

# Appendix B - Data Quality & Performance Management 2016-17

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	The Quarter 3 reported figures could not be verified back to the Tenancy Visits Tracker spreadsheet.	YES/NO	We recommend that prior to reporting the performance figures, checks are undertaken to ensure that all of the required visit data has been accurately recorded.	Recommendation accepted. Independent checks to be undertaken. New module on the Orchard housing system will further strengthen performance reporting mechanisms when introduced.  <i>Update – Housing Operations Manager has been checking two visits per officer on a monthly basis (commencing July 2017)</i>	chris.holloway@south-derbys.gov.uk	31/7/2017
2	Low Risk	Performance figures for PE2.1 were not subjected to scrutiny or authorisation from departmental managers before their submission.	YES/NO	We recommend that prior to their submission to the Performance team, the figures for PE2.1 are scrutinised and authorised by management within the Housing section.	Recommendation accepted. Figures to be scrutinised and authorised by the Team Leader, who is currently off work. Housing Operations Manager to undertake role in the interim.  <i>Update – Performance Officer now takes a copy of the spreadsheet for independent verification. Queries are passed to the Housing Operations Manager to verify.</i>	yvonne.tucker@south-derbys.gov.uk chris.holloway@south-derbys.gov.uk	19/7/2017
3	Low Risk	The measurement period applied for PE2.1 was not in line with the guidance available or calendar start and end dates.	YES/NO	We recommend that the measurement period for PE2.1 is brought in line with the calendar start and end dates for each quarter to ensure that Tenancy Visits undertaken are reflected within the relevant performance reporting period.	Recommendation accepted. Reminders to be issued to applicable staff to ensure visits are updated on the spreadsheet in a timely manner. New Orchard module will aid process.  <i>Update – Housing Operations Manager now sends a monthly reminder to staff to update the sheet in a timely manner (commencing July 2017)</i>	chris.holloway@south-derbys.gov.uk	31/7/2017
4	Low Risk	The audit trail of data maintained to support the reported performance figures for PE2.1 was not adequate.	YES/NO	We recommend that adequate evidence is retained to support the reported figures: this may mean taking a copy of the spreadsheet at the point in time the reported figures are reported, or retaining reports from the Orchard Housing System that demonstrate the visits undertaken and included in the reported figure for each quarter.	As per recommendation.  <i>Update – Performance Officer now takes a copy of the spreadsheet for independent verification.</i>	chris.holloway@south-derbys.gov.uk	19/7/2017
5	Low Risk	There were no accuracy and completeness checks over the performance data for PE2.1.	YES/NO	We recommend that a process for checking the accuracy and completeness of performance figures for PE2.1 is introduced. This could include checks to ensure visits have been recorded, that calculations have been correctly undertaken, and that reported figures are in line with departmental records.	Recommendation accepted. The updates to the Orchard module will result in a clearer and simpler audit trail to sit alongside the paper tenancy files. Housing Operations Manager to carry out checks in the interim.  <i>Update – Performance officer tasked to ensure formulas etc. are correct and advise Housing Operations Manager of monthly performance as soon as practicable.</i>	chris.holloway@south-derbys.gov.uk	19/7/2017
6	Low Risk	Access to the Tenant Visit spreadsheet was not adequately restricted.	YES/NO	We recommend that whilst the spreadsheet is still in use, it should be password protected to ensure that only officers with a business need can access it, and the Performance Data tab should be locked down to protect the formulas and data within it. We also suggest that in the first quarter that the Tenancy Visits module is live, the spreadsheet should also continue to be maintained as this would provide opportunity for a validity check on the report data generated from Oracle.	As per recommendation.  <i>Update – spreadsheet has now been password protected.</i>	lyndsay.taylor@south-derbys.gov.uk	1/6/2017

## Appendix B - Data Quality & Performance Management 2016-17

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)
7	Low Risk	There was not any scrutiny or authorisation from a secondary officer for the performance figures calculated for PL3.1. A minor difference was found which impacted on the accuracy of the Quarter 2 reported figure for 2016-17.	YES/NO	We recommend that an officer independent of the calculation of the performance figures for PL3.1 reviews the data to ensure accuracy in the calculations and authorises the performance figures before submission to the performance team. This review and authorisation should be formally recorded.	Recommendation accepted. Methodology statement has been updated, with the Environmental Health Manager as the data collector and the Safer Neighbourhood Wardens as the data reviewer (to carry out independent checks).  <i>Update - the Senior SNW is now included in communications with the depot about the total number of reported fly-tips and asked to comment if they dispute the figures.</i>	matthew.holford@south-derbys.gov.uk	19/7/2017
8	Low Risk	The Environmental Services performance spreadsheet was held on the local drive of the Environmental Services Manager, therefore making it inaccessible to the wider team.	YES/NO	We recommend that the performance spreadsheet for Environmental Services is relocated to a central location, but that the document should be password protected and key calculation fields should be locked down to prevent unauthorised amendments. This would ensure that if the Environmental Services Manager was ever unavailable to calculate the performance figures, the spreadsheet would be available to another nominated officer to undertake this task in his absence.	As per recommendation.  <i>Update - Folder re-located to - S:\Health\Performance on 8/6/17 plus request sent to IT to password protect it</i>	matthew.holford@south-derbys.gov.uk	1/7/2017
9	Low Risk	There was insufficient documentation to support the reported performance figures for O3.1 during 2016-17.	YES/NO	We recommend that a copy of the O3.1 FY17 spreadsheet used to calculate the performance figure is saved for each quarter to support the figures reported to the Policy & Communications Team. This will ensure an adequate audit trail is in place to support the reported figures for O3.1.	No longer applicable. Indicator is no longer included as a strategic measure. Will continue to be reviewed during 2017/18 before a decision is made on whether to reintroduce in 2018/19.	N/A	N/A
10	Low Risk	Inaccuracies in the floor space figures stated in the O3.1 FY17 spreadsheet meant that calculation of the performance figures for O3.1 was flawed.	YES/NO	We recommend that the figures used for floor space in the O3.1 FY17 are checked and revised. Management should also consider increasing the floor space figures for times in the year when temporary structures are used.	No longer applicable. Indicator is no longer included as a strategic measure. Will continue to be reviewed during 2017/18 before a decision is made on whether to reintroduce in 2018/19.	N/A	N/A
11	Low Risk	There was insufficient checking and authorisation of the calculated performance figures for O3.1.	YES/NO	We recommend that a system of checking performance figures is introduced. Where timescales are tight, this could be based on checks on a sample of data, to help to ensure accuracy. The calculation fields in the O3.1 spreadsheet used to record and calculate performance data should be locked down to prevent their alteration. Checks should also extend to figures logged on the performance spreadsheet back to supporting data. An audit trail to demonstrate these checks by the Data Reviewer, and their authorisation, should be maintained. For speed and ease, this could be done via email.	No longer applicable. Indicator is no longer included as a strategic measure. Will continue to be reviewed during 2017/18 before a decision is made on whether to reintroduce in 2018/19.	N/A	N/A
12	Low Risk	A complete and comprehensive methodology statement for the collection and recording of performance data, and calculation of the performance figure for O3.1 was not in place.	YES/NO	We recommend that the process outlined with the Performance Indicator Pro Forma and Methodology Statement O3.1 – Annual Improvements in the Energy Consumption of Public Buildings document is expanded upon to include the whole process for collating data, recording it, and undertaking calculations to arrive at the performance figures for O3.1	No longer applicable. Indicator is no longer included as a strategic measure. Will continue to be reviewed during 2017/18 before a decision is made on whether to reintroduce in 2018/19.	N/A	N/A

# Appendix B - Data Quality & Performance Management 2016-17

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)
13	Low Risk	Access to the O3.1 spreadsheet was not appropriately restricted.	YES/NO	We recommend that controls are put in place to help to protect the integrity of the spreadsheet used to collate and calculate performance information for performance indicator O3.1. This could include: <ul style="list-style-type: none"> <li>• Password protecting the document.</li> <li>• Locking cells that include data which should not be altered (e.g. containing formulas).</li> </ul>	No longer applicable. Indicator is no longer included as a strategic measure. Will continue to be reviewed during 2017/18 before a decision is made on whether to reintroduce in 2018/19.	N/A	N/A
14	Low Risk	There was not any independent scrutiny and authorisation of the performance figures for PR5.2.	YES/NO	We recommend that segregation of duties be introduced between the Data Collector and Data Reviewer roles for PR5.2. The Data Reviewer should then scrutinise and authorise the performance figures for PR5.2 prior to their submission to the Performance section.	Recommendation accepted. Methodology statement will be reviewed and resubmitted, with segregated duties to be defined. Process to then be followed.  <i>Update - The methodology statement has been reviewed, as has the report in Civica. This report is now sent to the Senior Environmental Health Officer in the Commercial team for review every quarter before the data is submitted.</i>	matthew.holford@south-derbys.gov.uk	19/7/2017
15	Low Risk	The guidance on PR5.2 had not been used in the calculation of the reported performance figures from April 2016. This had resulted in inconsistencies in the calculation process and inaccuracies in the reported figures.	YES/NO	We recommend that the methodology set out within the guidance entitled Performance Indicator Pro Forma and Methodology Statement PR5.2 – Maximise the Number of Registered Food Businesses Active in the District is used when calculating the performance figures for PR5.2.	Recommendation accepted. Methodology statement will be reviewed and resubmitted.  <i>Update - The methodology statement has been reviewed, as has the report in Civica. This report is now sent to the Senior Environmental Health Officer in the Commercial team for review every quarter before the data is submitted.</i>	matthew.holford@south-derbys.gov.uk	30/6/2017
16	Low Risk	There was an insufficient audit trail in place to support the figure reported under performance indicator PR5.2.	YES/NO	We recommend that evidence is retained of the number of business in the Civica Database at the time the performance data for PR5.2 is reported. This could be via a screenshot of the relevant screen within the database. Evidence of calculations should also be retained.	Recommendation accepted. Clear overview of process will be reflected in the methodology statement before being implemented.  <i>Update - The report is saved as a spreadsheet in S:\Health\Performance\2017.18</i>	matthew.holford@south-derbys.gov.uk	19/7/2017
17	Low Risk	There was a lack of supporting evidence for the figures reported for PR5.2 and so we were unable to verify the accuracy of the figures.	YES/NO	We recommend that evidence should be retained of the figures taken from Civica in the calculation of PR5.2, and that evidence of the calculation itself should also be retained. This would help to ensure the accuracy and validity of the reported figures and would ensure any challenges or enquiries into the figures could be answered.	Recommendation accepted. Clear overview of process will be reflected in the methodology statement before being implemented.  <i>Update - The report is saved as a spreadsheet in S:\Health\Performance\2017.18</i>	matthew.holford@south-derbys.gov.uk	19/7/2017
18	Low Risk	The methodology for calculation of PR5.2 varied between the Performance Indicator Pro Forma and Methodology Statement document and the Performance Management Reporting Protocol Environmental Health 2015-16 document.	YES/NO	We recommend that the Performance Management Reporting Protocol Environmental Health 2015-16 document be updated to ensure that it accurately reflects the correct process for calculating PR5.2.	Recommendation accepted. Clear overview of process will be reflected in the methodology statement.  <i>Update - The protocol has been updated</i>	matthew.holford@south-derbys.gov.uk	30/6/2017
19	Low Risk	There were not any independent checks over the accuracy or completeness of the performance figures for PR5.2.	YES/NO	We recommend that a process for checking the accuracy and completeness of the performance figures for PR5.2 be introduced and that these checks should be documented.	As per recommendation.  <i>Update - The data will be checked every quarter by the Senior Environmental Health Officer responsible for the food hygiene service</i>	matthew.holford@south-derbys.gov.uk	19/7/2017