

REPORT TO:	FINANCE AND MANAGEMENT COMMITTEE	AGENDA ITEM: 10
DATE OF MEETING:	16th JUNE 2016	CATEGORY: DELEGATED
REPORT FROM:	DIRECTOR OF FINANCE AND CORPORATE SERVICES	OPEN
MEMBERS' CONTACT POINT:	KEVIN STACKHOUSE (01283 595811) <a href="mailto:Kevin.stackhouse@south-derbys.gov.uk">Kevin.stackhouse@south-derbys.gov.uk</a>	DOC: u/ks/corporate and service planning/annual reports 2015 16/data quality
SUBJECT:	DATA QUALITY STRATEGY ANNUAL REPORT 2015/16 AND ACTION PLAN 2016/17	REF:
WARD(S) AFFECTED:	ALL	TERMS OF REFERENCE: FM13

## 1.0 **Recommendations**

- 1.1 That Progress made against the Data Quality Strategy Action Plan 2015/16 in **Appendix 1** is noted.
- 1.2 That the Action Plan 2016/17 in **Appendix 2** is approved.

## 2.0 **Purpose of Report**

- 2.1 To consider progress made against the Data Quality Strategy Action Plan 2015/16.
- 2.2 To receive feedback from the 2015/16 Data Quality and Performance Management Audit Report compiled by the Central Midlands Audit Partnership (CMAP).
- 2.3 To set out planned actions on data quality in 2016/17.

## 3.0 **Detail**

### Background

- 3.1 In June 2012, this Committee adopted a revised Data Quality Strategy and agreed an Action Plan, which is refreshed annually.
- 3.2 An audit of the Council's data quality arrangements was completed by CMAP in January 2016.

### Progress made during 2015/16

- 3.3 Progress against the data quality action plan is shown in detail in **Appendix 1**. Outlined are some of the key outcomes achieved in data quality during 2015/16.

3.4 Following, the Government's introduction of the Public Service Network (PSN) Code of Compliance, a more stringent approach to data security and connectivity is now required. As a result, a significant amount of work has been undertaken to ensure compliance. This work has included:

- A review of all accounts with administrator privileges
- Updating of ICT security and service management policies
- Applying the latest security patches on servers as required
- Ensuring adequate disaster recovery plans are in place, such as ensuring the back-up of key Council systems are undertaken on a daily basis, with the data files being stored off-site.

In March 2016, the Council received confirmation that the PSN Code of Compliance has been met.

3.5 Data quality continues to be embedded into the organisation, with job descriptions and person specifications being reviewed for those Officers who have responsibility for managing and reporting data. Furthermore, data quality is a key element within the Council's Leadership and Development Programme.

#### Data Quality Audit

3.6 During 2015/16, CMAP, as the Council's Internal Auditors, focused on the governance arrangements in place over Data Quality and Performance Management at the Council. This was to provide assurance that the systems were operating effectively and providing an acceptable level of control.

3.7 At the end of the review, carried out with support from the Policy and Communications Team, CMAP was *'able to offer comprehensive assurance that the areas reviewed were found to be adequately controlled. Internal controls were in place and operating effectively and risks against the achievement of objectives were well managed'*.

3.8 The following matters were considered to be potential control weaknesses:

- Provision had not been made for the review of the Data Quality Strategy and referenced documents were no longer relevant.
- The issue of poor quality performance data was not being considered on the Council's Departmental Risk Registers.
- The information recorded in 2 out of 18 Local Definitions sampled was not comprehensive and complete.

3.9 Three recommendations were made. All three were considered a low risk, rather than a moderate, significant or critical risk. These were as follows:

- Update the Data Quality Strategy to incorporate a review schedule to record previous and future review dates and the term of reviews.
- Add the risk of poor quality performance into the Departmental Risk Registers reported to Council committees to ensure that the impact and likelihood of this risk can be fully considered
- Review the Local Definitions for all the performance indicators in the Corporate Plan to ensure that they have been fully completed and that the information provided is comprehensive

- 3.10 All recommendations were accepted and positive action has been taken to address all issues highlighted by the Auditors.

### **Action Plan 2016/17**

- 3.11 Detailed actions on data quality for 2016/17 are shown in **Appendix 2**.

- 3.12 It is expected the achievement of this action plan will enable the Council to show that it is working to good 'data quality' principles.

### **4.1 Financial Implications**

- 4.2 There are no direct financial implications associated with this report.

### **5.0 Corporate Implications**

- 5.1 The Council's *Data Quality Strategy* sets out how it will collect data in order to manage its performance. It will also support the production of management information for the Council's priorities. This will require all Council services to ensure that accurate and reliable data is produced.

### **6.0 Community Implications**

- 6.1 Achieving the actions in the *Data Quality Strategy* will ensure that decisions regarding services and their performance are made in an accountable and transparent manner. This will enable residents and stakeholders to understand the achievements of the Council and the areas where additional considerations may be made.

### **7.0 Background Papers**

- 7.1 CMAP, '*South Derbyshire DC – Data Quality and Performance Management 2015/16.*'

## Progress Report on Action Plan 2015/16

Ref	Action	Required Outcome	Officer(s)	Target Date	Progress	Complete
1	Ensure that suitable controls and measurements are in place for KPIs identified by the Council as part of the 2015/16 Audit Plan	Strengthened data quality arrangements	Director of Finance & Corporate Services / Head of Communications (Northgate Public Services)	April 2016	An audit of the Council's data quality arrangements was completed in January 2016. CMAP was <i>'able to offer comprehensive assurance that the areas reviewed were found to be adequately controlled. Internal controls were in place and operating effectively'</i> .	Complete
2	Ensure that Data Quality is referenced in the Council's Corporate Risk Register and reviewed on a regular basis	Increased commitment to data quality	Director of Finance & Corporate Services	April 2016	The threat of poor quality performance data was included in risk registers for Sustainable Growth and Opportunity, Safe and Secure and Lifestyle Choices, as well as departments. This will now be incorporated into risk registers for the Corporate Plan 2016-2021.	Complete and ongoing
3	Ensure that the data collected has supporting processes in place (Methodology Statements)	Data quality embedded into all performance reporting	Director of Finance & Corporate Services / Directors / Head of Communications	September 2015	24 methodology statements have been written and approved for the Corporate Plan 2016-2021. Data reviewers and data collectors have been identified as part of this process.	Complete and ongoing
4	Undertake self-assessment exercise on any new or amended KPIs	Strengthened data quality arrangements	Director of Finance & Corporate Services / Head of Communications	December 2015	Undertaken as and when applicable.	Complete and ongoing

5	Implement recommendations made in the 2014/15 Data Quality Audit Report.	Strengthened data quality arrangements	Director of Finance and Corporate Services / Director of Community and Planning / Head of Communications	July 2015	Audit completed in May 2015, with revised controls and procedures put in place for the following KPIs assessed as a medium risk: <i>GM 7 - Speed of Planning applications</i> <i>LM 5 - Nr of cultural activity participants</i>	Complete
Ref	Action	Required Outcome	Responsible Officer (s)	Target Date	Progress / Comments	Complete
6	To monitor the delivery of the Action Plan	Improved accountability for data quality	Director of Finance & Corporate Services / Head of Communications	March 2016	Forms part of the quarterly reporting process.	Complete and ongoing

**Action Plan 2016/17**

Ref	Action	Required Outcome	Responsible Officer (s)	Target Date
1	Ensure data collected has supporting processes in place (Methodology Statements)	Data quality embedded into all performance reporting	Director of Finance & Corporate Services / Directors / Head of Communications (Northgate Public Services)	July 2016
2	Implement remaining recommendations made in the 2015/16 Data Quality and Performance Management Audit Report.	Strengthened data quality arrangements.	Director of Finance & Corporate Services / Directors / Head of Communications (Northgate Public Services)	July 2016
3	Achieve the Public Service Network (PSN) Code of Compliance	Strengthened data quality arrangements.	Director of Finance & Corporate Services / Head of IT (Northgate Public Services)	April 2017
4	Undertake self-assessment exercise on any new or amended KPIs	Strengthened data quality arrangements.	Director of Finance & Corporate Services / Head of Communications (Northgate Public Services)	April 2017
5	Ensure that Data Quality is referenced in the Corporate Risk Register and reviewed on a regular basis	Increased commitment to data quality	Director of Finance and Corporate Services / Director of Community and Planning / Head of Communications	April 2017
6	To monitor the delivery of the Action Plan	Improved accountability for data quality	Director of Finance & Corporate Services / Head of Communications (Northgate Public Services)	April 2017