



Chester-le-Street
District Council

Appendix 2

Getting it Right First Time Data Quality Strategy Review Revised Improvement Action Plan



January 2008

About this document

This document supports the delivery of the council's Data Quality Strategy. In accord with the Strategy it is a living document which will be reviewed against the audited ratings by the Audit Commission.

Self assessment judgement

The council undertook a self assessment in June 2006. There was no individual scoring of the individual KLOE rather a conclusion was drawn on how the council meets overall levels set out in the KLOE guidance. It is not proposed to carry out a separate detailed self assessment. However the council's Data Quality Strategy was approved in November 2006 and its action plan includes progress towards the four levels set out in the Commissions Key Line of Enquiry. The Strategy is realistic. It aimed to ensure that the council continued to meet at level 2 by April 2007, level 3 by April 2008 and make a value for money judgement at that time whether it could progress further.

There were only four months between the adoption of the Strategy, which was a major step forward for the council and the issue of the Commission's first audit on Data Quality. In that time the council has been focussed on the facilitation of the Comprehensive Performance Assessment Corporate Assessment which included a production of a self assessment by the end of January 2007 and an inspection at the end of February and beginning of March. This was a proper priority of the council which significantly engaged the corporate centre and the councils Data Quality officer Champion.

The council considers that, while it can evidence some improvement and some criteria in Level 3 and Level 4 it is considered that the council currently and reasonably achieves **Level 2**. It is considered that the council is on course for achievement of Level 3 by March 2008. This is consistent with the targets within the Data Quality Strategy. A value for money judgement has been made that it would be unrealistic for the council to achieve level 4 by March 2009. the revised Strategy action plan therefore seeks to achieve level 3 by March 2009. Improvements so far have included:

- The adoption of the Strategy and action plan;
- Data quality risks, commitment and proposals built into Corporate plan;
- Data Quality Policy and Strategy communicated to customers through the Internet;
- Data Quality Policy and Strategy communicated to staff and members through the Intranet;
- Data Quality built into Performance Management Handbook and communicated to staff;
- Data Quality considered as part of the Performance Management Review;
- Data quality commitment incorporated as a feature of Corporate Performance Reports and within performance clinics:
- Decisions made not to publish information because data quality was not proved e.g. a decision not to publish BV 166 quarterly statistics because the

- information as to performance was not dependable, and now resolved.
- Data Quality included in Corporate Training Plan as part of Performance Management training.
 - Intranet Site developed
 - Corporate Guidelines developed and implemented
 - Corporate Audit devised and built into intranet, will identify gaps to assist strategy development
 - Further awareness undertaken as a result and data quality is communicated more clearly now, Communications plan developed and on intranet
 - Data Quality Responsibility Register developed and significantly completed
 - Programme Management Board taking stronger role on monitoring of data Quality
 - Improved sign off with LPI's following same process as BVPI's
 - Data quality incorporated into all corporate reports and built into Report Writing Protocol
 - Developed revised Service Plan Guidance
 - Staff and Managers Audit undertaken
 - Training presentation provided to all staff
 - Data Quality Training provided as part of Members Induction programme
 - Data quality built into Performance Clinics

The council's approach

The council understands the importance of data quality and is committed to improving its management within the organisation and in partnership with others.

The council feels that it has made significant progress in developing data quality over the past few years. The Corporate Performance Team and Internal Audit have been working closely with service teams to improve data quality. As a result the council's Best Value Performance Plan was again unqualified last year and there were no Best Value Performance Indicators with reservations. The improvements have resulted from targeted and risk assessed control activity and general awareness raising of the importance of improvement. Improvements have been acknowledged by the Audit Commission. The council accepts fully that there is a need to sustain the improvements made. The new approach to Data Quality management including the Data Quality Strategy and the Data Quality policy offers the opportunity to the council to make further incremental improvements to the quality of data it holds and its subsequent use. This revised Action Plan has been developed to ensure that the council's strategy is kept fully up to date. In particular it measures the council's Data Quality achievements against the new Key Lines of Enquiry which were adopted by the Commission during 2007.

Ian Forster, Director of Corporate Services

Data Quality Strategy Monitoring Report

Section 1

Chester-le-Street District Council

Data Quality Key Lines of Enquiry (KLOE)

Evidence and Action Plan Level 2

1. GOVERNANCE AND LEADERSHIP			
Has the council put in place arrangements at a senior level to secure the quality of data used to manage and report on performance?			
Key line of enquiry			
1.1 Responsibility for data quality is clearly defined.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> there is top level commitment to data quality; and the council acts on this commitment, to secure the quality of its data. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
1.1.1 Responsibility for data quality has been assigned within the council, although this may have been assigned to a number of individuals and is not at top management level	<ul style="list-style-type: none"> Assigned at Top management level Data quality Register covering organisation 	<ul style="list-style-type: none"> No action required 	
1.1.2 Issues relating to data quality are considered and reported at least to departmental managers	<ul style="list-style-type: none"> Reported to Executive and Scrutiny 	<ul style="list-style-type: none"> No action required 	
1.1.3 The council's commitment to data quality (for example, the importance of, and arrangements for, securing the quality of key data) is outlined in key strategic documents, such as the corporate performance plan or performance management framework.	<ul style="list-style-type: none"> Set out in Corporate Plan Built into reporting process In performance Management Handbook 	<ul style="list-style-type: none"> No action required 	
1.1.4 Accountability arrangements for data quality are developing, but these may not yet be applied or required in all areas of the council, or be formally defined.	<ul style="list-style-type: none"> Established across the council in Register, available on line Responsibilities set out in Policy and Guidance and Service Planning process and objectives Identified as Strategic Corporate Risk 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
1.2 The council has clear data quality objectives and these are formally documented.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> specific data quality objectives have been identified; and there is a plan for delivery of these objectives. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
1.2.1 Arrangements for data quality management are developing, but may not yet be formalised in strategic or planning documents.	<ul style="list-style-type: none"> Developed in policy and formal Data Quality Strategy which are under review Developed in service plans 	<ul style="list-style-type: none"> No action required 	
1.2.2 The organisation has begun to focus on data quality, but this work has so far been driven departmentally rather than corporately.	<ul style="list-style-type: none"> Driven at corporate and service level 	<ul style="list-style-type: none"> No action required 	
1.2.3 The organisation is working to improve data quality, but there may be no defined milestones, targets or monitoring.	<ul style="list-style-type: none"> Milestones set out in Strategy Regular monitoring of achievement Strategy action plan under review 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
1.3 The council has effective arrangements for monitoring and review of data quality.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> there is a framework in place for monitoring performance in relation to data quality; and there is a formal programme of review of data quality. 			
Criteria for Judgement			
Level 2			
1.3.1 Monitoring and review of data quality has been undertaken, although this has primarily been on an ad hoc basis rather than via an explicit framework.	<ul style="list-style-type: none"> Clear and regular monitoring in place including quarterly reporting to Executive and Scrutiny BVPI and other indicator monitoring including performance Clinic engagement Reported on web site Identified as Strategic Risk 	<ul style="list-style-type: none"> No action required 	
1.3.2 The council has begun to consider data quality as part of its corporate risk management arrangements.		<ul style="list-style-type: none"> No action required 	

2. POLICIES			
Has the Council defined its expectations and requirements in relation to data quality?			
Key line of enquiry			
2.1 Organisational policy for data quality has been defined and is supported by a current set of operational procedures and guidance			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> organisational policy for data quality has been documented; and operational procedures and guidance meet users' needs. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
2.1.1 Senior management has defined and approved data quality policies at individual operational or departmental levels.	<ul style="list-style-type: none"> Established at Corporate Level with service based responsibilities and objectives 	<ul style="list-style-type: none"> No action required 	
2.1.2 There are some procedures and guidance notes in place but these do not yet cover: <ul style="list-style-type: none"> all aspects of data collection, recording, analysis and reporting; and/or all business areas. 	<ul style="list-style-type: none"> Guidance note in place including corporate guidance note but not everything is covered 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
2.2 Policies and procedures are followed by staff and applied consistently throughout the organisation.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> processes are carried out in line with established policy and procedures. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
2.2.1 Relevant staff are aware of the data quality policy, operational procedures and guidance and generally have access to them.	<ul style="list-style-type: none"> Awareness raised through training and web site content Awareness Audit undertaken Intranet site and regular bulletins form DSC 	<ul style="list-style-type: none"> No action required 	
2.2.2 Policy or procedure updates are generally notified to staff on a timely basis, although some improvements could be made in this respect.	<ul style="list-style-type: none"> Updates are notified on a timely basis including monitoring results, including Intranet site 	<ul style="list-style-type: none"> No action required 	

3. SYSTEMS AND PROCESSES			
Are there effective systems and processes in place to secure the quality of data?			
Key line of enquiry			
3.1 There are appropriate systems in place for the collection, recording, analysis and reporting of the data used to monitor performance.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> systems (manual or computerised) produce data which is fit for purpose. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
3.1.1 There may be some minor weaknesses in the systems for data collection, recording, analysis and reporting, but action is being taken to address these.	<ul style="list-style-type: none"> Where weaknesses are identified these have been addressed See 2006/2007 Audit Report 	<ul style="list-style-type: none"> No action required 	
3.1.2 The council recognises the importance of these systems, whether manual or computerised, operating on a 'right first time' principle. Some work is needed to achieve this.	<ul style="list-style-type: none"> Policy based on right first time basis Always need to review 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
3.2 The council has controls in place to ensure that information systems secure the quality of data used to report on performance and to keep top management aware of necessary action in relation to data quality.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> The council has appropriate controls to ensure that information systems produce accurate information. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
3.2.1 The council has some arrangements in place to review the effectiveness of controls.	<ul style="list-style-type: none"> Internal audit undertaken outside external audit 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
3.3 Security arrangements for performance information systems are robust, and a business continuity plans are in place.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> performance information systems are secure, allowing the organisation to function under adverse circumstances. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
3.3.1 Security arrangements, including access control, are in place for the organisation's business critical performance information systems (e.g. procurement, cash management, HR/, payroll, social care, benefits, education) though there may be some weaknesses.	<ul style="list-style-type: none"> Security arrangements are in place ICT has Charter Mark 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
3.4 Standards are specified for shared data or data supplied by third parties.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> the council specifies and monitors standards for the quality of data it shares or relies on internally and externally. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
3.4.1 All instances of internal and external data sharing have been formally identified (e.g. with PCTs, police authorities and voluntary bodies to support LAAs and the children's joint area review (JAR)), but formal protocols or standards have yet to be developed.	<ul style="list-style-type: none"> Not all instances identified No consistent approach 	<ul style="list-style-type: none"> Carry out audit across the council on where we share data Complete list by March 2008 	Julie Scott
3.4.2 Third party providers of data may subject their data to their own quality controls, but the council is not able to or simply does not carry out any validity checks.	<ul style="list-style-type: none"> No validity checks undertaken across the board 	<ul style="list-style-type: none"> No action required 	Julie Scott

4. PEOPLE AND SKILLS			
Does the organisation have the resources in place to achieve quality data?			
Key line of enquiry			
4.1 The council has communicated clearly the responsibilities of staff, where applicable, for achieving data quality.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> specific skills and responsibilities in relation to data quality have been identified; and staff understand their role in achieving data quality, and are putting the theory into practice. 			
Criteria for Judgement			
Level 2		Evidence	
4.1.1 The council has considered the roles and responsibilities needed within directorates, necessary to achieve data quality but has not yet formalised how these will work in practice.		<ul style="list-style-type: none"> Register formalises responsibilities Changes made to job descriptions Data quality PDP issue 	
4.1.2 All staff are clear about their responsibilities in relation to data quality.		<ul style="list-style-type: none"> Taken steps to give guidance and reminders issued 	
4.1.3 It is recognised that relevant staff need to be supported in their responsibility towards capturing quality data.		<ul style="list-style-type: none"> Service Team Managers Responsibility Guidance and Intranet provide support resource Policy sets out support Support provided at a corporate level 	
		Proposed action	
		<ul style="list-style-type: none"> No action required 	
		<ul style="list-style-type: none"> No action required 	
		<ul style="list-style-type: none"> No action required 	
		<ul style="list-style-type: none"> Consider clear note in revised policy by March 2008 	
		Lead	
		Julie Scott	

Key line of enquiry			
4.2 The council has arrangements in place to ensure that staff with data responsibility have the necessary skills.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> the council has provided training to ensure that staff have the necessary skills and knowledge in relation to data quality. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
4.2.1 Staff with specific responsibilities for data input or data quality have been identified and received ad hoc data quality training on a departmental basis.	<ul style="list-style-type: none"> Individual processes addressed at service level Training undertaken at corporate level Performance Plus trained across the board 	<ul style="list-style-type: none"> No action required 	
4.2.2 Some departments are addressing weaknesses identified from data quality reviews through training but this has yet to be developed corporately.	<ul style="list-style-type: none"> Some Departments are addressing weaknesses through training but not across the board Audit carried out to understand skill needs 	<ul style="list-style-type: none"> No action required 	

5. DATA USE			
Are there effective arrangements for the use of data for performance management and service improvement?			
Key line of enquiry			
5.1 The council has put in place arrangements that are focused on ensuring that data supporting performance information is also used to manage and improve the delivery of services.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> reported performance information is actively used in the decision making process. 			
Criteria for Judgement			
Level 2			
5.1.1 Reported information is made available to the operational staff who generate it, to reinforce understanding of the way it is used.	<ul style="list-style-type: none"> Done at service level 	<ul style="list-style-type: none"> Regularly raise awareness of report information Communicate quarterly reports more regularly by March 2008 	<ul style="list-style-type: none"> Ian Forster Ian Forster
5.1.2 Performance information is regularly used, to identify deviations from planned performance.	<ul style="list-style-type: none"> Fundamental basis of council's performance management framework including quarterly reporting and performance clinics. 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
5.2 The council has effective validation procedures in place to ensure the accuracy of data used in reported performance indicators.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> information used to report on performance is subject to a system of internal control and validation. 			
Criteria for Judgement			
Level 2	Evidence	Proposed action	Lead
5.2.1 All BVPI data returns are supported by an audit trail, although there may be some weaknesses.	<ul style="list-style-type: none"> Part of performance management framework 	<ul style="list-style-type: none"> No action required 	
5.2.2 Definitions are usually applied correctly to all BVPI data items and values are checked to be within valid ranges and respect counting rules.	<ul style="list-style-type: none"> Audit feedback confirms this to be the case but kept under review 	<ul style="list-style-type: none"> No action required 	
5.2.3 Only some data e.g. BVPIs is signed off by a senior manager. Reported data is usually submitted on a timely basis.	<ul style="list-style-type: none"> All data including BVPIs and LPIs signed off by senior managers within time parameters set for reporting 	<ul style="list-style-type: none"> No action required 	

Data Quality Strategy Monitoring Report

Section 2

Chester-le-Street District Council

Data Quality Key Lines of Enquiry (KLOE)

Evidence and Action Plan Level 3

1. GOVERNANCE AND LEADERSHIP			
Has the council put in place arrangements at a senior level to secure the quality of data used to manage and report on performance?			
Key line of enquiry			
1.1 Responsibility for data quality is clearly defined.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> there is top level commitment to data quality; and the council acts on this commitment, to secure the quality of its data. 			
Criteria for Judgement			
Level 3	Evidence	Proposed Actions	Lead
1.1.5 An individual at top management level has overall strategic responsibility for data quality.	<ul style="list-style-type: none"> Committed DCS responsibility member responsibility also in place 	<ul style="list-style-type: none"> No action required 	
1.1.6 Issues relating to data quality are considered by and reported to those charged with governance, e.g. to directors or heads of service.	<ul style="list-style-type: none"> Considered at CMT and by STMs including engagement in Performance clinics and OSP where appropriate 	<ul style="list-style-type: none"> No action required 	
1.1.7 The corporate commitment to data quality is actively promoted, making clear to relevant staff their responsibility for data quality (eg accuracy, completeness, timeliness).	<ul style="list-style-type: none"> Regularly promoted by DCS and Senior Performance Officer 	<ul style="list-style-type: none"> No action required 	
1.1.8 Accountability for data quality throughout the council is clearly and formally defined for relevant staff and is considered as part of the corporate performance appraisal process for those staff.	<ul style="list-style-type: none"> Register established Built into PDP process 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
1.2 The council has clear data quality objectives and these are formally documented.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> specific data quality objectives have been identified; and there is a plan for delivery of these objectives. 			
Criteria for Judgement			
Level 3	Evidence	Proposed Actions	Lead
1.2.4 There is evidence of a strategic approach to data quality in one or more key council documents.	<ul style="list-style-type: none"> Set out in corporate plan Set out in Data Quality Strategy under review Included in all council reports 	<ul style="list-style-type: none"> No action required 	
1.2.5 Corporate objectives for data quality are formally defined and are linked to business objectives. These have been agreed and adopted at top management level.	<ul style="list-style-type: none"> Agreed at corporate and service level and approved by council 	<ul style="list-style-type: none"> No action required 	
1.2.6 There are plans to deliver quality data, with clearly identified actions, responsibilities and timescales to support improvement. This is reflected in an appropriate document e.g. the corporate plan.	<ul style="list-style-type: none"> Approved Data Quality Strategy and action plan which is under review Commitment set out in corporate plan, policy and strategy 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
1.3 The council has effective arrangements for monitoring and review of data quality.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> there is a framework in place for monitoring performance in relation to data quality; and there is a formal programme of review of data quality. 			
Criteria for Judgement			
Level 3			
1.3.3 There is a framework in place which has led to action to address the results of internal and external data quality reviews.	<ul style="list-style-type: none"> Embedded as part of performance management framework 	<ul style="list-style-type: none"> No action required 	
1.3.4 Data quality is embedded in corporate risk management arrangements, with regular assessments of the risks associated with unreliable and inaccurate information.	<ul style="list-style-type: none"> Established as strategic Corporate Risk under review 	<ul style="list-style-type: none"> No action required 	

2. POLICIES			
Has the Council defined its expectations and requirements in relation to data quality?			
Key line of enquiry			
2.1 Organisational policy for data quality has been defined and is supported by a current set of operational procedures and guidance.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> • organisational policy for data quality has been documented; and • operational procedures and guidance meet users' needs 			
Criteria for Judgement			
Level 3		Evidence	
2.1.3 A comprehensive data quality policy has been defined and approved by senior management. This covers: <ul style="list-style-type: none"> • data collection, recording, analysis and reporting; and • all business areas. It also includes any relevant national standards and requirements, as well as defining local practices and monitoring arrangements.		<ul style="list-style-type: none"> ■ Agreed by council and under review to address recent guidance 	
2.1.4 The council's data quality policy is supported by a comprehensive and current set of operational procedures and guidance notes that meet user needs and are fit for purpose.		<ul style="list-style-type: none"> ■ Fundamental Corporate Guidance ■ Some guidance notes at departmental level 	
		Proposed Actions	
		<ul style="list-style-type: none"> ■ Review plan by March 2008 	
		<ul style="list-style-type: none"> ■ Use audit information to identify gaps or carry out revised audit in conjunction with Graeme 	
		<ul style="list-style-type: none"> ■ Establish gaps by March 2008 and develop departmental proposals to fill them 	
		Lead	
		Julie Scott	
		Julie Scott	
		Julie Scott	

Key line of enquiry			
2.2 Policies and procedures are followed by staff and applied consistently throughout the organisation.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> processes are carried out in line with established policy and procedures. 			
Criteria for Judgement			
Level 3	Evidence	Proposed Actions	Lead
2.2.3 All relevant staff are able to access the policies, procedures and guidance. Where possible this is supported by information systems or helpdesk provision.	<ul style="list-style-type: none"> Easily accessed Intranet site Corporate support available to assist 	<ul style="list-style-type: none"> No action required 	
2.2.4 The council can demonstrate that it is proactive in informing staff of any policy or procedure updates and required standards on a timely basis.	<ul style="list-style-type: none"> Intranet site regularly updated and communicated 	<ul style="list-style-type: none"> No action required 	

3. SYSTEMS AND PROCESSES			
Are there effective systems and processes in place to secure the quality of data?			
Key line of enquiry			
3.1 There are appropriate systems in place for the collection, recording, analysis and reporting of the data used to monitor performance.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> systems (manual or computerised) produce data which is fit for purpose. 			
Criteria for Judgement			
Level 3	Evidence	Proposed Actions	Lead
3.1.3 There are systems in place (which may be stand alone) for the collection, recording, analysis and reporting of corporate performance information which is based on data which is accurate, valid, reliable, timely, relevant and complete.	<ul style="list-style-type: none"> Part of performance management framework based on current guidance 	<ul style="list-style-type: none"> No action required 	
3.1.4 Systems and processes operate according to the principle of 'right first time' rather than employing extensive data cleansing or manipulation processes to produce the information required. Arrangements for recording and reporting data are integrated into the council's wider business management processes, and support staff in their day to day work.	<ul style="list-style-type: none"> Basis for council policy Built into corporate performance management framework 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
3.2 The council has controls in place to ensure that information systems secure the quality of data used to report on performance and to keep top management aware of necessary action in relation to data quality.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> The council has appropriate controls to ensure that information systems produce accurate information. 			
Criteria for Judgement			
Level 3	Evidence	Proposed Actions	Lead
3.2.2 Performance information systems are subject to control mapping and testing to prevent and detect data manipulation and error.	<ul style="list-style-type: none"> Audit on performance plus Internal Audit processes 	<ul style="list-style-type: none"> No action required 	
3.2.3 Controls are reviewed at least annually to ensure that they are working effectively. Results of annual reviews are reported to top management.	<ul style="list-style-type: none"> Audit on performance plus Internal Audit processes Results reported to Top management 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
3.3 Security arrangements for performance information systems are robust, and business continuity plans are in place.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> performance information systems are secure, allowing the organisation to function under adverse circumstances. 			
Criteria for Judgement			
Level 3	3.3.2 The council regularly tests its business critical performance information systems to ensure that processes are secure. Reports are made to top management on outcomes. There are plans which are being implemented to address any identified weaknesses.	Evidence	Proposed Actions
		<ul style="list-style-type: none"> Internal Audis report 	<ul style="list-style-type: none"> No action required
			Lead

Key line of enquiry			
3.4 Standards are specified for shared data or data supplied by third parties.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> the council specifies and monitors standards for the quality of data it shares or relies on internally and internally. 			
Criteria for Judgement			
Level 3	Evidence	Proposed Actions	Lead
3.4.3 Quality requirements are specified for all data used by the council which is supplied by another internal department, shared with external partners, or which is provided by a third-party organisation. This includes identifying and complying with all relevant legal, compliance and confidentiality standards.	<ul style="list-style-type: none"> Area for Improvement 	<ul style="list-style-type: none"> Seek guidance from AC on best practice Carry out assessment on what is required by March 2008 Implement by March 2009 	Ian Forster Ilan Forster Ilan Forster
3.4.4 There are some processes in place to validate data from third parties eg. council staff check samples of data against source records, eg. the social services department may check the timesheets of home help carers where this service is contracted out.	<ul style="list-style-type: none"> Checks in place in some processes such as BVPI's, neighbourhood profiles and Revs and Bens. 	<ul style="list-style-type: none"> No action required 	

4. PEOPLE AND SKILLS			
Does the organisation have the resources in place to achieve quality data?			
Key line of enquiry			
4.1 The council has communicated clearly the responsibilities of staff, where applicable, for achieving data quality.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> specific skills and responsibilities in relation to data quality have been identified; and staff understand their role in achieving data quality, and are putting the theory into practice. 			
Criteria for Judgement			
Level 3		Evidence	Proposed Actions
4.1.4 Roles and responsibilities of management and operational staff, in relation to data quality, are clearly defined and documented, eg. these may be incorporated into job descriptions.		<ul style="list-style-type: none"> Achieved 	<ul style="list-style-type: none"> No action required
4.1.5 Data quality targets and standards are set for relevant staff who are assessed against these.		<ul style="list-style-type: none"> Part of PDP and set where developed 	<ul style="list-style-type: none"> No action required
4.1.6 Relevant staff have access to guidelines when inputting data e.g. classification conventions, on-line help or quick reference guides to hand.		<ul style="list-style-type: none"> Set out for performance plus and training manuals 	<ul style="list-style-type: none"> No action required
			Lead

Key line of enquiry			
4.2 The council has arrangements in place to ensure that staff with data quality responsibility have the necessary skills.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> the council has provided training to ensure that staff have the necessary skills and knowledge in relation to data quality. 			
Criteria for Judgement			
Level 3	Evidence	Proposed Actions	Lead
4.2.3 There is a formal programme of training (including updates when necessary) on data quality issues tailored to the varying needs of all relevant staff. Corporate arrangements are in place to ensure that this training is periodically evaluated and adapted to changing needs.	<ul style="list-style-type: none"> Training set out in Training and Development Plan Reviewed to tailor to needs through on line facility 	<ul style="list-style-type: none"> No action required 	
4.2.4 Any weaknesses identified through internal or external reviews of data quality are adequately addressed through the training programme or debriefing and sharing good practice sessions.	<ul style="list-style-type: none"> Weaknesses identified through audit Performance Clinic shares good practice 	<ul style="list-style-type: none"> Enhance Performance Clinic & devote February clinic to Data Quality Review additional requirements by March 2008 	Ian Forster
			Ian Forster

5. DATA USE			
Are there effective arrangements for the use of data for performance management and service improvement?			
Key line of enquiry			
5.1 The council has put in place arrangements that are focused on ensuring that data supporting performance information is also used to manage and improve the delivery of services.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> reported performance information is actively used in the decision making process. 			
Criteria for Judgement			
Level 3	Evidence	Proposed Actions	Lead
5.1.3 Data used for reporting to those charged with governance is also used for day-to-day management and improvement of the council's business.	<ul style="list-style-type: none"> Fundamental to performance management framework 	<ul style="list-style-type: none"> No action required 	
5.1.4 Reports relate performance information to specific targets in the business plan and are used to: <ul style="list-style-type: none"> monitor service delivery forecast year-end achievement identify areas where action is needed. 	<ul style="list-style-type: none"> Fundamental to performance management framework 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
5.2 The council has effective validation procedures in place to ensure the accuracy of data used in reported performance indicators.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> information used to report on performance is subject to a system of internal control and validation. 			
Criteria for Judgement			
Level 3	Evidence	Proposed Actions	Lead
5.2.4 Data returns to government departments, their agencies and regulators are supported by a clear and complete audit trail.	<ul style="list-style-type: none"> Fundamental to performance Management Framework 	<ul style="list-style-type: none"> No action required 	
5.2.5 Data underpinning the information which is used for external reporting e.g. to AC, IPF, CLG, DH, is subject to departmental verification checks.	<ul style="list-style-type: none"> Fundamental to performance Management Framework 	<ul style="list-style-type: none"> No action required 	
5.2.6 All data is subject to senior management approval prior to external reporting to regulators and government departments e.g. AC, IPF, CLG, DH, DEFRA and is submitted on a timely basis.	<ul style="list-style-type: none"> Fundamental to performance Management Framework and submitted within agreed timescales 	<ul style="list-style-type: none"> No action required 	

Data Quality Strategy Monitoring Report

Section 3

Chester-le-Street District Council

Data Quality Key Lines of Enquiry (KLOE)

Evidence and Action Plan Level 4

1. GOVERNANCE AND LEADERSHIP			
Has the council put in place arrangements at a senior level to secure the quality of data used to manage and report on performance?			
Key line of enquiry			
1.1 Responsibility for data quality is clearly defined.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> there is top level commitment to data quality; and the council acts on this commitment, to secure the quality of its data. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
1.1.9 The council has a member lead for data quality issues and this role is undertaken effectively. Members should have received training on the importance of data quality and should also have an awareness of the arrangements the council has put in place to mitigate the risks associated with poor quality data.	<ul style="list-style-type: none"> Portfolio member responsibility Steve Barr Induction training undertaken with members Members have Access to web based tool 	<ul style="list-style-type: none"> No action required 	
1.1.10 Data quality is fully integrated into the council's planning, monitoring and reporting processes.	<ul style="list-style-type: none"> Fundamental to performance Management Framework 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
1.2 The body has clear data quality objectives and these are formally documented.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> specific data quality objectives have been identified; and there is a plan for delivery of these objectives. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
1.2.7 A formal strategy for data quality is in place and has been approved at top management level. The strategy covers all departments and functions.	<ul style="list-style-type: none"> Strategy agreed, approved by council, being implemented, monitored and under review 	<ul style="list-style-type: none"> No action required 	
1.2.8 Challenging data quality objectives have been set for all individual departments or functions.	<ul style="list-style-type: none"> Part of Service Plan 	<ul style="list-style-type: none"> No action required 	
1.2.9 Regular monitoring of the delivery plan can demonstrate that data quality objectives are being achieved.	<ul style="list-style-type: none"> Regular monitoring, report to Executive and OSP 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
1.3 The council has effective arrangements for monitoring and review of data quality.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> there is a framework in place for monitoring performance in relation to data quality; and there is a formal programme of review of data quality. 			
Criteria for Judgement			
Level 4			
1.3.5 There is a framework for monitoring and review of data quality, with regular formal reporting on the accuracy of data supporting key performance indicators. Examples of good practice in securing data quality are shared and promoted for adoption to all relevant staff.	<ul style="list-style-type: none"> Regular monitoring and reporting, including Internal audit, supporting KPIs Performance Clinic shares good practice Corporate Support issues guidance 	<ul style="list-style-type: none"> No action required although could be improved 	Lead
1.3.6 Where appropriate, risks associated with data quality have been fed through to the production of the statement on internal control.	<ul style="list-style-type: none"> Carried out through DCS engagement in Corporate Governance Group 	<ul style="list-style-type: none"> No action required 	

2. POLICIES			
Has the council defined its expectations and requirements in relation to data quality?			
Key line of enquiry			
2.1 Organisational policy for data quality has been defined and is supported by a current set of operational procedures and guidance.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> organisational policy for data quality has been documented; and operational procedures and guidance meet users' needs. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
2.1.5 The data quality policy covers data quality requirements in relation to partnership working, where relevant. (see KLOE 3.4 on shared data)	<ul style="list-style-type: none"> Includes requirements but in need of improvement 	<ul style="list-style-type: none"> Assess needs by March 2008 Agree Policy content with Ian Foster Implement by March 2009 	<ul style="list-style-type: none"> Julie Scott Julie Scott Ian Forster
2.1.6 The council can demonstrate that:	<ul style="list-style-type: none"> data quality procedures and guidance notes are reviewed at least annually and updated when needed; operational processes and guidance continue to be developed and updated; relevant staff are fully involved in the development and updating of data quality policies, procedures and guidance notes. 	<ul style="list-style-type: none"> Set out requirement in Policy Assess needs by March 2008 Implement by March 2009 	<ul style="list-style-type: none"> Julie Scott Julie Scott Julie Scott

Key line of enquiry			
2.2 Policies and procedures are followed by staff and applied consistently throughout the organisation.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> processes are carried out in line with established policy and procedures. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
2.2.5 Each department has been assigned a data quality champion (or equivalent) who promotes existing data quality policies and procedures and who regularly reviews and reports on compliance .	<ul style="list-style-type: none"> Not achieved formally 	<ul style="list-style-type: none"> Address in February Performance Clinic Agree formal process by March 2008 	Julie Scott
2.2.6 The data quality champion (or equivalent) is effective in rectifying any non-compliance and can demonstrate an impact on data quality.	<ul style="list-style-type: none"> Not achieved formally 	<ul style="list-style-type: none"> Address in February Performance Clinic Agree formal process by March 2008 	Julie Scott

3. SYSTEMS AND PROCESSES Are there effective systems and processes in place to secure the quality of data?			
Key line of enquiry			
3.1 There are appropriate systems in place for the collection, recording, analysis and reporting of the data used to monitor performance.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> systems (manual or computerised) produce data which is fit for purpose. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
3.1.5 Systems from different departments are linked for reporting corporate performance information.	<ul style="list-style-type: none"> Not achieved outside performance plus 	<ul style="list-style-type: none"> Not a priority in the light of LGR 	
3.1.6 Where appropriate, systems have eliminated the need for data cleansing and manipulation. System output is still however monitored.	<ul style="list-style-type: none"> Not achieved 	<ul style="list-style-type: none"> Not a priority in the light of LGR 	
3.1.7 The council consults effectively with staff when developing or implementing new information systems.	<ul style="list-style-type: none"> Occurs as part of system development 	<ul style="list-style-type: none"> No action required in view of LGR 	

Key line of enquiry		
3.2 The council has controls in place to ensure that information systems produce the quality of data needed to report on performance and to keep top management aware of necessary action to relation to data quality.		
Audit Focus		
Evidence that:		
<ul style="list-style-type: none"> The council has appropriate controls to ensure that information systems produce accurate information. 		
Criteria for Judgement		
Level 4	Evidence	Proposed Actions
3.2.4 The council can demonstrate that: it is proactive in strengthening performance information system controls rather than merely reacting to issues when detected. it keeps senior management informed of identified issues and how these are being addressed.	<ul style="list-style-type: none"> Not enough information available 	<ul style="list-style-type: none"> Address in Performance Clinic Assess needs by March 2008 Implement by March 2009
		Lead
		Ian Forster
		Ian Forster
		Ian Forster

Key line of enquiry			
3.3 Security arrangements for performance information systems are robust, and business continuity plans are in place.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> performance information systems are secure, allowing the organisation to function under adverse circumstances. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
3.3.3 A business continuity plan is in place to provide protection for records and performance data which are vital to the continued effective functioning of the body. The organisation can demonstrate that it has carried out detailed risk analysis of current and future challenges to the robustness of its performance information systems and made changes to address any weaknesses identified. For example, this may manifest itself as scenario planning.	<ul style="list-style-type: none"> While the council has a business continuity plan in place its is unrealistic to ensure the organisation can demonstrate that it has carried out detailed risk analysis of current and future challenges to the robustness of its performance information systems and made changes to address any weaknesses identified. For example, this may manifest itself as scenario planning. 	<ul style="list-style-type: none"> Business continuity plan in place Not a priority in the light of LGR 	Jim Elder

Key line of enquiry			
3.4 Standards are specified for shared data or data supplied by third parties.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> the council specifies and monitors standards for the quality of data it shares or relies on internally and externally. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
3.4.5 There is a formal data sharing protocol(s) which specifies the responsibilities of partners to provide data which is 'fit for purpose'. If the council contracts out services the service level agreement should state how performance is to be reported and that the data is of the required quality.	<ul style="list-style-type: none"> Not achieved 	<ul style="list-style-type: none"> Take up through LGR Assess needs by March 2008 Implement by March 2009 	Ian Forster
3.4.6 The council seeks assurance that supplied data are of a reasonable quality e.g. a data quality assessment may be carried out by internal or external audit.	<ul style="list-style-type: none"> Not achieved 	<ul style="list-style-type: none"> Take up through LGR Assess needs by March 2008 Implement by March 2009 	Ian Forster

4. PEOPLE AND SKILLS			
Does the organisation have the resources in place to secure quality data?			
Key line of enquiry			
4.1 The council has communicated clearly the responsibilities of staff, where applicable, for achieving data quality.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> specific skills and responsibilities in relation to data quality have been identified; and staff understand their role in achieving data quality, and are putting the theory into practice. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
4.1.7 The council can demonstrate that it has an effective internal network of data quality champions (or equivalent) that have successfully driven data quality improvement throughout the council.	<ul style="list-style-type: none"> Not achieved in formal sense 	<ul style="list-style-type: none"> Implement by March 2008 	Ian Forster
4.1.8 Staff are proactively informed of the results of their efforts in ensuring data quality.	<ul style="list-style-type: none"> Generally Achieved through feedback 	<ul style="list-style-type: none"> Raise further awareness of performance achievement through regular briefings by March 2008 	Ian Forster
4.1.9 Information staff work closely with service level staff to address data recording problems and other data issues.	<ul style="list-style-type: none"> Not enough information available 	<ul style="list-style-type: none"> Address in Performance Clinic 	Ian Forster
		<ul style="list-style-type: none"> Assess needs by March 2008 	Ian Forster
		<ul style="list-style-type: none"> Implement by March 2009 	Ian Forster

Key line of enquiry			
4.2 The council has arrangements in place to ensure that staff with data quality responsibility have the necessary skills.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> the council has provided training to ensure that staff have the necessary skills and knowledge in relation to data quality. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
4.2.5 The council can demonstrate that it has identified the implications and impact of future developments on data quality staff skills and capacity, and is proactively managing these.	<ul style="list-style-type: none"> Not enough information available 	<ul style="list-style-type: none"> Assess needs by March 2008 	Ian Forster
4.2.6 The departmental data quality champion or information staff strengthen the feedback loops by identifying potential data quality issues through, for example, error reports, and see that they are addressed through front line staff training or briefing.	<ul style="list-style-type: none"> Not enough information available 	<ul style="list-style-type: none"> Implement by March 2009 	Ian Forster
		<ul style="list-style-type: none"> Assess needs by March 2008 	Ian Forster
		<ul style="list-style-type: none"> Implement by March 2009 	Ian Forster

5. DATA USE			
Are there effective arrangements for the use of data for performance management and service improvement?			
Key line of enquiry			
5.1 The council has put in place arrangements that are focused on ensuring that data supporting performance information is also used to manage and improve the delivery of services.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> reported performance information is actively used in the decision making process. 			
Criteria for Judgement			
Level 4			
5.1.5 Senior management routinely and actively use data supporting performance information to plan services and allocate resources.	Evidence	Proposed Actions	Lead
	<ul style="list-style-type: none"> Fundamental to performance Management Framework 	<ul style="list-style-type: none"> No action required 	
5.1.6 There is evidence that management action is taken to address service delivery issues identified by data returns and performance information reports. Members have available to them high level information with which they can assess delivery of services in relation to agreed milestones.	<ul style="list-style-type: none"> Fundamental to performance Management Framework 	<ul style="list-style-type: none"> No action required 	

Key line of enquiry			
5.2 The council has effective validation procedures in place to ensure the accuracy of data used in reported performance indicators.			
Audit Focus			
Evidence that:			
<ul style="list-style-type: none"> information used to report on performance is subject to a system of internal control and validation. 			
Criteria for Judgement			
Level 4	Evidence	Proposed Actions	Lead
5.2.7 There is evidence of the outcome of effective quality assurance of the audit trail confirming accuracy of the data.	<ul style="list-style-type: none"> Achieved, Audit and Ac reports 	<ul style="list-style-type: none"> No action required 	
5.2.8 Councils have limited resources so all reported data is rigorously verified both departmentally and corporately, but the extent of this is informed by an analysis of the: <ul style="list-style-type: none"> level of the risk of the data being mis-stated; likelihood and impact of data errors; and accuracy required in the reported performance. 	<ul style="list-style-type: none"> Not enough information available 	<ul style="list-style-type: none"> Assess needs by March 2008 	Ian Forster
5.2.9 A formal documented process for checking externally reported data/performance indicators, both departmentally and corporately, is in place to assure the quality of the data. An example (for this level) is given below.	<ul style="list-style-type: none"> Not enough information available 	<ul style="list-style-type: none"> Implement by March 2009 	Ian Forster
		<ul style="list-style-type: none"> Assess needs by March 2008 	Ian Forster
		<ul style="list-style-type: none"> Implement by March 2009 	Ian Forster

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