, budgeting, monitoring & management, reporting</i>
Human Resources (HR)	<i>Recruitment & selection, performance & development, employee relations, reward</i>
Information & Communications Technology (ICT)	<i>Networks, hardware, software, support, training</i>
Driver Strategies	
Customer Focus	<i>Customer access, customer care/service, customer involvement</i>
Equality and Diversity	<i>Governance, access, involvement, partnerships, harassment & DV, legislation</i>
Resident Involvement	<i>Participation, scrutiny, residents' associations</i>
Risk Management	<i>Risk identification, analysis & control, health & safety</i>
Environmental Sustainability	<i>Energy efficiency, waste, recycling, carbon footprint</i>
Value for Money	<i>Benchmarking, procurement, inward investment, sustainability</i>

Planning Framework

I.11 These individual strategies combine within the Strategic Plan to establish the overall strategic approach to progressing on our Priorities. Strategic coverage is such that every individual can identify with a strategy and each strategy is contributing directly to the achievement of our Priorities.

Annual Planning

I.12 To deliver the Strategic Plan each service area develops an annual service plan with the service plan actions aimed at achieving the objectives of the individual strategies. These actions will be aimed at both maintaining service delivery (operational actions) and improving service delivery (improvement actions).

I.13 Although the strategic drivers are embedded within the service and supporting strategies and their accompanying service plans, the driver strategies identify significant cross-cutting issues. The actions required to address these issues are also cross-cutting and as such are contained in the driver action plans.

I.14 The main improvement actions from the service and driver action plans are summarised in our Service Improvement Plan which establishes the operational approach to delivery of the Strategic Plan in the short term.

Performance Development

I.15 The annual plans provide the basis for objective setting for individual members of staff in our performance development (appraisal) process.

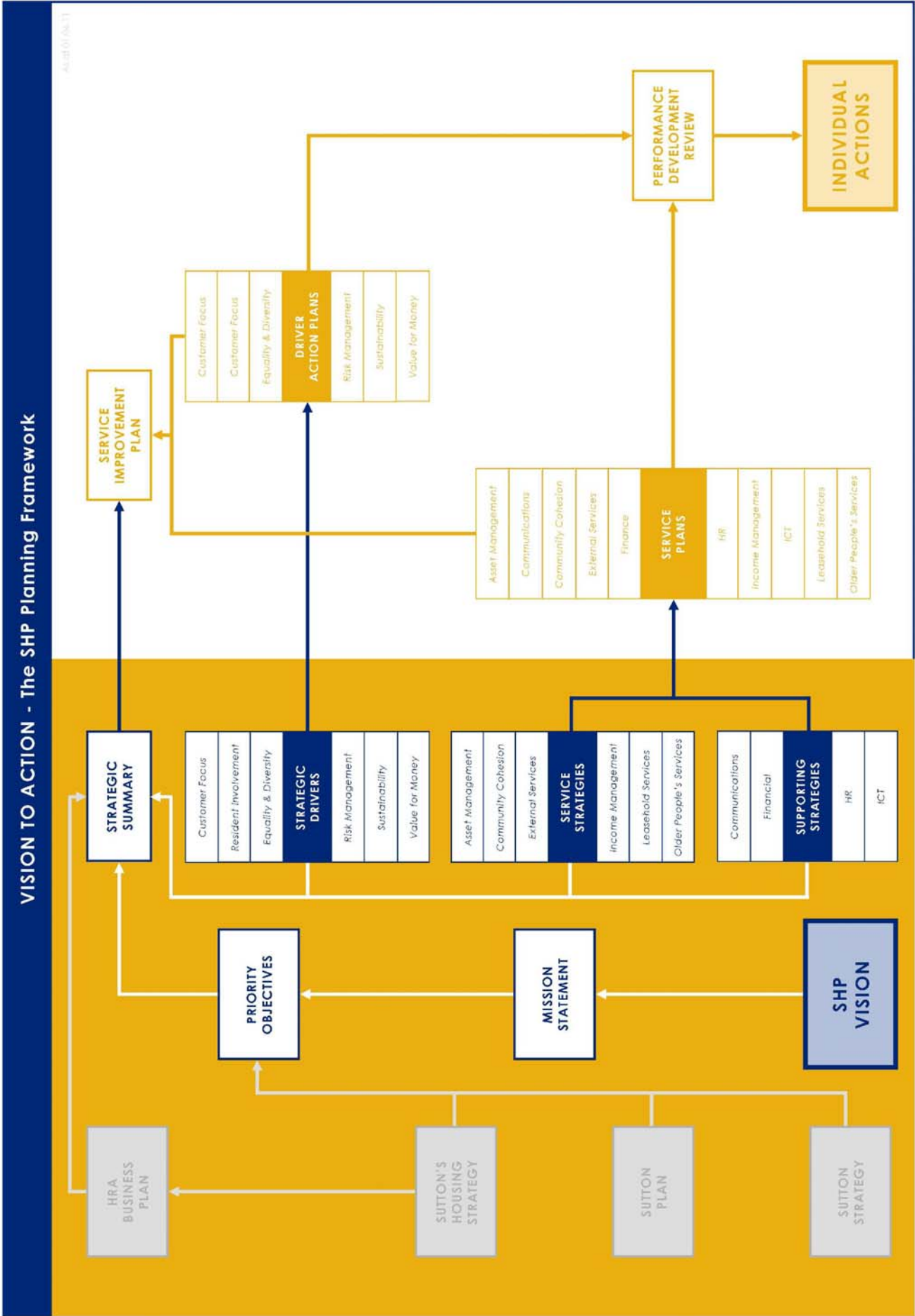
I.16 Individual actions are identified based on the actions, and any constituent sub-actions, contained in the service and driver action plans. These actions are based on achieving the objectives identified in the strategies which in turn are based on achieving our Priorities. These Priorities are developed directly from the medium term focus of our Mission and our Shared Vision. Thus, a thread is established between the actions of individuals and the Shared Vision.

Delivery Plan

I.17 An annual Delivery Plan is agreed with the Council. This Delivery Plan provides a summary of the main planning processes and includes the following key plans:

- Service Improvement Plan
 - containing the improvement actions from the service and driver action plans
- Performance Plan
 - containing the priority and strategic PIs (see 3.6)
- Financial Plans
 - showing the HRA budget and SHP's management fee

Planning Framework



Planning Cycle

Purpose

2.1 The planning cycle identifies when the key elements of the planning framework take place. The planning cycle for 2010-11 is shown overleaf.

Our Mission & Priorities: Review

2.2 The annual cycle commences with a review of our Mission and Priorities. The review is overseen by the Board and takes account of:

- Views solicited from customers
- Developments in relevant Council strategies and plans
- Changes in government policy in matters affecting housing management
- The wider economic, social and environmental context

2.3 Any changes at this stage then inform the next stages of the cycle.

Strategies: Review and Refresh

2.4 Each year all of the three-year strategies are reviewed. Led by the strategy owner, these reviews take account of:

- Analysis of customer views
- Success in addressing current objectives
- Mission and Priorities changes
- Relevant changes in the external environment e.g. government initiatives

2.5 Draft strategies are shared at the Managers Conference with issues raised

incorporated in to the final version of the refreshed, rolling three-year strategies.

Service Plans & Driver Action Plans

2.6 Service and driver action plans represent the annual action plans for each strategy. These plans are drafted by the relevant manager taking account of:

- Performance in delivering current plans
- The review and refresh of strategies
- Outcomes from any internal or external service reviews/assessments
- Relevant changes in the external environment e.g. new funding streams

2.7 A Managers Convention provides the opportunity for plan owners to be made aware of the intended actions of other service areas and strategic drivers. These are then taken in to consideration in producing the final version of the plans.

2.8 A quarterly review of service and driver action plans enables a check on the fitness for purpose of the plans with the opportunity to add or remove actions where appropriate.

Performance Development Review

2.9 Performance Development Review (PDR) is the appraisal system for staff. Actions are identified for individual staff directly from the service and driver action plans.

2.10 The annual appraisal follows the approval of the service and driver action plans and is subject to a mid-year review.

Planning Cycle

The Planning Cycle 2011-2012

04-Apr		10-Oct	Managers Conference	
11-Apr		17-Oct	Performance Development: Mid-Year Review SP & DAP Q2	
18-Apr		24-Oct		
25-Apr		31-Oct	Strategies: 2012-2015 Approval	
02-May		07-Nov		
09-May		14-Nov	Service Plans & Driver Action Plans: 2012-2013 Draft	
16-May		21-Nov		
23-May		28-Nov		
30-May		05-Dec		
06-Jun		12-Dec		
13-Jun		19-Dec		
20-Jun		26-Dec		
27-Jun		02-Jan		
04-Jul	Service Plan & DAPs 11-12 Review Q1	09-Jan	Service Plan & DAPs 11-12 Review Q3	
11-Jul	Our Mission & Priorities: Review	16-Jan	Managers Convention	
18-Jul				
25-Jul				
01-Aug				
08-Aug		23-Jan		
15-Aug		30-Jan	Service Plans & Driver Action Plans: 2012-2013 Approval	
22-Aug		06-Feb		
29-Aug		13-Feb		
05-Sep	Strategies: 2011-2012 Review & Refresh	20-Feb	Delivery Plan 2012-2013 Approval	
12-Sep				
19-Sep				
26-Sep				
03-Oct				
			27-Feb	Performance Development: Annual Review
			06-Mar	
		13-Mar		
		20-Mar		
		27-Mar		
		03-Apr		
		10-Apr	Service Plan & DAPs 11-12 Review Q4	

Performance Framework

Purpose

3.1 Effective performance management means the achievement of our priorities is more likely. The performance framework provides a co-ordinated approach to performance that dovetails with the planning framework. In particular, the performance framework provides a basis for judging our success in delivering the priorities, plans and actions identified through the planning framework.

Principles

3.2 The performance framework is based on:

- **Measuring**
Measuring performance in ways that provide value
- **Managing**
Operating clear processes for managing performance
- **Monitoring**
Establishing clear pathways for internal/ stakeholder performance monitoring

Measuring Performance

3.3 Measurement is based on ensuring we are delivering the services our residents want to the standard they require by addressing these key performance questions:

- Do we **deliver** our plans?
- Do we **achieve** our targets?
- How does our performance **compare** over time and against other?

3.4 Delivery is measured at the following levels of actions within plans:

- **Improvement Actions**
Actions within plans aimed at achievement of the strategic objectives and, thus, our Priorities
- **Operational Actions**
Actions within plans that are directed towards maintaining current levels of performance in the service/driver areas

3.5 Each Action, and any sub-actions, is the responsibility of an individual so all actions are included in individuals' performance development plans so their contribution can be monitored.

3.6 Achievement of targets is measured through the following levels of performance indicators (PIs):

- **Priority PIs**
The priority PIs measure the direction and extent of travel towards achieving our Priorities
- **Strategic PIs**
The strategic PIs measure the direction and extent of travel towards achieving the service/driver strategic objectives
- **Operational PIs**
The operational PIs measure the direction and extent of travel towards achievement of the operational actions

3.7 Comparisons over time are made by analysing year-on-year performance and we make use of benchmarking to compare our performance, particularly against other ALMOs.

Performance Framework

Managing Performance

3.8 Performance, whether of staff or teams, is one of the key elements of the management of the organisation. As such the management of performance is integral to our management structure and processes. In particular, the line reporting/supervision arrangements are at the core of performance management. For example, individuals are responsible for delivering the Operational Actions and achieving the Operational PI targets. They are supervised by a Manager who supports them to be successful and is ultimately accountable for their performance.

3.9 The management of performance involves addressing under-performance. Where actions are not being delivered or targets are not being achieved it is the responsibility of the relevant manager to address the under-performance, identify and agree remedial actions and manage their implementation. In the example above, part of the role of the Manager is to manage the under-performance of individuals in delivering the Operational Actions or achieving the Operational PI targets.

Monitoring Performance

3.10 The monitoring of performance requires those undertaking the monitoring to assure themselves that performance is being measured and managed. This includes monitoring the management of under-performance. Within the management structure, performance is monitored by the next level of

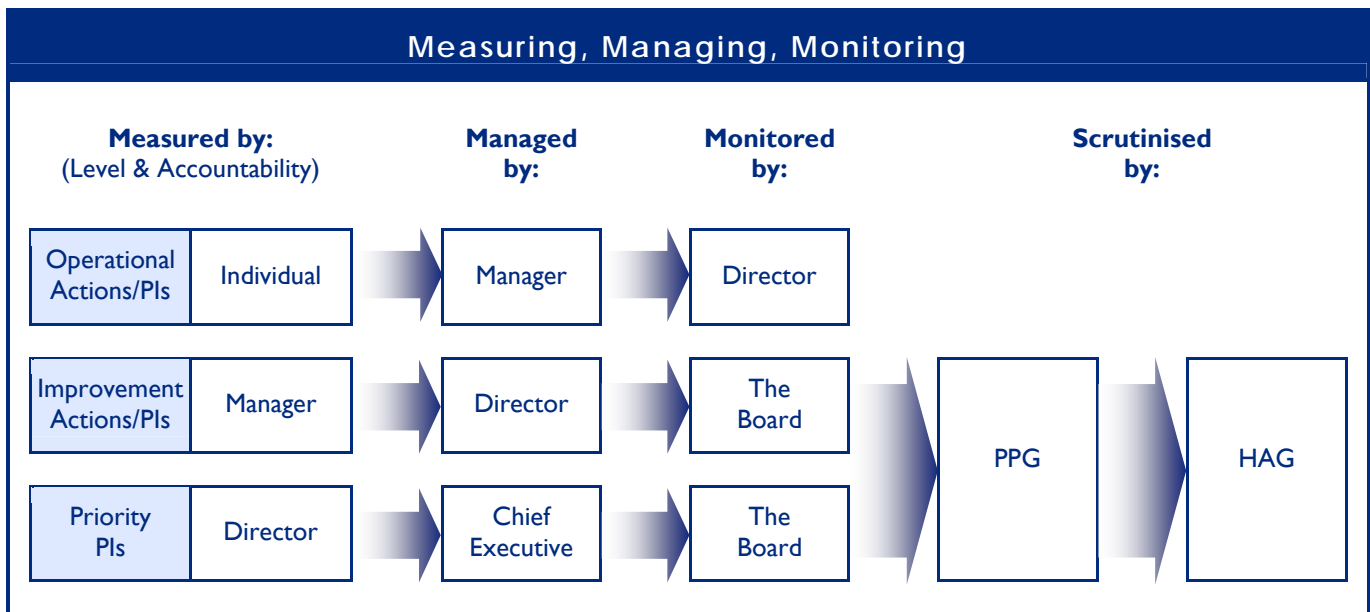
management with performance at the executive level being monitored by the Board at monthly meetings. In the earlier example, a Director monitors the Manager's management of individuals in delivering the Operational Actions and achieving the Operational PI targets.

3.11 In addition, our stakeholders are involved in monitoring and scrutinising our performance in relation to the Service Improvement Plan, the Performance Plan and the Self Assessment through:

- **ALMO Monitoring Group (AMG)** consisting of residents' representatives, Council Officers and SHP Chair and Chief Executive, meeting quarterly and monitoring performance in relation to the Service Improvement Plan and the Performance Plan;
- **Performance & Partnership Group (PPG)** consisting of the Executive and Council Officers, meeting monthly and scrutinising the whole performance process in relation to the Delivery Plan;
- **Housing Advisory Group (HAG)** consisting of Council Members and Officers and the SHP Chief Executive, meeting monthly and scrutinising the effectiveness of the Council's monitoring mechanisms (i.e. the PPG) and paying particular attention to the key performance indicators and balanced scorecard.

3.12 A summary of the performance measuring, managing and monitoring framework is given below.

Performance Framework



Managers Performance Group

3.13 The Managers Performance Group (MPG) is informed by performance in relation to actions and PIs but provides a more rounded view of performance across the organisation.

3.14 Consideration is also given at MPG to benchmarking information. This compares performance locally against other London ALMOs and Boroughs and nationally against all ALMOs and is updated on a quarterly basis.

3.15 MPG has a remit to review overall service performance with a scope that covers the following:

- *Updates* – presentations on service area/driver performance on a rota basis;
- *Spotlights* – presentations on service issues highlighted by performance data;

- *Reviews* – feedback on Process and Service Reviews & identification of future review areas and management;
- *Learning* – feedback on lessons learned and changes resulting from complaints;
- *Drivers* – reporting recent outcomes or issues for the strategic drivers. This includes a quarterly consideration of budget performance.

Planning and Performance

3.16 To ensure a consistent approach the performance framework overlays the planning framework in addressing performance at the Priority, strategic and operational levels.

Performance Cycle

Purpose

4.1 The performance management cycle identifies when the key elements of the performance management framework take place. The performance cycle for 2010-11 is shown overleaf.

Measuring Performance

4.2 The performance management framework identifies Actions, PIs and Benchmarking as the main performance measures. Actions are identified as part of the planning cycle (see page 6).

4.3 At the same point in the cycle that the review of Priority Objectives takes place there is also a review of the Priority PIs. Similarly, when the review and refresh of strategies takes place so does a review of the Strategic PIs. Finally, alongside the drafting and approval of service and driver action plans the most appropriate Operational PIs will be identified.

4.4 The final stage of the cycle for PIs is the setting of the PI targets for the following year. This takes place when all plans have been approved and the most recent performance and benchmark data is available.

4.5 Benchmarking of performance is undertaken against:

- London ALMOs & Boroughs;
- All ALMOs.

4.6 Most PIs are benchmarked on a quarterly basis although for some there is only annual benchmarking available.

4.7 Benchmarking performance is reported quarterly as part of the Balanced Scorecard report.

Managing Performance

4.8 As indicated in the framework, one-to-one line management and supervision provides the main focus for the management of performance and this takes place monthly and is continuous throughout the cycle.

Monitoring Performance

4.9 The main monitoring takes place through the Board, the Housing Advisory Group, the Performance and Partnership Group and the Managers' Performance Group. Each of these groups receives a monthly KPI Tracker report and a quarterly Balance Scorecard report as outlined in section 5 below.

Performance Cycle

The Performance Management Cycle 2011-2012

04-Apr	Board		
11-Apr	MPG		
18-Apr	PPG		
25-Apr	HAG		
02-May	SSIG		
09-May	Management Forum		
16-May	PPG, Board		
23-May	HAG		
30-May			
06-Jun			
13-Jun	PPG		
20-Jun			
27-Jun	HAG		
04-Jul	SSIG		
11-Jul		Priority PIs: 2011-2012 Review 2012-2013 Approval	
18-Jul	PPG, HAG, Board		
25-Jul	Management Forum		
01-Aug			
08-Aug			
15-Aug	PPG		
22-Aug			
29-Aug			
05-Sep	Board, SSIG	Strategic PIs: 2011-2012 Review	
12-Sep	PPG		
19-Sep			
26-Sep	HAG		
03-Oct	Board		
10-Oct			
17-Oct	PPG		
24-Oct	HAG		
31-Oct	Board, Management Forum	Strategic PIs: 2012-2013 Approval	
07-Nov	SSIG		
14-Nov	PPG		
21-Nov	HAG		
28-Nov			
05-Dec	Board		
12-Dec	PPG	Operational PIs: 2011-2012 Review	
19-Dec	HAG		
26-Dec			
02-Jan	SSIG		
09-Jan			
16-Jan	PPG		
23-Jan	Board, HAG, Management Forum		
30-Jan			
06-Feb		Operational PIs: 2012-2013 Approval	
13-Feb	PPG		
20-Feb	HAG	All PIs: 2012-2013 Target Setting	
27-Feb			
06-Mar	Board, SSIG		
13-Mar	PPG		
20-Mar			
27-Mar	HAG		
03-Apr			
10-Apr			

N.B. The 1-2-1 line reporting/supervision elements of the process occur continuously throughout the cycle on a monthly basis

Performance Reporting

Introduction

- 5.1** There are a number of groupings of managers and stakeholders (identified in the performance framework) who regularly meet to monitor performance (identified in the performance cycle). Further, a number of additional groups (e.g. Repairs and Investment Group, Service Improvement Group) will monitor particular aspects of performance relevant to them.
- 5.2** In reporting performance to all of these groups we have identified a reporting system that provides a suitable mix of frequency, depth and relevance.

Key Performance Indicators (KPIs)

- 5.3** Each grouping has identified around 10-12 performance indicators which it regards as most relevant to them. For example, the Board may identify certain indicators that have been a cause for concern and where they want to assure themselves regularly that any action taken is having an impact. Consequently, these KPIs may change during the course of a year as areas for concern change. These KPIs are reported monthly (or at each meeting if the group meets less regularly than that). The Board KPIs for the start of 2011-12 are given below.

SHP Board KPIs as at March 2010	
CUSTOMERS	
CF.SI.07	Proportion of all non-telephone contact responded to within timescales
CF.SI.08	Proportion of Stage 1 complaints responded to within service standard
CF.SI.16	Average time taken to answer inbound calls
FINANCIAL	
IM.SI.01	Rent collected as a proportion of rent owed (excluding arrears)
IM.SI.07	Proportion of current year's leasehold service charges collected
SERVICES	
AM.SI.11	Proportion of right first time repairs
AM.SI.12	Tenant satisfaction with responsive repairs
CC.SI.03	Proportion of 6 week new tenancy visits undertaken
HS.OI.16	Proportion of properties with a valid electrical certificate
OP.SI.01	Proportion of attendance on site within target time (20 minutes) by mobile team
ORGANISATIONAL	
HR.SI.02	Number of working days lost to sickness (average per FTE)

Performance Reporting

Balanced Scorecard

5.4 Since 2009-10 the complete suite of reported performance indicators has been provided as a balanced scorecard on a quarterly basis. The perspectives and elements used in the scorecard in 2011-12 will be:

- Customers
 - Customer Access*
 - Customer Service*
 - Customer Involvement*
 - Customer Diversity;*
- Financial
 - Income Collection*
 - Value for Money;*
- Services
 - Major Works*
 - Planned Maintenance*
 - Responsive Repairs*
 - Aids & Adaptations*
 - Voids & Allocations*
 - External Services*
 - Tenancy Management*
 - ASB*
 - Older People’s Services;*
- Organisation
 - Communications*
 - Finance*
 - HR*
 - ICT*
 - Governance*

5.5 Within each element there will be a number of strategic and PIs that will be individually scored on a quarterly basis. The scoring system will be as follows:

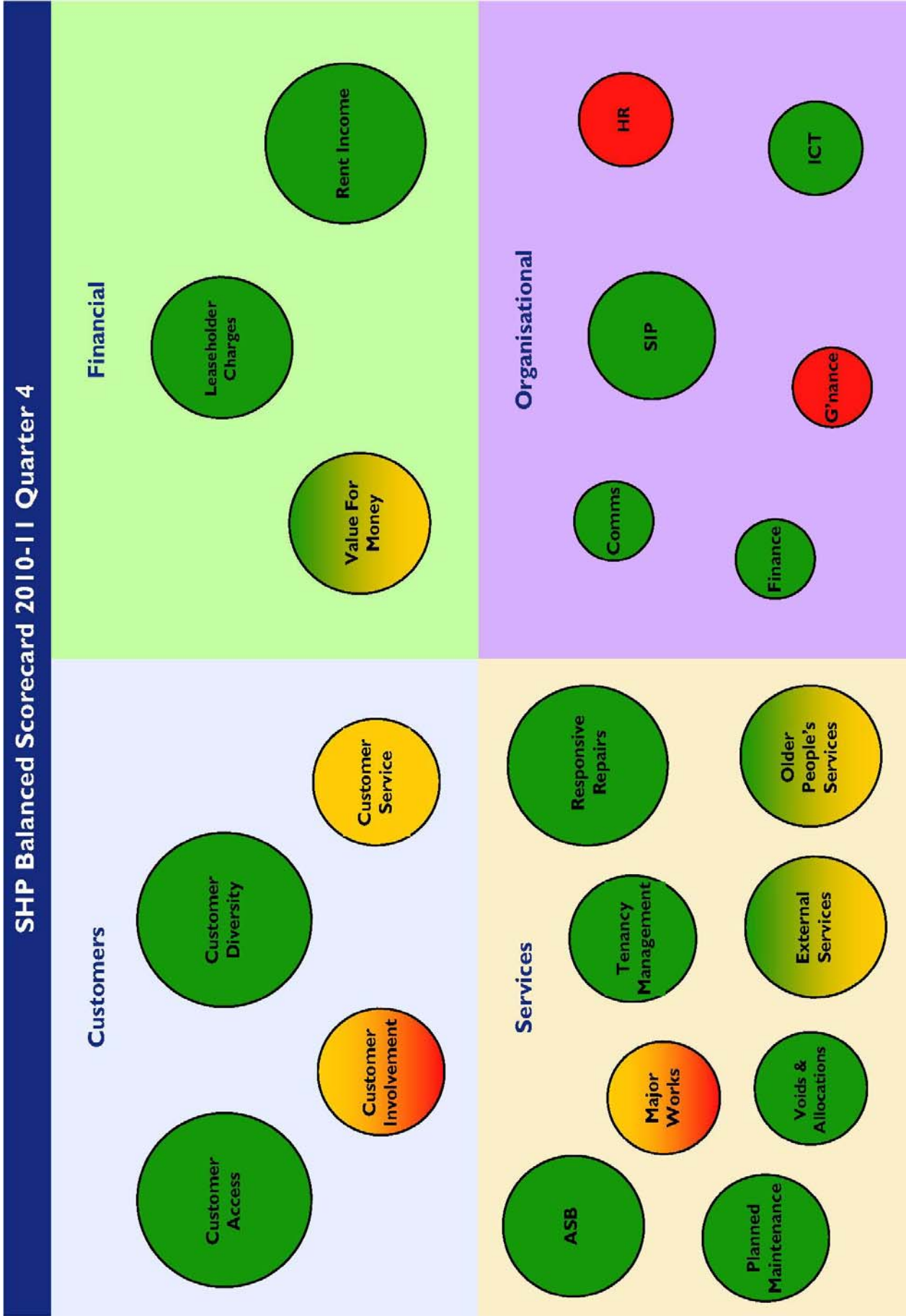
- 3 = performance is at or above target
- 2 = performance is better than 09-10 but not at target
- 1 = performance is worse than 09-10

5.6 The scores for each individual PI within an element are combined to get an average score for the element. Judgements around the average score for each element are based on the following:

3.00 – 2.51	Green
Most PIs are on target with the rest mainly showing improved performance	
2.50 – 2.01	Green/Amber
2.00	Amber
1.99 – 1.51	Amber/Red
In all bands most PIs are showing improved performance. Movement from green/amber through to amber/red shows a decreasing number of indicators hitting target and an increasing number with declining performance	
1.50 – 1.00	Red
Most PIs are showing declining performance	

5.7 The overall quarterly performance is then represented in a single sheet, as shown in the example overleaf. The size of the circle representing each element is based on the number of indicators that have been used to calculate the average score. The more indicators, the larger the circle as the more reflective of the element the average score is likely to be.

Performance Reporting



Performance Reporting

Priority Indicators

5.8 The indicators that are used to assess performance in delivering our priorities are based on the results of key questions in the STATUS survey (with the exception of one PI – the proportion of non-decent homes). As a result they reflect customers’ views on our progress and they are reported annually following the STATUS survey. However, for 2011-12 there is no requirement for the Council to carry out the surveys. Consequently, it has been agreed that SHP will carry out an annual residents’ survey on a rolling basis. This means that all residents will be surveyed once a year but the carrying out of the survey will be spread over the whole year. As a result it will be possible to publish quarterly results for the survey and the associated indicators (although it

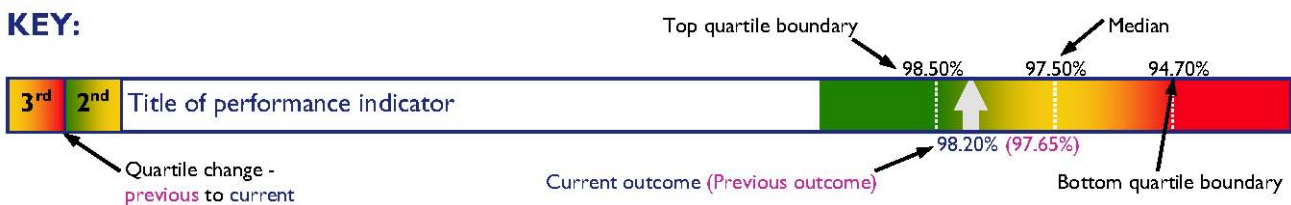
will be the end of 2011-12 before the results reflect the views of all residents). There will be three separate surveys for general needs tenants, sheltered housing tenants and leaseholders.

Benchmarking

5.9 Benchmarking data is given in the Balanced Scorecard report and shows:

- Current performance compared to a year ago;
- When compared with other providers which quartile our performance is in compared to a year ago;
- Where our performance sits on a scale of worst to best performers in the benchmarking group.

5.10 This information is represented in the report as follows:







Putting Customers First
Making Services Accessible To All
Achieving Value For Money
Providing Quality Homes
Creating Safe, Welcoming Neighbourhoods
