

South Derbyshire - Data Quality & Performance Management

AUDIT RECOMMENDATIONS					MANAGEMENT RESPONSES		
Rec No.	Risk Rating	Summary of Weakness (Issue)	Issue Accepted	Suggested Action (Recommendation)	Action Details Inc. alternative solution (If no action please state reasons)	Officer Responsible (email address only)	Implementation Date (dd/mm/yyyy)
1	Low Risk	Data quality had not been reported to the Finance & Management Committee for 2017/18 or 2018/19, as required by the Data Quality Strategy produced in 2016.	YES/NO	We recommend that the Data Quality Strategy is reviewed and updated. Suitable arrangements for monitoring Data Quality by elected members should be included and adhered to.	A review of the Data Quality Strategy will take place with IT and an updated version and action plan will be taken to Finance and Management Committee during 2019/20.	Performance and Policy Officer will have operational responsibility. The Strategic responsibility will sit with Head of Organisational Development and Performance	31/03/2020
2	Low Risk	Access to the MS Excel spreadsheet used to record performance data was not appropriately restricted.	YES/NO	We recommend that <ul style="list-style-type: none"> - Access to read and modify the Excel spreadsheet is restricted to appropriate officers. - The spreadsheet is password protected to add an additional - level of security. - Standing data within the spreadsheet is locked down. - Consideration should be given to using the Share Workbook and Track Changes facilities within MS Excel to provide a historical record of amendments made by the different officers accessing the spreadsheet and provide the spreadsheet owner with an opportunity to review and accept the amendments made. 	A review of access arrangements with IT will take place to put in the appropriate levels of control on the spreadsheet. The Performance team will investigate and where possible implement restricted access to the standing data within the spreadsheet without losing the functionality for users. A review of alternative performance collection methods will take place during 2020 to improving the efficiencies around data collection.	Performance and Policy Officer will have operational responsibility. The Strategic responsibility will sit with Head of Organisational Development and Performance	31/12/2019 31/12/2020
3	Low Risk	Targets set for project-based measures were not always sufficiently specific to allow performance to be accurately assessed.	YES/NO	We recommend that, when agreeing measures and targets for the new Corporate Plan, the Performance Team ensures that any project-based indicators have specific targets set to avoid ambiguity. Furthermore, consideration should be given to reducing reliance on project based indicators.	Wherever possible in the new Corporate Plan, the Council will significantly reduce the number of project based measures and if included any projects will have detailed project plans which will be used as the measure of success.	Performance and Policy Officer will have operational responsibility. The Strategic responsibility will sit with Head of Organisational Development and Performance	31/03/2020
4	Low Risk	The risk of poor quality performance data was not included in the Strategic Risk Register, and an annual audit of data quality was not taking place.	YES/NO	We recommend that the risk of poor quality performance data is included in the Strategic Risk Register. Mitigating actions should include the implementation of recommendations made within this audit report. Furthermore, management should make arrangements for an annual data quality audit if deemed necessary, which could be performed by officers or Internal Audit.	An additional risk will be added to the Corporate Risk Register on performance under the Strategic Risk Register as part of - 3 Technology and Data - keeping pace with developments together with the management and security of data. An annual data quality audit will be performed by officers and/or Internal Audit to check the robustness of the data collection process.	Performance and Policy Officer will have operational responsibility. The Strategic responsibility will sit with Head of Organisational Development and Performance	31/10/2019 31/03/2020

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5	Low Risk	Methodology statements did not always fully capture the required information, and there were some discrepancies between the information in methodology statements and the 'Performance Board' spreadsheet.	YES/NO	We recommend that a revised template methodology statement is created and issued when the new Corporate Plan is launched. The Performance Team should review each methodology statement prepared to ensure that it captures all required information and is in line with the 'Performance Board' spreadsheet, and provide support and guidance to officers where appropriate.	A new methodology statement will be produced and rolled out to incorporate the suggested changes ready for roll out with the new Corporate Plan measures.	Performance and Policy Officer will have operational responsibility. The Strategic responsibility will sit with Head of Organisational Development and Performance	31/01/2020
6	Moderate Risk	There was no separation of duties between collection and review of performance information for 6 of the Council's 46 corporate performance indicators, and roles were not always clearly or appropriately defined for the remaining indicators.	YES/NO	We recommend that the revised template methodology statement introduced enforces separation of each role, and when new indicators are set under the new Corporate Plan the Performance Team should ensure that adequate separation of duties is present.	A new methodology statement will be produced to include the separation of duties and will be rolled out to incorporate the suggested changes ready for roll out with the new Corporate Plan measures.	Performance and Policy Officer will have operational responsibility. The Strategic responsibility will sit with Head of Organisational Development and Performance	31/01/2020
7	Low Risk	Officers involved in the collection and review of performance data had not been provided with sufficient information to ensure they were fully aware of the benefits of monitoring service delivery and their role within this.	YES/NO	We recommend that the Performance Management Framework is reviewed to ensure it clearly emphasises the importance of each role. The Framework should be disseminated to all staff involved in the collection and review of performance information. Further to this, management should consider how they can identify and address any training needs identified.	The Performance Management Framework will be reviewed to include clear roles and responsibilities for Officers. Training or briefings will take place to help communicate changes to all those involved in the collection and review of performance information.	Performance and Policy Officer will have operational responsibility. The Strategic responsibility will sit with Head of Organisational Development and Performance	30/06/2020