

South Lakeland District Council
Audit Committee

Thursday, 21 April 2022

**Review of Performance Management Framework
and Risk Management Process**

Portfolio: Councillor Jonathan Brook - Leader of the Council
Report from: Dan Hudson – Strategy Lead Specialist
Report Author: John Davies – Case Management Support Services
Wards: All Wards
Forward Plan: Not applicable

Links to Council Plan Priorities:

Reviewing key organisational policies supports good performance with all Council Plan Priorities:

Working across boundaries

Delivering a balanced community

A fairer South Lakeland

Addressing the climate emergency

1.0 Expected Outcome and Measures of Success

1.1 This report presents the annual review of the Council's Performance Management Framework and the Risk Management Process

2.0 Recommendation

2.1 It is recommended that Audit Committee:-

(1) note the Performance Management Framework 2022 in appendix 1; and

(2) note the Risk Management Process 2022 in appendix 2

3.0 Background and Proposals

3.1 The Council has an existing Performance Management Framework and Risk Management Process which are reviewed annually. The Council Plan, adopted by Full Council in February 2021 and reviewed February 2022 has been taken into consideration as part of the annual review of these documents.

3.2 The Performance Management Framework describes how the Council monitors its performance and reflects the performance monitoring structures and schedules. The Performance Management Framework 2022 has been aligned with the updated Council Plan and has an accessible format.

3.5 The Risk Management Process describes how the Council identifies and manages operational and strategic level risks. The Risk Management Process 2022 has been reviewed to include reference to the Risk Training Programme - and the 'essential

status' of training for key roles. Also improved clarity regarding positive and negative risks has been provided. The Risk Management Process has an accessible format.

4.0 Appendices Attached to this Report

Appendix No.	Name of Appendix
1	Performance Management Framework 2022
2	Risk Management Process 2022

5.0 Consultation

5.1 Officers have reviewed best practice relating to performance and risk management.

6.0 Alternative Options

6.1 No alternative options recommended – performance and risk policies require regular review as they form an essential element of corporate governance arrangements.

7.0 Implications

Financial, Resources and Procurement

7.1 There are no financial, resources or procurement implications are associated with the reviewed documents.

Human Resources

7.2 There are no resource implications are associated with the reviewed documents.

Legal

7.3 There are no legal implications associated with the reviewed documents.

Health and Sustainability Impact Assessment

7.4 Have you completed a Health and Sustainability Impact Assessment? No

7.5 If you have not completed an Impact Assessment, please explain your reasons:
Reviewing performance management and risk management policies has a positive impact on performance with Council Plan priorities.

7.6 Summary of Health and Sustainability Impacts

		Positive	Neutral	Negative	Unknown
Environment and Health	Greenhouse gases emissions	x			
	Air Quality	x			
	Biodiversity	x			
	Impacts of Climate Change	x			
	Reduced or zero requirement for energy, building space, materials or travel	x			
	Active Travel	x			
Economy and Culture	Inclusive and sustainable development	x			
	Jobs and levels of pay	x			

	Healthier high streets	x			
	Culture, creativity and heritage	x			
Housing and Communities	Standard of housing	x			
	Access to housing	x			
	Crime	x			
	Social connectedness	x			

Equality and Diversity

7.7 Have you completed an Equality Impact Analysis? No

7.8 If you have not completed an Impact Analysis, please explain your reasons:
Reviewing performance management and risk management policies has a positive impact on performance with Council Plan priorities.

7.9 Summary of Equality and Diversity impacts

Please indicate: P = Positive impact; 0 = Neutral; N = Negative; Enter "X"						
Age	P	X	0		N	
Disability	P	X	0		N	
Gender reassignment (transgender)	P	X	0		N	
Marriage & civil partnership	P	X	0		N	
Pregnancy & maternity	P	X	0		N	
Race/ethnicity	P	X	0		N	
Religion or belief	P	X	0		N	
Sex/gender	P	X	0		N	
Sexual orientation	P	X	0		N	
Armed forces families	P	X	0		N	
Rurality	P	X	0		N	
Socio-economic disadvantage	P	x	0		N	

Risk Management	Consequence	Controls required
Not to reviewing performance management and risk management policies	The consequence of not updating policies is to weaken corporate governance arrangements	Policies are updated on an annual basis and approvals sought prior to implementation

Contact Officers

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Background Documents Available

Name of Background document	Where it is available
Council Plan	South Lakeland District Council Website

Tracking Information

Signed off by	Date sent	Date Signed off
Section 151 Officer	22/02/22	07/04/22
Monitoring Officer	22/02/22	07/04/22
CMT	07/04/22	07/04/22

Circulated to	Date sent
Lead Specialist	22/02/22
Human Resources Lead Specialist	22/02/22
Communications Team	22/02/22
Leader	
Committee Chairman	
Portfolio Holder	
Ward Councillor(s)	
Committee	21/04/22
Executive (Cabinet)	
Council	