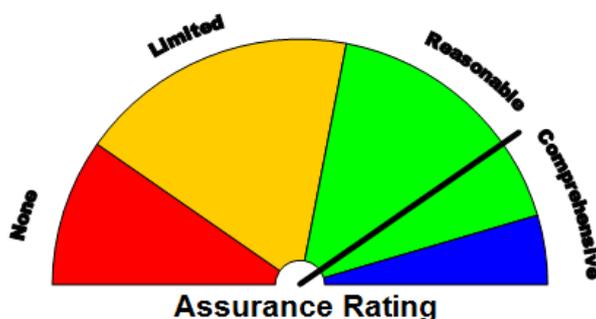




# South Derbyshire DC – Data Quality 2014/15

Final Audit Report



## Our Vision

Through continuous improvement, the central midlands audit partnership will strive to provide cost effective, high quality internal audit services that meet the needs and expectations of all its partners.

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# 1 Executive Summary

## 1.1 Scope of Audit

- 1.1.1 An audit of Data Quality was included in the 2014/15 Audit Plan. The Government require Councils to have effective arrangements in place for the monitoring and review of data quality. This audit is intended to provide assurance to the Council that the system is operating effectively and providing an acceptable level of control in order to satisfy the requirements of the Audit Sub-Committee and External Audit.
- 1.1.2 This audit focused on the performance indicators the Council were required to report during the 2014/15 financial year for monitoring the Council's Corporate Plan. We have undertaken a Self-Assessment of these indicators and incorporated reviews of what are considered to be the highest risk indicators.
- 1.1.3 The following 3 control objectives have been identified as the fundamental requirements of the internal control system, designed by management to mitigate the key risks presented by this subject matter and form the basis of the Self-Assessments and the Performance Indicator Audits:
- The reported performance figures have been accurately calculated.
  - The correct definition and/or guidance has been applied.
  - The systems used for collecting and recording the performance data are adequate and robust.

## 1.2 Summary of Audit Findings

- 1.2.1 Of the Council's 40 Performance Indicators, 15 were considered to be Proxy Measures where there were no tangible systems to review. Accordingly, Self-Assessments have only been undertaken against the remaining 25 indicators. These 25 indicators were being produced from 20 different performance reporting systems. From our evaluation of these 20 processes, we determined that 15 posed a low risk and provided a good level of control. The remaining 5 Self-Assessment returns had demonstrated that, while there were controls in place, indications were that these were not sufficiently robust, the measurement processes for these indicators were considered to present a medium risk of miscalculation or error. None of the Self Assessments evaluated were considered to pose a high risk of miscalculation or error.
- 1.2.2 The Self-Assessment process, in conjunction with the Policy and Communications Team, identified the following 2 indicators as the higher risk performance measures. These Performance Indicators were therefore examined in greater depth:
- LM 05 - Number of cultural activity participants.
  - GM 07 - Speed of planning determinations.
- 1.2.3 The following issues were considered to be the key control weaknesses with the performance indicator 'LM 05 - Number of cultural activity participants':
- The performance figures for quarter 1 in 2014/15 had not been reported to the Housing and Leisure Committee as required.
  - Management checks over the performance figures were not effective and had not been suitably evidenced.
  - Inadequate checks had been undertaken over the gathering of the performance data, which lead to inaccurate performance figures being reported.
- 1.2.4 The following issues were considered to be the key control weaknesses with the performance indicator 'GM 07 - Speed of planning determinations':
- More rigorous management checks are required over the calculation of the performance figures, while the iLap Planning database is awaiting a required system upgrade.

- The definition was not up-to-date and old guidance had been used for calculating the performance figures.
- There was no documented methodology for producing the Speed of Planning Applications performance figures.
- The iLAP Planning Database, required for producing the statutory PS1 and PS2 returns and calculating the performance figure, had not been upgraded as required.

1.2.5 This report focuses on the weaknesses in the Council's systems of control that were highlighted by this audit and recommends what Audit considers to be appropriate control improvements. This report contains 5 recommendations, 2 are considered a low risk, 5 a moderate risk, none a significant risk, and none are considered to be critical risk.

The 7 control issues raised within this report have been accepted and positive action has been agreed to be taken to address all issues. Positive action in respect of 2 recommendations has already been taken, 1 recommendation is due to be implemented by 29<sup>th</sup> May 2015, a further recommendation is due to be addressed by 30<sup>th</sup> June 2015 and the remaining 3 recommendations are due to be implemented by 1<sup>st</sup> July 2015.

### 1.3 Summary of Control Assurance Provided

1.3.1 **Reasonable** - We are able to offer reasonable assurance as most of the areas reviewed were found to be adequately controlled. Generally risks were well managed, but some systems required the introduction or improvement of internal controls to ensure the achievement of objectives.

Management and the Audit Committee should note that there are no adverse implications for the Council's Annual Governance Statement arising from this work.

### 1.4 Distribution & Communication

1.4.1 This report was issued to Keith Bull, Head of Policy and Communications, for comment.

1.4.2 A final version has been issued to Frank McArdle, Chief Executive, with copies to:

- Kevin Stackhouse, Director of Finance and Corporate Services.
- Keith Bull, Head of Policy and Communications.
- Malcolm Roseburgh, Cultural Services Manager.
- Tony Sylvester, Planning Services Manager.

This report was produced by Martin Shipley, Principal Auditor and Mandy Marples, Assistant Audit Manager. Any enquiry concerning the content of this report or associated issues may be made to Martin Shipley, Principal Auditor on (01332) 64 3292.

## 2 Findings & Recommendations

### 2.1 Self-Assessment 2014/15 Results

- 2.1.1 The Performance Indicator Self-Assessment questionnaire was developed to evaluate the way performance indicators were being measured throughout the Council by assessing the effectiveness of the controls in place for calculating each indicator. This was designed to:
- Identify whether key controls over individual indicators were in place.
  - Determine which indicators may require further scrutiny.
- 2.1.2 The questionnaire was designed to emulate the Performance Indicator Audit Programme which has been specifically developed over a number of years to focus on the fundamental requirements of the internal control systems for the measurement and recording of performance data. This programme assessed the 3 main control objectives by focusing on the key controls which were expected to support each objective. The programme had been mapped out to monitor accuracy, validity, reliability, timeliness, relevance and completeness.
- 2.1.3 During 2013/14 (February 2014) we re-assessed the performance indicators identified as high or medium risk during the previous Self-Assessment conducted in 2010/11 (July 2011). This accounted for 16 of the Council's 40 Performance Indicators. It was agreed with the Director of Finance and Corporate Services, that during 2014/15, we would conduct self-assessments of the indicators not assessed last year (excluding those considered to be Proxy Measures where there are no tangible systems to review). There were 15 indicators considered to be Proxy measures within the Corporate Plan, which left 9 indicators for Self-Assessment.
- 2.1.4 We have used the same questionnaire that was used for the 2013/14 Self-Assessment process to enable us to compare the results for all of the Council's Performance Indicators equally. A copy of the revised Self-Assessment form has been included in [Appendix A](#).
- 2.1.5 Copies of this Self-Assessment form were issued to the Managers Responsible for the 9 indicators selected for review. The Policy Officer collated the responses and forwarded them to Internal Audit for evaluation. 9 Self-Assessment forms were received back, one for each indicator, to be evaluated in conjunction with the Self-Assessment forms from 2013/14. 11 Self-Assessment forms were received back in 2013/14, representing the different systems used for calculating 16 of the Council's Performance Indicators. No information was sought with respect to the 15 indicators considered to be Proxy Measures.
- 2.1.6 The data returned from the Self-Assessments can be seen in its raw format in the individual question breakdowns as per [Appendix D](#). Each questionnaire has then been logic checked by audit, based on our past experience and knowledge of the indicators and consideration has been given to the additional comments provided by the Indicator Owners and the Collecting Officers. This ensures a consistent interpretation and score has been applied to each Self-Assessment. This cleansed data has subsequently been imported into the Performance Indicator Database to analyse and evaluate the results to identify where controls over the measurement of performance indicators were in operation or where they were potentially weak.
- 2.1.7 From the 20 Self-Assessments, 15 of the reporting systems were evaluated as low risk, as their answers to the Self-Assessments questions demonstrated that:
- Suitable controls were in place to ensure the completeness and accuracy of the collection of data.
  - The supporting documentation was complete.
  - The calculation of the performance figure was in line with the required definition and/or local agreements.
- 2.1.8 Accordingly, it was considered that the systems of control in relation to these 15 indicators provided a good level of control and that the Council could place a reasonable level of assurance on the performance measurement systems in place.

- 2.1.9 The remaining 5 Self-Assessment returns had demonstrated that, whilst there were controls in place, there were indications e that these were not sufficiently robust and did not meet the required level of control. The measurement processes for the following indicators were considered to present a medium risk of miscalculation or error:
- LM 05 - Number of cultural activity participants.
  - SM 09 - Effectiveness of Local Authority actions to reduce the effects of fly tipping.
  - GM 07 - Speed of planning determinations.
  - LM 08 - Reduction in energy consumption from the Council's own operational centres.
  - LM 02 - Number of Leisure Centre participants.
- 2.1.10 None of the Self Assessments evaluated were considered to pose a high risk of miscalculation or error in the processes for measurement of performance.
- 2.1.11 We met with the Policy and Communications Team to discuss our findings and identify which of the 'Medium Risk' reporting systems would benefit from a specific indicator audit. 'LM 08 - Reduction in energy consumption from the Council's own operational centres' had been the subject of a specific indicator audit during 2013/14 and 5 recommendations for improvements had been implemented since the last Self-Assessment had been conducted, this indicator was therefore excluded from these discussions. From the remaining 4 indicators, the following were selected to be subject to further review during 2014/15:
- LM 05 - Number of cultural activity participants.
  - GM 07 - Speed of planning determinations.
- 2.1.12 For a more detailed view of our findings, please refer to [Appendix B](#) and [Appendix C](#) for the statistical reports of the Self-Assessment process.

## 2.2 LM 05 - Number of Cultural Activity Participants

- 2.2.1 The Self-Assessment process, in conjunction with the Policy and Communications Team, identified 'LM 05 - Number of Cultural Activity Participants' as one of the higher risk indicators, this indicator was therefore subject to further review. The detailed findings follow:

Control Objectives Examined	No of Controls Evaluated	No of Adequate Controls	No of Partial Controls	No of Weak Controls
The reported performance figures have been accurately calculated	2	0	0	2
The correct definition and/or guidance has been applied	5	5	0	0
The systems used for collecting and recording the performance data are adequate and robust	7	4	1	2
<b>TOTALS</b>	<b>14</b>	<b>9</b>	<b>1</b>	<b>4</b>

- 2.2.2 We expected that the performance figures held and reported to Committee by the Policy & Communications Team would be consistent with the supporting documentation held by the Compiling Officer.

We found that the performance figures for Quarter 1 in 2014/15 had not been reported to the Housing and Leisure Committee as required. These figures had been prepared and submitted to the Policy & Communications Team, but they were missed off the relevant appendix when the performance figures were reported.

If the performance figures are not reported as required, there is a risk that senior management and/or Councillor's may act on inadequate information which could lead to poor decision making and reputational damage.

Recommendation 1	Summary Response
<p><b>Risk Rating:</b> Moderate Risk</p> <p><b>Summary of Weakness:</b> The performance figures for Quarter 1 in 2014/15 had not been reported to the Housing and Leisure Committee as required.</p> <p><b>Suggested Actions:</b> We recommend that the performance figures for Quarter 1 be added to the Quarter 4 performance figures when these are reported to the Policy &amp; Communications Team. A suitable explanation should also be provided in the Comments section of the Committee papers, to explain the reason why and identify the respective Quarter 1 and 4 totals which make up the overall figure.</p>	<p><b>Responsible Officer:</b> Malcolm Roseburgh</p> <p><b>Issue Accepted</b></p> <p><b>Agreed Actions:</b> Action as recommended. To be actioned by Rachel Holmes</p> <p><b>Implementation Date:</b> 01/07/2015</p>

2.2.3 We expected that the performance figures would be subject to scrutiny from departmental managers and that the Indicator Owner would check and authorise the performance figures.

We found that reasonableness checks were being undertaken by the Cultural Services Manager in his capacity as the Indicator Owner and that actions were being taken to address identified issues or the underlining reasons for poor performance. However, these checks have not flagged more serious issues that existed with the compilation of data and generation of the performance figure (these have been covered at Section 2.2.6) and were not being evidenced within the performance process.

If management checks have not identified issues that existed concerning the generation of the performance figures and/or provided evidence of the checking process, there is an increased risk of inaccurate performance figures being reported.

Recommendation 2	Summary Response
<p><b>Risk Rating:</b> Moderate Risk</p> <p><b>Summary of Weakness:</b> Management checks over the performance figures were not effective and had not been suitably evidenced.</p> <p><b>Suggested Actions:</b> We recommend that the Cultural Services Manager reviews the working documents used by the Events &amp; Marketing Officer for compiling the performance figures as part of his reasonableness checks. This is not the source data gathered by this officer, merely their compilation of the performance figures from this data. This review should ensure that the checks conducted by the Events &amp; Marketing Officer have been effective and that all the expected areas of cultural activity had been included. Checks conducted and/or corrective actions taken should be evidenced through an exchange of e-mails between the Events &amp; Marketing Officer and the Cultural Services Manager and held electronically on the performance folder.</p>	<p><b>Responsible Officer:</b> Malcolm Roseburgh</p> <p><b>Issue Accepted</b></p> <p><b>Agreed Actions:</b> Action as recommended.</p> <p><b>Implementation Date:</b> 01/07/2015</p>

2.2.4 We attempted to establish whether the Council's system of control for ensuring the correct definition and guidance has been applied, contained all the key controls expected of a sound and robust process. Through a combination of control evaluation and testing we confirmed that the following adequate controls were in operation:

- The indicator had a suitable Methodology Statement in place which described the information required for generating the performance figure.
- The requirements of the Methodology Statement had been correctly interpreted for the collection and recording of performance data and generating the performance figure.
- The indicator was being calculated quarterly in line with the requirements of the Methodology Statement.

- The indicator was being reported as a whole number in line with the requirements of the Methodology Statement.

2.2.5 We attempted to establish whether the Council's system of control for the collection and recording of performance data contained all the key controls expected of a sound and robust process. Through a combination of control evaluation and testing we confirmed that the following adequate control was in operation:

- Source data had been consistently collected and recorded to evidence attendance at the respective events, in the form of registers, booking forms, etc.
- Information concerning adult dance classes also contributed towards the Number of Sport Physical Activity & Health Development Participations indicator. Where there indicators overlapped, both sections were using the same source data to ensure a consistent approach.
- The working procedure for calculating the performance indicator had been recorded in the Summary of Measurement section within the Methodology Statement.
- Performance related documents were being securely held in the Cultural Services office, which was located behind the Council's security doors. Electronic information was retained on the restricted access departmental drive within a specific performance related folder.

2.2.6 We expected that the reported performance figures would be consistent with source documents and that accuracy and completeness checks would have been undertaken over the supporting evidence.

We found that this indicator recorded the numbers in attendance at Dance Sessions, Pergamano Classes (paper creations) and audience numbers at 'The Glade' outdoor theatre (Rosliston Forestry Centre). We reviewed the available evidence for Quarter 3 in 2014/15 and found the following:

- Not all registers had been totalled and/or signed by the Dance Tutors and some registers had crossing outs and amendments on them which had not been initialled.
- When the figures had been collated from the children's dance classes, one of the registers had been missed, leaving the overall figure for these classes 36 short.
- When the figures had been collated from the adult dance classes, four registers had been missed, leaving the overall figure for these classes 52 short.
- The formula in the Dance spreadsheet was incorrect and performance from the first week in Quarter 3 had not been included, leaving the overall figure 125 short.
- Dance classes held at Bank House should not have been recorded against this indicator, as they had been held under private arrangements, which increased the overall figure by 71.
- Registers could not be provided to substantiate the figures from the Hilton dance classes, this equated to 313 attendances that could not be validated.
- The Pergamano register had not been signed and/or totalled by the Tutor.
- The Pergamano class was a 12 week course which commenced 3 weeks prior to the start of Quarter 3. Attendance for these 3 weeks should have been recorded against Quarter 2. This increased the overall figure by 15.
- Attendance at the Halloween walks, held at the Glade, had been incorrectly totalled, increasing the overall figure by a single attendance.

We are therefore unable to provide assurance over the validity of the reported performance figures.

If inadequate checks have been undertaken over the gathering of the performance data, leading to inaccurate figures being reported, there is an increased risk that senior management and/or Councillor's may take decisions based on incorrect information which could lead to reputational damage.

Recommendation 3	Summary Response
<p><b>Risk Rating:</b> Moderate Risk</p> <p><b>Summary of Weakness:</b> Inadequate checks had been undertaken over the gathering of the performance data, which lead to inaccurate performance figures being reported.</p> <p><b>Suggested Actions:</b> We recommend that the Events &amp; Marketing Officer (Compiling Officer) liaise with the various parties responsible for completing registers, or other documentary evidence, to arrange for them to 'total' the attendance and sign and date the evidence. Any crossing outs or amendments to these documents should be initialled by the person responsible for making the change. The Events &amp; Marketing Officer should also undertake the following to ensure data integrity:</p> <ul style="list-style-type: none"> <li>• Check that registers and/or documented evidence have been provided for all expected periods.</li> <li>• Check that formula in any spreadsheet utilised has been double checked to ensure that all required data has been correctly totalled.</li> </ul> <p>The role of the Events &amp; Marketing Officer should therefore become more of a reviewing and checking role over the source data, rather than being involved in the detail, which should provide for greater assurance over the performance figures.</p>	<p><b>Responsible Officer:</b> Malcolm Roseburgh</p> <p><b>Issue Accepted</b></p> <p><b>Agreed Actions:</b> Action as recommended. To be actioned by Rachel Holmes</p> <p><b>Implementation Date:</b> 01/07/2015</p>

## 2.3 GM 07 - Speed of Planning Determinations

2.3.1 The Self-Assessment process, in conjunction with the Policy and Communications Team, identified 'GM 07 - Speed of Planning Determinations' as one of the higher risk indicators, this indicator was therefore subject to further review. The detailed findings follow:

Control Objectives Examined	No of Controls Evaluated	No of Adequate Controls	No of Partial Controls	No of Weak Controls
The reported performance figures have been accurately calculated.	3	1	0	2
The correct definition and/or guidance has been applied.	5	2	1	2
The systems used for collecting and recording the performance data are adequate and robust.	7	5	0	2
<b>TOTALS</b>	<b>15</b>	<b>8</b>	<b>1</b>	<b>6</b>

2.3.2 We attempted to establish whether the Council's system of control for ensuring the performance figures have been accurately calculated contained all the key controls expected of a sound and robust process. Through a combination of control evaluation and testing we confirmed that the following adequate control was in operation:

- Satisfactory evidence had been retained by the Compiling Officer to support the reported performance figures, although there were slight anomalies arising from the need to manually adjust data during the calculation process (this issue has been dealt with later in this report).

2.3.3 We expected that the performance figures would be subject to scrutiny from departmental managers and that the Indicator Owner would check the performance figures.

We found that the Planning Services Manager conducted a light touch review of the quarterly performance figures, produced by the Performance & Admin Manager, before they were reported within the Council. We would have ordinarily be satisfied with this process due to both officers being involved with the reporting of the statutory PS1 and PS2 returns, which provided the source data for this performance indicator. However, there was an outstanding system upgrade required to the iLap Planning database (the system used for generating the PS1 and PS2 returns) which meant that manual intervention was required to identify the required statistical information (This has been covered at Section 2.3.8). Due to this, we feel that a more rigorous checking process is required in the interim period until this system upgrade has taken place.

If the performance figures are not being rigorously checked by the Indicator Owner there is an increased risk that inconsistencies in the performance data may not be flagged which could lead to incorrect performance figures being reported.

Recommendation 4	Summary Response
<p><b>Risk Rating:</b> Moderate Risk</p> <p><b>Summary of Weakness:</b> More rigorous management checks are required over the calculation of the performance figures, while the iLap Planning database is awaiting a required system upgrade.</p> <p><b>Suggested Actions:</b> We recommend that, until the required upgrade has been undertaken on the iLap Planning Database, the Planning Services Manager undertake checks of the working papers produced by the Performance &amp; Admin Manager. These checks should ensure that the manual adjustments made to the data categories have been conducted in line with the latest guidance, concerning the PS1 and PS2 statutory returns. Any issues identified or corrections made should be clearly annotated on the working papers and the document(s) should be signed and dated by the Planning Services Manager to evidence the checks undertaken.</p>	<p><b>Responsible Officer:</b> Tony Sylvester</p> <p><b>Issue Accepted</b></p> <p><b>Agreed Actions:</b> I would agree that this would have been a suitable action to take. However, since the audit Northgate (our software suppliers) have installed the latest version of the software which accurately calculates all of the classes/categories of development and also accounts for PPAs and other agreed extensions of time.</p> <p>As such I would suggest that this concern has been superseded by events.</p> <p><b>Implementation Date:</b> 15/05/2015</p>

2.3.4 We attempted to establish whether the Council's system of control for ensuring the correct definition and guidance has been applied, contained all the key controls expected of a sound and robust process. Through a combination of control evaluation and testing we confirmed that the following adequate controls were in operation:

- The performance figures were being reported quarterly in line with the requirements of the definition.
- The performance figures were being reported as a percentage in line with the requirements of the definition.

2.3.5 We expected that the most recent guidance would be used in the compilation of the performance figures and that the requirements would have been accurately interpreted.

We found that a formal definition had been agreed for the Speed of Planning Determinations to measure the percentage of applications processed in line with the statutory timescales required for the quarterly PS1 and PS2 returns to Government Office. However, changes were made to the requirements of these returns in March 2014, with further clarifications in July 2014, which amongst other things, changed the way formal extensions of time were recorded and dealt with. Subsequently, the definition for this performance indicator also required updating, as applications that may have been outside the standard timeframe, but within a permitted extension, could now be classed as being determined within the required timeframe. We further noted that, although the definition stated that the performance figures should be reported to 2 decimal places, Quarter 2 and 3 had been calculated and reported to whole numbers during 2014/15. We therefore question whether this level of accuracy is actually required or whether whole number reporting would be adequate.

If the definition is not up-to-date and old guidance is being used for calculating performance indicators, there is a risk that the performance figures may not be reporting the information management perceives them to be and/or there could be errors with the interpretation of the data.

Recommendation 5	Summary Response
<p><b>Risk Rating:</b> Low Risk</p> <p><b>Summary of Weakness:</b> The definition of the Speed of Planning Applications indicator was not up-to-date and old guidance had been used for calculating the performance figures.</p> <p><b>Suggested Actions:</b> We recommend that the Planning Services Manager update the definition for the Speed of Planning Applications indicator to incorporate the new requirements concerning formal extensions of time. This update should be communicated to the Planning and Communications Team in readiness for the 2015/16 financial year. The reporting of performance figures to 2 decimal places should also be reviewed to determine whether this level of accuracy is actually required. If so, then the performance figures should be reported to the correct number of decimal places, otherwise, the definition should be updated accordingly.</p>	<p><b>Responsible Officer:</b> Tony Sylvester</p> <p><b>Issue Accepted</b></p> <p><b>Agreed Actions:</b> The new definition has been updated for the service plan/KPIs in the corporate plan.</p> <p>Reporting will be undertaken utilising the new version of the planning software as reported in my answer to Recommendation 4.</p> <p><b>Implementation Date:</b> 29/05/2015</p>

2.3.6 We attempted to establish whether the Council's system of control for the collection and recording of performance data contained all the key controls expected of a sound and robust process. Through a combination of control evaluation and testing we confirmed that the following adequate controls were in operation:

- Details concerning Planning Applications were being recorded in the iLap Planning database for managing the applications and recording progression against the statutory processes. The recording of data was consistent and provided for an adequate audit trail.
- Adequate working papers had been retained to demonstrate the calculation process and how the performance figures had been derived.
- Information recorded in the statutory PS1 and PS2 returns for Government Office was consistent with the performance figures reported within the Council for Quarter 1 to Quarter 3 during the 2014/15 financial year.
- The Performance & Admin Manager was undertaking rudimentary checks of the source data used for generating the performance figures on a quarterly basis prior to running the system generated PS1 and PS2 reports used for statutory reporting.
- Checks over the input of source data were being performed by the Principal Area Planning Officers / Planning Services Manager during the review of each planning application prior to issuing the formal Decision Notice.
- The iLap Planning database was password protected with varying access levels dependent on seniority and operational requirements.

2.3.7 We expected that there would be a documented methodology in place for collecting and recording the performance data and calculating the performance figure.

We found that although the Planning Services Manager and the Performance & Admin Manager knew how to generate the reports required to calculate the performance figures, there was no documented methodology in place to explain the process.

If a documented methodology has not been prepared to explain the required process for producing the performance figures, information could be incorrectly gathered and/or processed inconsistently which could adversely affect the calculation process.

Recommendation 6	Summary Response
<p><b>Risk Rating:</b> Low Risk</p> <p><b>Summary of Weakness:</b> There was no documented methodology for producing the Speed of Planning Applications performance figures.</p> <p><b>Suggested Actions:</b> We recommend that the Performance &amp; Admin Manager produce a flow charted or bulleted process to document the procedure for calculating the performance figures, in conjunction with the Planning Services Manager. These instructions should be made available within the section to ensure that the required performance figures can be calculated should these officers be unavailable.</p>	<p><b>Responsible Officer:</b> Tony Sylvester</p> <p><b>Issue Accepted</b></p> <p><b>Agreed Actions:</b> Agreed. This will show other officers how to run the report on the new version of the planning software.</p> <p><b>Implementation Date:</b> 30/06/2015</p>

2.3.8 We expected that the amount of manual manipulation of the performance data in order to arrive at the performance figures would be kept to a minimum or eliminated altogether.

We found that there were standard reports within the iLap Planning database which generated the data required for the statutory PS1 and PS2 returns and the subsequent performance figures. The database required updating by the software developer following any changes to the statutory return requirements by DCLG. The iLAP Planning Database was supported by Northgate, as both the software developer and as the supplier of the Council's IT Support Service, under the local arrangements. However, there has been an issue between Northgate and the Council in arranging for the necessary upgrade to take place, which has still to be undertaken. This has delayed the upgrade and resulted in the requirement of manual intervention in order to identify the data required for the PS1 and PS2 returns and therefore calculate the subsequent performance figures. Due to this manual intervention, some minor errors have occurred with respect to the interpretation of data and the required calculations. We have not sought to quantify these errors due to the small margins involved and the materiality to the overall figures being reported. We have however noted that the additional work required by the section has been significant while waiting for this upgrade.

If manual intervention is required to identify the performance related information from the iLap Planning database, the integrity of data may not be maintained throughout the process, leading to an increased risk of error which could result in the performance figures being incorrectly reported.

Recommendation 7	Summary Response
<p><b>Risk Rating:</b> Moderate Risk</p> <p><b>Summary of Weakness:</b> The iLAP Planning Database, required for producing the statutory PS1 and PS2 returns and calculating the performance figure, had not been upgraded as required.</p> <p><b>Suggested Actions:</b> We recommend that the Planning Services Manager make further representation to Northgate Public Services to resolve the on-going deadlock which has delayed the upgrade to the iLap Planning database in order to force a resolution as soon as is practically possible. This upgrade is necessary to eliminate the on-going requirement to manually amend data in order to produce the statutory PS1 and PS2 returns and calculate the subsequent Speed of Planning Applications performance figures.</p>	<p><b>Responsible Officer:</b> Tony Sylvester</p> <p><b>Issue Accepted</b></p> <p><b>Agreed Actions:</b> This action has since been completed in that, since the audit Northgate (our software suppliers) have installed the latest version of the software which accurately calculates all of the classes/categories of development and also accounts for PPAs and other agreed extensions of time.</p> <p>As such I would suggest that this concern has been superseded by events.</p> <p><b>Implementation Date:</b> 15/05/2015</p>

### 3 Appendices

#### 3.1 Appendix A – Self Assessment Form

**SDDC Performance Indicator & Data Quality 2014/15 Self Assessment**

Good data quality is vital to support effective decision making at all levels. We are sending this questionnaire to all officers responsible for producing performance indicators to review the accuracy and completeness of performance information as part of our data quality arrangements.

Your completion of this questionnaire is important for us to gain assurance that South Derbyshire District Council is effectively reporting performance and will determine which indicators should be audited - non-return may require audit to prioritise those areas.

The Performance Indicator(s) and the names of the Indicator Owners and Collecting Officers have been pre-entered for your convenience, should these be incorrect please amend them accordingly. If you have any questions while completing this survey, please contact John Porter on (01283) 59 5780, for help and advice.

**Performance Indicator:**

**Indicator Owner:**

**Collecting Officer:**

The 'Filter Question' should be answered either 'Yes', 'Partly' or 'No' from the drop down box. If the answer is 'Yes' please provide as much detail as you can about the compilation of the performance indicator and the Government appointed agency(s) involved, there is no need to complete the remainder of the survey. If the answer is either 'No' or 'Partly' please complete sections A to C.

Filter Question	Response	If answered 'Yes' Provide Details
Is the performance data collected and processed by a Government appointed agency, on behalf of <i>all</i> Councils, where the Council has no control over the performance figure(s) supplied?	<input style="width: 50px; height: 30px;" type="text"/>	<input style="width: 250px; height: 80px;" type="text"/>

Each question thereafter should be answered either 'Yes', 'Partly', 'No', 'N/A' or 'Don't Know' from the drop down box, ensuring that the information provided is as accurate as possible. Please provide focused commentary in the comments box in order to clarify your response.

Calculation of Performance Figures	Response	Comments
<b>A1</b> Are performance figures held centrally by the Policy & Communications Team consistent with supporting documentation held by the Collecting Officer, i.e. system reports, screen prints, etc?	<input style="width: 50px; height: 30px;" type="text"/>	<input style="width: 250px; height: 40px;" type="text"/>
<b>A2.1</b> Are independent checks conducted by the Indicator Owner on the accuracy of calculations, i.e. rudimentary checks of arithmetic, etc?	<input style="width: 50px; height: 30px;" type="text"/>	<input style="width: 250px; height: 40px;" type="text"/>
<b>A2.2</b> If spreadsheets are used to calculate performance, have checks been conducted of spreadsheet formula by an independent officer?	<input style="width: 50px; height: 30px;" type="text"/>	<input style="width: 250px; height: 40px;" type="text"/>
<b>A3</b> Does the Indicator Owner check and sign off or verify the performance figures before they are submitted?	<input style="width: 50px; height: 30px;" type="text"/>	<input style="width: 250px; height: 40px;" type="text"/>
<b>Application of Performance Indicator Guidelines and/or Definition</b>		
<b>B1</b> Has a local definition been formally agreed for this indicator with the Policy & Communications Team which outlines the method of data collection, required calculations and reporting protocols?	<input style="width: 50px; height: 30px;" type="text"/>	<input style="width: 250px; height: 40px;" type="text"/>

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<p><b>B2</b> Are you confident that the collection of performance data and calculations are consistent with the local definition and/or those formally agreed with the Policy &amp; Communications Team?</p>		
<p><b>B3</b> Is the measurement period of the indicator consistent with the local definition and/or that agreed with the Policy &amp; Communications Team, i.e. quarterly, annually, etc?</p>		
<p><b>B4</b> Is performance reported in a format consistent with the local definition and/or that agreed with the Policy &amp; Communications Team, i.e. number, percentage?</p>		
<p><b>B5</b> Is the performance figure reported to a required number of decimal places, as per the local definition and/or that agreed with the Policy &amp; Communications Team?</p>		
<p><b>Data Collection and Recording Systems</b></p>		
<p><b>C1</b> Has performance data been collected and recorded consistently and can this be evidenced through a clear adequate audit trail?</p>		
<p><b>C2.1</b> Have working papers been retained and/or are system reports retrievable to show all calculations conducted in the production of the performance figure?</p>		
<p><b>C2.2</b> Is reported performance consistent with the information held on source documents (data collection records) and/or system reports are retrievable in order to demonstrate this?</p>		
<p><b>C2.3</b> If data is used from an external source, has evidence been retained to demonstrate that third party data has been validated in line with the agreed terms and conditions?</p>		
<p><b>C3</b> Is reported performance checked for consistency against other departmental returns, such as final accounts, departmental management figures, etc?</p>		
<p><b>C4</b> Is there a documented methodology in place for collecting and recording the performance data and calculating the performance figure?</p>		
<p><b>C5.1</b> Is the amount of manual manipulation of the performance data, in order to arrive at the performance figure, kept to a minimum?</p>		
<p><b>C5.2</b> Is the amount of manual manipulation of the performance data, in order to arrive at the performance figure, eliminated altogether?</p>		
<p><b>C6</b> Are any accuracy and completeness checks undertaken on the performance data entered onto electronic systems?</p>		
<p><b>C7.1</b> Are IT systems holding performance data secure, i.e. password protected, restricted access?</p>		
<p><b>C7.2</b> Are documents where performance data is recorded securely held, i.e. locked away when not in use?</p>		
<p><b>C8</b> If data is based on a sample, has evidence been retained to demonstrate how the data was derived and that the sample is representative?</p>		
<p><b>What to do next...</b></p>		
<p>Please return your completed questionnaire to: <a href="mailto:john.porter@northgate-is.com">john.porter@northgate-is.com</a></p>		
<p>Page 2 of 2</p>		

## 3.2 Appendix B – Self Assessment Final Scores

Performance Indicator	Final Overall Score
LM 02 Nr of leisure centre participants	156
LM 08 - Reduction in energy consumption from the Councils own operational centres	145
GM 07 Speed of Planning Applications	143
SM 09 Effectiveness of local authority actions to reduce fly tipping	140
LM 05 - Nr of cultural partipants	140
LM 07 - Average SAP (2009) rating of Council dwellings	134
SM 16 Improved street & environmental cleanliness	131
VM 06 %age os satisfied customers contacting or dealing with the Council	130
LM 06 - Nr of environmental learning activity participants	127
SM 01 - Nr of homes vacant for more than 6 months	126
SM 14 (SM 15) - Increase (Reduce) the proportion of premises that meet the Food Hygiene Scheme r	121
SM 10 - Reduce the number of Anti Social Behaviour (ASB) calls to service /SM 11 - Number of acq	120
SM17 – Effectiveness of local authority actions to combat noise and environmental nuisance	119
LM 03 /LM 04 - Number of sport, physical activity & health development/ playscheme participation	117
GM 11 - Satisfaction with the planning application process	115
SM 12 /SM13 - Reduce the proportion of people who feel unsafe when - outside in their neighbourhood	113
GM 05 -Residual waste per household (Kgs) / GM 06 - Proportion of household waste recycled and c	113
GM 07 - Net additional commercial / employment floor space created (Proxy measure)	112
SM 04 - Proportion of repairs carried out 'first time' by the Council's Direct Labour Organisation	109
SM 03 - Average time (in working days) taken to re-let Council homes	107
<b>Average</b>	<b>126</b>

## 3.3 Appendix C – Self Assessment Section Totals

Performance Indicator	Compiling Officer	Final Overall	Section A Total	Section B Total	Section C Total
LM 02 Nr of leisure centre participants	cultural services manager	156	34	18	104
LM 08 - Reduction in energy consumption from the Councils own operational centres	Tom Gunton	145	51	18	76
GM 07 Speed of Planning Applications	Performance & Administr	143	44	18	81
SM 09 Effectiveness of local authority actions to reduce fly tipping	Safer Neighbourhood Wa	140	43	18	79
LM 05 - Nr of cultural partipants	Events and Marketing Of	140	38	18	84
LM 07 - Average SAP (2009) rating of Council dwellings	Improvement Manager -	134	39	18	77
SM 16 Improved street & environmental cleanliness	Business & Recycling M	131	42	18	71
VM 06 %age os satisfied customers contacting or dealing with the Council	Customer Services Mana	130	42	18	70
LM 06 - Nr of environmental learning activity participants	Environmental Developm	127	31	25	71
SM 01 - Nr of homes vacant for more than 6 months	Strategic Housing Maang	126	36	18	72
SM 14 (SM 15) - Increase (Reduce) the proportion of premises that meet the Food Hygiene Sch	Matt Holford	121	28	18	75
SM 10 - Reduce the number of Anti Social Behaviour (ASB) calls to service /SM 11 - Number o	Sally Wiggington	120	28	18	74
SM17 – Effectiveness of local authority actions to combat noise and environmental nuisance	Leah Reed	119	28	18	73
LM 03 /LM 04 - Number of sport, physical activity & health development/ playscheme particip	Sport & Health Team	117	36	18	63
GM 11 - Satisfaction with the planning application process	Helen Frazer	115	28	22	65
SM 12 /SM13 - Reduce the proportion of people who feel unsafe when - outside in their neighbo	Sally Wiggington	113	28	18	67
GM 05 -Residual waste per household (Kgs) / GM 06 - Proportion of household waste recycled	G Coates	113	28	18	67
GM 07 - Net additional commercial / employment floor space created (Proxy measure)	Richard Groves	112	28	18	66
SM 04 - Proportion of repairs carried out 'first time' by the Council's Direct Labour Organisation	Housing DLO Admin Ass	109	28	18	63
SM 03 - Average time (in working days) taken to re-let Council homes	Vicky Robb	107	28	18	61
	<b>Average:</b>	<b>126</b>	<b>34</b>	<b>19</b>	<b>73</b>

## 3.4 Appendix D – Section A to C Individual Question Breakdown

Performance Indicator	A1	A2-1	A2-2	A3	
GM 05 -Residual waste per household (Kgs) / GM 06 - Proportion of household waste recycled and composted	1	1	1	1	
GM 07 - Net additional commercial / employment floor space created (Proxy measure)	1	1	1	1	
GM 07 Speed of Planning Applications	1	1	1	3	
GM 11 - Satisfaction with the planning application process	1	1	1	1	
LM 02 Nr of leisure centre participants	1	1	2	1	
LM 03 / LM 04 - Number of sport, physical activity & health development/ playscheme participations	3	1	1	1	
LM 05 - Nr of cultural partipants	1	2	1	1	
LM 06 - Nr of environmental learning activity participants	1	1	1	2	
LM 07 - Average SAP (2009) rating of Council dwellings	1	2	1	3	
LM 08 - Reduction in energy consumption from the Councils own operational centres	2	2	3	1	
SM 01 - Nr of homes vacant for more than 6 months	1	1	1	1	
SM 03 - Average time (in working days) taken to re-let Council homes	1	1	1	1	
SM 04 - Proportion of repairs carried out 'first time' by the Council's Direct Labour Organisation	1	1	1	1	
SM 09 Effectiveness of local authority actions to reduce fly tipping	1	1	3	1	
SM 10 - Reduce the number of Anti Social Behaviour (ASB) calls to service /SM 11 - Number of acquisitive cri	1	1	1	1	
SM 12 /SM13 - Reduce the proportion of people who feel unsafe when - outside in their neighbourhood at night	1	1	1	1	
SM 14 (SM 15) - Increase (Reduce) the proportion of premises that meet the Food Hygiene Scheme rating of 5	1	1	1	1	
SM 16 Improved street & environmental cleanliness	1	1	1	1	
SM17 – Effectiveness of local authority actions to combat noise and environmental nuisance	1	1	1	1	
VM 06 %age os satisfied customers contacting or dealing with the Council	1	1	3	3	
	Number of 1's (Low Risk Answer)	18	17	16	16
	Number of 2's (Medium Risk Answer)	1	3	1	1
	Number of 3's (High Risk answer)	1	0	3	3

Performance Indicator	B1	B2	B3	B4	B5	
SM 16 Improved street & environmental cleanliness	1	1	1	1	1	
LM 07 - Average SAP (2009) rating of Council dwellings	1	1	1	3	3	
LM 03 / LM 04 - Number of sport, physical activity & health development/ playscheme participations	1	1	1	1	1	
SM17 – Effectiveness of local authority actions to combat noise and environmental nuisance	1	1	1	1	1	
SM 10 - Reduce the number of Anti Social Behaviour (ASB) calls to service /SM 11 - Number of acquisitive crime incidents	1	1	1	1	1	
SM 03 - Average time (in working days) taken to re-let Council homes	1	1	1	1	1	
SM 04 - Proportion of repairs carried out 'first time' by the Council's Direct Labour Organisation	1	1	1	1	1	
GM 07 - Net additional commercial / employment floor space created (Proxy measure)	1	1	1	1	1	
LM 05 - Nr of cultural partipants	2	1	1	1	1	
SM 09 Effectiveness of local authority actions to reduce fly tipping	1	1	1	1	1	
GM 07 Speed of Planning Applications	1	1	1	1	1	
GM 05 -Residual waste per household (Kgs) / GM 06 - Proportion of household waste recycled and composted	1	1	1	1	1	
SM 12 /SM13 - Reduce the proportion of people who feel unsafe when - outside in their neighbourhood at night time / they are alone in the	1	1	1	1	1	
GM 11 - Satisfaction with the planning application process	1	1	1	1	1	
SM 14 (SM 15) - Increase (Reduce) the proportion of premises that meet the Food Hygiene Scheme rating of 5 (0 to 2) Stars ('Scores on	1	1	1	1	1	
SM 01 - Nr of homes vacant for more than 6 months	1	1	1	1	1	
LM 06 - Nr of environmental learning activity participants	2	1	1	1	1	
LM 08 - Reduction in energy consumption from the Councils own operational centres	1	1	1	1	1	
LM 02 Nr of leisure centre participants	1	1	1	1	1	
VM 06 %age os satisfied customers contacting or dealing with the Council	1	1	1	1	1	
	<b>Number of 1's (Low Risk Answer)</b>	18	20	20	19	19
	<b>Number of 2's (Medium Risk Answer)</b>	2	0	0	0	0
	<b>Number of 3's (High Risk answer)</b>	0	0	0	1	1

Performance Indicator	C1	C2-1	C2-2	C2-3	C3	C4	C5-1	C5-2	C6	C7-1	C7-2	C8
SM 16 Improved street & environmental c	1	1	1	1	2	1	1	2	1	3	3	1
LM 07 - Average SAP (2009) rating of C	2	3	1	3	1	2	1	1	3	1	1	1
LM 03 / LM 04 - Number of sport, physi	1	1	1	1	1	1	1	1	2	1	2	1
SM17 - Effectiveness of local authority a	1	1	1	1	2	1	1	1	2	1	1	1
SM 10 - Reduce the number of Anti Socia	1	1	1	2	2	1	1	2	1	1	1	2
SM 03 - Average time (in working days)	1	1	1	1	1	1	1	2	1	1	1	1
SM 04 - Proportion of repairs carried out'	1	1	1	1	1	1	1	2	1	1	2	1
GM 07 - Net additional commercial / emp	1	1	1	1	1	1	1	2	1	1	3	1
LM 05 - Nr of cultural partipants	2	1	1	1	2	1	3	2	1	1	3	1
SM 09 Effectiveness of local authority act	1	1	1	1	2	1	2	2	1	1	3	1
GM 07 Speed of Planning Applications	1	1	1	1	2	3	1	2	1	1	3	1
GM 05 -Residual waste per household (K	1	1	1	1	2	1	2	1	1	1	1	1
SM 12 /SM13 - Reduce the proportion of	1	1	1	2	2	1	1	1	1	1	1	2
GM 11 - Satisfaction with the planning ap	1	1	1	1	2	1	1	2	2	1	3	1
SM 14 (SM 15) - Increase (Reduce) the p	1	1	1	1	2	1	1	2	1	1	2	1
SM 01 - Nr of homes vacant for more tha	1	1	1	1	1	2	1	2	1	1	3	3
LM 06 - Nr of environmental learning act	1	1	1	1	2	2	2	2	2	1	3	1
LM 08 - Reduction in energy consumptio	1	1	1	2	1	2	2	2	3	1	2	1
LM 02 Nr of leisure centre participants	1	1	1	3	2	2	1	2	2	2	2	1
VM 06 %age os satisfied customers conta	1	3	3	1	1	1	1	0	1	3	3	1
<b>Number of 1's (Low Risk Answer)</b>	18	18	19	15	8	14	15	5	13	17	6	17
<b>Number of 2's (Medium Risk Answer)</b>	2	0	0	3	12	5	4	14	5	1	5	2
<b>Number of 3's (High Risk answer)</b>	0	2	1	2	0	1	1	0	2	2	9	1

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The central midlands audit partnership was formed to provide shared internal audit services to local authorities in the region. CMAP currently provides audit services to two District Councils, a Unitary Council, a Housing ALMO and a Fire Authority and welcomes further public sector partners or clients from within the region.

