

MELTON BOROUGH COUNCIL

PERFORMANCE REPORTING FRAMEWORK

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1. Introduction

This Performance Reporting Framework document sets out the strategy, objectives, quality standards, and overall approach to performance reporting by Melton Borough Council. Reporting is an integral element of our strategy on Performance Management, and enables the Council to monitor the outcomes of its strategic objectives.

This Performance Reporting Framework document has changed radically from the Reporting Framework document produced in March 2008, because of the changes to performance nationally following the election of the Coalition Government in May 2010.

These changes include the planned abolition of the Audit Commission, the end of Comprehensive Area Assessment and the National Indicator Set, the introduction of the Localism Act, the Single Data List and Open Data and the transparency agenda.

All of the changes emphasise the importance of performance management which is locally focused and locally accountable. Also, Melton's elected Members have expressed a wish to see a streamlined performance management system, with a relatively small key set of performance measures, using line-of-sight techniques now common in the private sector.

2. Reporting aims and objectives

The ultimate aim of accurate, timely reporting is to enable the provision of better and continually improving services for residents and business. Management information supports the delivery of the Council's priorities and plans, by showing levels of performance against targets and outcomes as well as providing information which assists decision-making.

Accurate and timely reporting also supports the achievement of external accreditation. The Council needs to continually monitor progress towards its destination. The reporting framework enables consistent and clear reports on Melton's achievements against targeted milestones. Other examples of the contribution of reporting for external accreditation include Investors in People (IIP) and other sector standards.

The reporting framework is also important with regards to monitoring achievement and compliance with our statutory obligations under equalities and diversity legislation. This compliance has a key impact in terms of the Council's corporate assessment and the quality of services provided to the community.

The objectives of Reporting are as follows:-

- To support the transformation of service delivery by the Council and its partners:
 - Illustrating progress against implementation targets
 - Providing business information to show progress against vision
 - Acting as indicators of achievement of overall direction of travel

- To support continuous service improvement and generation of quality outcomes for residents by:
 - Focusing on priorities - giving appropriate weighting to relevant indicators
 - Focusing on areas of poor performance for improvement
 - Enabling Value for Money to be measured
 - Ensuring achievements against equality targets and statutory schemes are monitored

- To support a consistent review cycle by:
 - Enabling focus for medium/long-term financial strategy
 - Ensuring clear lines of accountability
 - Delivering reporting appropriate to the intended audience

- To support and enhance organisational learning by:
 - Providing information to inform decision making
 - Reporting progress
 - Communicating successes in order to motivate and improve morale

The performance framework continues to be developed to meet the continuing aspirations and challenges faced by the Council.

3. The Performance Management Framework and the Corporate Plan

The Performance Management Framework is driven from the Corporate Plan and its key themes and priorities, expressed as 'promises', of which there are ten. The highest level of indicators is mapped to these.

Below the Corporate Plan level are the Service Plans and the Service Standards indicators, and below this, individual teams in services are able to maintain their own supplementary indicator sets for specific purposes, and many of these are closely linked to central government statistical returns which are part of the Single Data list.

Selecting items from this helps with benchmarking performance, as these items are common to all district local authorities and use common data definitions. All of the indicator sets are mapped to the Corporate Plan promises, so that performance measures can be clustered around these, providing a richer management information picture.

Overall performance line-of-sight is achieved by the use of scorecards, based on the 'balanced scorecard' approach now common in the private sector. These are structured around the Corporate Plan key themes, promises and metrics. These are completed monthly by teams within services, and teams may use their Service Standards and supplementary metrics to help inform the judgements about performance that go to set the rating of the elements of the scorecard.

The team level scorecards are linked, so that service level and director level scorecard ratings are calculated automatically from the team level entries. The

highest, director level scorecard gives a strategic overview of the corporate rating of the authority's performance.

4. Key priorities and reporting

The Council's key priorities expressed in its Corporate Plan 2011-15, are:

Theme & Priority		Promise		Goal
People – Support People	1	Support people and businesses through the economic downturn	1.1	Improve individual's financial capability to deal with their financial affairs
			1.2	Improve Young People's work opportunities
People – Support People	2	Improve the well-being of vulnerable people	2.1	Families more able to access services without the need of support
			2.2	Reduction in families with complex need being supported
People – Support People	3	Reducing reoffending and the impact of offending on the community	3.1	Communities are and feel safer
			3.2	More joined up services tackling vulnerable individuals with complex needs
People–Support People	4	Encourage people to take an active role in their communities	4.1	Supporting Communities and projects through volunteering
			4.2	Sustaining Public Services
Places–Improve places	5	Meet the economic needs of the Borough	5.1	A highly qualified skilled and motivated workforce in high value jobs
			5.2	A productive economy with high performing businesses
Places–Improve places	6	Maximise the potential of Melton Mowbray Town Centre	6.1	The vitality of the Town Centre is enhanced
			6.2	A prosperous and sustainable town centre
Places–Improve places	7	Improve quality of life for people living in the most disadvantaged neighbourhoods	7.1	Cohesive communities where ASB is effectively tackled and vulnerable people are supported
			7.2	Well maintained public and private housing
Places–Improve places	8	Increase public confidence and pride in neighbourhoods	8.1	A decent place with an attractive physical environment
			8.2	Improved and attractive town centre

Places– Improve places	9	Help provide a stock of housing accommodation that meets the needs of the community	9.1 9.2	Balanced housing market More suitable and sustainable housing stock
A well-run council– good services that are value for money	10	Provide high performing services that are efficient and meet customers' needs	10.1 10.2	We will demonstrate as an organisation how we are developing a 'one team' approach To deal with 80% of all customer queries at the first point of contact

These priorities, expressed as 'promises', are explicitly linked to the Council's Values, and to the Melton Commissioning Plan priorities. These are set out in the table forming **Annexe 1** to this document.

5. The reporting timetable

The Council's reporting timetable requires services and teams to ensure that performance information in scorecard and metric collectors is complete at the end of each financial quarter.

This ensures that the T3 Team meetings for Third-Tier Managers quarterly can monitor progress in conjunction with the Chief Executive, and that appropriate information is available to elected Members at the Performance Management Information Task Group (PMITG) quarterly.

Teams within services should be collating their information monthly for team use and feedback, in conjunction with monthly budget reporting.

6. Requirements for scorecards, scorecard team meeting proformas, and metrics

Scorecards, scorecard team meeting proformas and metrics are the 3 chief parts of the physical reporting arrangements by which performance information is captured.

Currently, these are all available for access in the corporate Q drive, and the 2012-13 documents are accessible at:

[Q:\19 Management\Quality and Performance\Scorecards and metrics\Scorecards and metrics 2012-13](#)

Guidance documents for completing the team scorecard and metric sheets is provided for officer use within this folder. The scorecard team meeting proformas contain their own compilation guidance.

The guidance clearly sets out that teams must factor into their scorecard rating any equalities issues and the team meeting proformas enable a detailed record to be kept of their reasoning behind the scorecard ratings they set.

The scorecards and scorecard team meeting proformas are deliberately structured in a way which provides a key line of enquiry (KLOE) drill-down to the reasons for the ratings given, so that the ratings and the performance metrics can be understood through audit as constituting an explicit 'giving an account of' the Council's work in relation to understanding its performance.

The scorecard ratings are also purposively designed to relate to a risk management approach to performance, so that performance management resources are focused where they are most needed.

7. Reporting to Members and Committees

Corporate reporting of key performance information is required to go through the following stages:

- T3 Team – for monitoring, review, and action planning
- Management Team quarterly – for review, amendment and sign off
- Performance Management Information Task Group (PMITG) – review, guidance, queries
- Governance Committee or other relevant Committee
- Full Council – for review and sign off (of top level scorecard, Corporate Plan and Service Standards metrics)

The reporting framework will ensure timeliness of key performance information. Key reports should be scheduled into Committee meetings in advance via the relevant Committee Administrator and in line with the Council's formal decision-making process.

Performance reports using performance information are required to be compliant with Corporate report writing Guidelines, and to use the performance reporting templates for Committees. The benefits of this are:

- Reports sent to the relevant Committee Administrator in good time for inclusion on agendas
- Reports fully and accurately completed – compliant with corporate guidelines
- More effective and efficient decision-making through the provision of key information and appropriate recommendations.

It is the responsibility of the report writer to liaise with the Performance & Information Management Officer to ensure reports are compliant.

Reports to Committees

The performance report template provides focus on developing the following elements of the strategic framework:

- Improvement Planning
- The Golden Thread (the service performance framework)
- Corporate Performance and Direction of Travel
- Data Quality
- Value for Money
- Developing Partnerships

- Developing Community Engagement

Reports will often deal with ideas and plans for improvement rather than operational requests for approval for specific actions. The subjects to be reported on to Policy Committees are decided at T3 Team and Management Team, but are likely to fall into one or more of the following categories:

- 'Stubborn' performance indicators (those which do not improve over a significant timeframe – often longer than a year)
- Key priorities
- Corporate development programmes
- Improvement actions highlighted by inspection reports

The characteristics of these groups are that:

- Ongoing underperformance suggests significant issues in achieving improvement
- Performance management in cross-functional and partnership working is more challenging
- Inspections will re-examine previous findings
- A combination of significance and complexity enhances the risks associated with performance.

The Performance Report template is located on the X: drive in the Committee Folder.

For the purposes of Freedom of Information it should be recorded whether the document is in the public domain.

Report authorisation and sign-off

Heads of Service are accountable for the performance indicators and service delivery within their area, therefore it is appropriate to ensure ownership and accountability is managed with a robust sign-off and authorisation process.

Melton's Data Quality Policy (**Appendix A**) sets out the strategy, objectives and sign-off responsibilities for performance indicators.

Draft reports are subject to the standard approval procedure as laid down by Democratic Services.

To ensure reports are fit for purpose, accurate, and include contextual information/comments for internal and external audiences as appropriate, Senior Managers and the Performance & Information Management Officer will check them, and request amendments as appropriate.

Due regard to the above will be planned into the production and publication of such reports. Carrying out a review, which correctly identifies the issues and actions, based on accurate, appropriate and relevant data, trends and performance information, will take time proportionate to the scale of the issue.

Corporate performance and performance against Service Standards will emphasise outcomes, not simply outputs, and should show the 'Direction of Travel' over the period of the Corporate Plan. Value For Money (VFM) analysis over time should also show a broader 'Direction of Travel' for the Council.

8. Roles, responsibilities and ownership

Roles and responsibilities for reporting

The roles and responsibilities for performance management are set out within the metric collection grids, as Heads of Service, Responsible Officers and Compiling Officers are all listed in relation to the metrics they are responsible for maintaining.

Diagrams showing the Performance Management System and Framework are available as Annexes to this document:

- **Annexe 2: Performance Management - Framework**
- **Annexe 3: Performance Management - System**
- **Annexe 4: Performance Management – Managing the SCS**

Performance metrics and ownership

- Metrics will be linked to each Corporate Plan priority 'promise' and incorporated into Service and Team plans.
- Service 'T3' Managers have ownership for performance metrics within their remit and responsibility.
- The ownership and responsibility for data accuracy, reporting and targeting will extend down to team and individual level where appropriate.
- Each metric will be monitored for its past, current and potential future performance.

N.B. It is the responsibility of T3 Team managers when staff change roles or leave the Council to ensure that objectives are either transferred to alternative staff members or deleted altogether.

9. The 'Golden Thread'

The explicit mapping of Corporate Plan priority 'promises', Council Values and Commissioning Plan priorities as part of a 'line-of-sight' approach which aligns activity from teams' everyday work to corporate objectives creates a 'Golden Thread' of performance throughout the organisation.

This 'Golden Thread' or 'line of sight' can be observed in the following points:

- Corporate Plan – priorities/promises (key strategic intentions) with metrics (key performance indicators)
- Scorecard – high-level risk management values assigned to corporate plan items, creating business focus
- Corporate Plan metrics and Service Standards metrics – high-level metrics informing scorecard value decisions and providing overall key performance data
- Supplementary datasets (local indicators, business-level datasets) to assist with scorecard value decisions, using the concept of 'clustering' around Corporate Plan priorities/promises

- Team meetings using scorecard team meeting proformas to capture information including performance feedback for team managers to complete the scorecard, which helps to drive the meetings
- Team managers should keep the team meeting proformas as a record of meetings and scorecard value judgements for audit purposes, providing a key line of enquiry approach
- Corporate Plan – Scorecards and metrics – Team meetings – Team meeting proformas creates the line of sight from team activity in services to corporate level activity – the specific performance management ‘Golden Thread’

Further illustration of the ‘Golden Thread’ can be seen in the Performance Management – Framework and System diagrams at **Annexes 2 and 3** to this document, as these show how the performance management process is embedded in the Council’s work.

‘The Melton Truth’

The ability to link together the Council’s performance information to create the ‘line of sight’, as well as being able to make links to the Value For Money (VFM) analyses, Customer Insight data, and the Leicestershire SCS themes, contributes to the creation of a performance overview that is intended to create a body of data which is agreed and accepted as politically value-neutral and which can further mature political discussion by elected Members and partner organisations.

To complement the picture of Melton’s work that this yields, the Council has commenced the creation of a hub of information about the people of Melton who constitute the ‘customer base’ of the Council’s work. This resource will be called the ‘Melton Truth’, and is intended to draw together demographic sources and customer insight data to provide both a comprehensive picture and a reliable source and store of information.

10. Data quality and accuracy

Reports are only as useful as the accuracy of the information being put into them. Lack of reporting consistency can lead to misunderstandings or other errors, which in turn can lead to flawed decision making. Having a consistent, clear and robust reporting framework should make data accuracy issues easier to identify and resolve at an early stage.

In May 2006, the Audit Commission issued a Key Line of Enquiry document (KLOE), which sets out levels of good practice to ensure that data quality management arrangements are in place. It covers: -

- 1) Governance & Leadership
- 2) Organisation expectations and requirements for data quality
- 3) Effective systems and processes in place to secure data quality
- 4) Organisational resources required to secure data quality
- 5) Effective arrangements and controls for the use of data

While the Audit Commission is set for abolition, the principles remain valuable and have been incorporated into the approach Melton has taken in the design of its post-CAA performance management arrangements.

The Data Quality Policy sets out the standards and approach to be adopted by the Council. Data quality and accuracy is audited regularly within normal audit procedures. The Leicestershire Information Management Advisory Group's Data Quality Strategy (**Appendix B**) provides additional procedures on data monitoring and reporting activities relating to the Leicestershire SCS and the Commissioning Hubs.

11. Risk management

Risk is a feature of all organisations and includes physical risks to people or property, financial loss, failure of service delivery, information management and damage to the organisation. Risk is a particular attribute of the more creative of the Council's developments. Risk can be defined as:

"the chance of an event happening and leading to unintended effects which will impair the organisation's ability to achieve its objectives".

The traditional means of protecting against the more obvious risks has been through insurance. However, there are many risks which cannot be insured against and which must be addressed in different ways. Even in the case of those risks which are insurable, action can be taken to reduce the potential risks with consequent savings of premiums and disruption of work.

Risk management is a proactive approach which:

- Addresses the various activities of the organisation;
- identifies the risks that exist;
- Assesses those risks for potential frequency and severity;
- Tames the risks that can be eliminated;
- Treats the effect of those risks that cannot be eliminated;
- Tolerates those risks which it would be prohibitive to act against and puts in place financial mechanisms to absorb the financial consequences of those risks that remain.

The Council has a Risk Management Policy and Strategy. The Risk Management process is clearly documented, and consists of five stages to minimise risks that could negatively impact the achievement of the organisation's objectives, based on the Improvement Programme (long and medium term goals) and Service Plans (annual activities, priorities and goals for the year):-

- Stage 1: Risk Identification
- Stage 2: Risk Analysis
- Stage 3: Prioritisation
- Stage 4: Mitigation
- Stage 5: Monitoring

Risks associated with metrics, and data quality, are identified and reviewed as part of the normal risk management process. These are reported on quarterly at Management Team, to ensure that agreed risk mitigation activities are being conducted, and to ensure that management activities are successfully reducing or eliminating risks.

12. Complaints Reporting

A Complaints Management process is in place within the Council. This involves the registration of all complaints by Customer Services on the central CRM system, so that their progress can be reported, tracked and monitored against the defined Complaints Procedure.

Heads of Service are responsible for responding to complaints made against their service, and as part of dealing with the complaint they formulate action plans where appropriate to improve service levels or revise service standards.

Complaints are reported to Members as part of their regular newsletter 'Ward Matters'.

Business-as-usual complaints and generic issues are monitored monthly, with overall results reported quarterly to the T3 Team and quarterly Management Team under 'Hot Topics'. Issues which have been flagged to the owning service are brought to that group for explanation and remedial action planning. Member-related issues will be addressed via the Performance Management Information Task Group (PMITG).

13. Value For Money (VFM) studies

Value For Money (VFM) studies have been carried out as discrete exercises in 2009 and 2012, using a matrix-based approach derived from Chartered Institute of Finance and Accountancy (CIPFA) guidance.

The methodology for VFM rating and comparison of performance over time continues to be developed, and is linked to the development of a methodology for assessing the unit costs of the Council's service delivery.

This work is seen as increasingly important in determining the balance of resource allocation between the services the Council provides, as it seeks to optimise the provision of services under economically challenging conditions.

VFM analysis over time, between the VFM exercises, will help to give a broader 'Direction of Travel' picture of the Council's performance. Benchmarking data are available from the Audit Commission's VFM Audit Tools currently, and more information will become available as the LG Inform system is developed.

14. Visibility and accessibility of reporting and Open Data and Transparency

The Council collectively produces a plethora of performance information and reports. The audiences for these vary and consideration must be given to the appropriate level of visibility and public access for each report, whilst meeting the requirements of the Freedom of Information Act 2000 and the Publication Scheme, and Open Data and Transparency obligations.

Interim monthly reporting of performance information will be used by the T3 Team to act as a signal for early identification of problem areas.

All data must go through the rigorous process of data quality checking, investigation, validation and sign-off, prior to any publication outside of the authority. The final performance position can only be confirmed and publicly stated at the time of statutory reporting deadlines.

Some information is freely available under the requirements of the Freedom of Information Act on the Council's website. The structure of this information will be amended over time as required to comply with the Open Data and Transparency guidance from the Department of Communities and Local Government, and amendments to the Freedom of Information Act 2000 relating to the publication of local government datasets.

15. Partnerships and benchmarking

Partnerships – the SCS Framework

The **Melton Community Partnership** is the body that brings together all the organisations involved in the development of Melton to help them work in partnership to achieve the vision of the **Melton Sustainable Community Strategy (SCS)**. It consists of local leaders from the Council, Primary Care Trust, the Police, education, voluntary and community organisations and local businesses.

The Melton Community Partnership is the **Local Strategic Partnership (LSP)** for Melton. The Partnership is responsible for approving and managing the performance of both the **Melton Sustainable Community Strategy (SCS)** and sits alongside the **Leicestershire Sustainable Community Strategy (Leicestershire SCS)** and the **Leicestershire Together Partnership (the County LSP)**.

The **Melton Community Partnership Core Group** is required to strategically lead on issues affecting the community, tackle delivery difficulties, identify new challenges and make recommendations on any significant changes to the SCS. The SCS includes the following priorities, which have supporting action plans:

- To regenerate Melton Mowbray Town Centre so that it is a place where the community can be proud of.
- To create a step change in our approach to supporting and developing young people in the borough.
- To develop better access to better services across the borough.

A Lead Partner is Leicestershire Together supported by Leicestershire County Council.

There are **FIVE** main themes driven through **Commissioning Hubs** which are accountable for the delivery of the theme activities:-

- Children and Young People
- Safer Communities
- Health and Wellbeing

- Environment
- Economic Performance

There is also a 'Cross-cutting' performance strand intended to be measured.

Melton Borough Council, as a partner in the County SCS, has agreed to report on a number of indicators relating to the five themes and cross-cutting performance which measure the effectiveness of these activities. The information will be submitted to Leicestershire County Council, which will collect the data countywide.

Partnership performance management arrangements

The **People and Places Group** is responsible for performance management against the priorities in the Melton SCS.

As they link with the Melton Sustainable Community Strategy, a unified data set is being developed. Although each partner agency has its own performance requirements, they will feed relevant information to Leicestershire Together with individual local data being reported to the Melton Community Partnership (MCP).

The People and Places Group also monitors the Melton Commissioning: Place which has identified the following *four* priority outcomes:

- Regenerating the Melton Borough and Town Centre
- Improving the infrastructure of Melton
- Supporting vulnerable people including Families with Complex Needs
- Neighbourhood management

The Council's Governance Committee will also consider its role in monitoring the impact the SCS is having on improving partnership working.

The creation of the Corporate Reporting system of scorecards and metrics ensures that there is an underpinning framework to manage Melton Borough Council performance to meet local priorities and outcomes, which supports the MCP objectives.

The key Corporate Improvement Programmes are:

- Transformational Change Programme, including Customer Insight
- Reprioritisation Programme ('Turning the Tanker')
- Value For Money (Efficiencies Agenda)
- Workforce Development and Learning
- Corporate Governance, Ethics and Probity

Additional key reports include those which are necessary for reporting to government departments, for external funding streams or for contractual/partnership agreements.

The Council's Corporate Promises and programmes to deliver them will be explicitly mapped to the five Commissioning Hubs themes, so that the Melton contribution to their delivery can be clearly understood.

Benchmarking

The end of Comprehensive Area Assessment and the end of the former LAA funding process have changed the context in which the previous countywide performance reporting arrangements operated.

Also, the end of the National Indicator regime has changed the national framework for benchmarking, which has led to the Local Government Association creating the LG Inform web-based benchmarking tool, and to a number of regional and local benchmarking initiatives, which are still in the process of formation.

The Government has expressed its view that benchmarking and performance measurement should not lead to the 'industry' that was entailed by the old CAA regime.

Melton is therefore participating in a regional benchmarking process which will also be used by county partner authorities, and Melton will also be building up reporting through the LG Inform system as that system itself is developed. The LG Inform system will be populated with a wide range of information including Single Data List and Census 2011 data.

16. Audit process

Adherence to the policies, standards and processes outlined in this Reporting Framework will be audited triennially by the Internal Audit team.

17. Document ownership and change control

This Reporting Framework document is owned by the Corporate Management Team and is subject to a formal approval process through the T3 team and quarterly Management Team. The Reporting Framework will be maintained by the Performance & Information Management Officer, who will assess feedback on the process and progress any identified request for change. It will be subject to annual review to take account of any changes to the overall performance management agenda.

Appendix A Data Quality Policy

Melton Borough Council DATA QUALITY POLICY

1 Introduction - Strategy

1.1 Data Quality is an underpinning requirement and enabler of our ability to use data, whether for performance management of the organization, or for designing services which give people in our community what they want. The authority collects and reports upon a range of data which needs to be calculated accurately. This includes the Best Value Performance Indicator data contained within the Corporate Plan, and Business Intelligence data, both of which can guide decisions, inform strategies and ultimately improve service delivery. This Policy encompasses all other external returns. The Council's strategy is to ensure that data is managed to the highest quality.

1.2 Our objectives for the management of data quality are:

- To collect that information which is essential to business and performance management, and which accurately identifies the Council's performance over time, and customer requirements
- To ensure that the data collected is both accessible and secure
- To have data collection processes which result in information which is 'right first time'. This encompasses the audit requirements of accuracy, reliability, timeliness, relevance and completeness, and ensures that data is processed and added into the performance and business intelligence management systems by few people, as near to source as possible
- To identify and address issues with data quality at the earliest possible opportunity
- To ensure that data is used appropriately both within the organisation and externally to achieve knowledge and understanding of how well the Council is performing, and to drive improvements.
- To underpin our 'show me' culture (evidence based decision-making)

1.3 This Data Quality Policy sets out the framework within which this work is undertaken.

2. Data Quality Procedure

2.1 To ensure that the management of performance is coherent, the following roles and responsibilities are operated:

- Chief Executive – Ultimate strategic responsibility for data quality
- Heads of Service – Strategic responsibility for data quality submitted from the service
- Assistant Chief Executive (CW) – Responsible for co-ordination of performance data and systems to support this activity, and compliance with national and legislative requirements

- Head of Social and Economic Development – Responsible for co-ordination of business intelligence data and systems to support this activity, and compliance with Freedom of Information and other legislation pertinent to the holding of data on customers, businesses and our geographical area.
- Responsible Officer – Operational accountability for the quality of data generated in their service area
- Data Compiler – Operational responsibility for gathering data within their service area
- Internal Audit Manager - Independent validation of systems and controls

2.2 Heads of Service and section managers will ensure that:

- appropriate systems are in place to collate data ('right first time'), and that they are fit for purpose
- electronic systems/procedure notes/manuals are in place for business-critical systems and that these are reviewed and updated as appropriate
- staff are aware of the requirement for them to assure data quality and that responsibility for data quality is reflected in job descriptions and the appraisal process. Services are encouraged to ensure that suitable appraisal targets are included in work plans.
- ensure that third parties are aware of the requirement for them to assure data quality, and our processes for checking the information they provide. When entering into contracts with service providers, wherever relevant, to ensure there is a contractual requirement to provide timely and accurate information
- appropriate risk management and business continuity management arrangements are in place

2.3 The Assistant Chief Executive (CW) will ensure that appropriate IT systems are available to support officers in collating performance data, and that external submissions of that data comply with national and legislative requirements.

2.4 The Head of Social and Economic Development will ensure that the appropriate IT systems are available to support officers in collating business intelligence data.

3 Producing Performance Indicator Out-turns

3.1 Each performance indicator (BVPI or other) will have a designated officer ('the Responsible Officer') who is responsible for managing progress against targets that have been set, for managing risks associated with the indicator and for verifying the accuracy of published outturns.

3.2 Outturn data will be produced as soon as is practicable after the required timescale has elapsed. The Responsible Officer will ensure that calculations / workings are checked by a colleague to reduce the potential for error.

- 3.3 Working papers for audit inspection will be maintained and submitted corporately for review. The Responsible Officer by submitting the data confirms that the data provided has been produced accurately. Heads of Service by authorising and forwarding the data within their area of responsibility are certifying that it is correct.

Appendix B Leicestershire Information Management Advisory Group Data Quality Strategy

Information Management Advisory Group

Data Quality Strategy

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In order to ensure a consistent approach to data quality for the business reasons outlined above. IMAG will oversee the establishment of the following across all partner organisations in Leicester and Leicestershire	24
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Section 1: Introduction

Purpose of the strategy

The purpose of this strategy is to set out a common approach to data quality across partners in Leicester and Leicester shire.

Recognising that to improve outcomes for communities and tackle complex cross-cutting issues, local authorities and other public bodies will need to work together. "Public services need reliable, accurate and timely information to manage services and account for performance" (Audit Commission, 2007) in order to provide joined-up services designed around the needs of local communities.

This strategy will support partners in:

- Improving their ability to make sound decisions based on trusted, reliable, consistent data and improve outcomes for local communities
- Better understanding of the business environment, maximise opportunities to improve services and reduce costly operational inefficiencies
- Meeting the requirements of the Comprehensive Area Assessment, the new performance management framework being implemented in 2009
- Meeting the requirements of the IMAG partnership vision for information management, to consistently improve the usefulness of information resources to enable better joint-working and deliver improved public services

The strategy sets out the work required in order to consistently deliver high quality data.

Leicestershire Information Management Advisory Group

The Information Management Advisory Group (IMAG) was formed in 2006, to support the Leicestershire Together partnership groups by offering advice, and developing initiatives that improve the capacity of partners to share information, and facilitate a joint understanding of issues affecting citizens and local communities. It will promote communication between partners, encourage good practice and develop guidance, standards and policies, and support improved consistency of information across partners. The group's members are drawn from a diverse range of organisations from across Leicester Shire, and include representatives from most Local Authorities, Connexions Leicestershire, Leicester City Council, Leicestershire Constabulary, Leicestershire County Council, Leicestershire County and Rutland Primary Care Trust, and Leicestershire and Rutland Fire and Rescue Service.

As-is situation in Leicester and Leicestershire

IMAG agreed that an important first step to developing a data quality strategy for partners working in Leicester and Leicestershire would be to ascertain a better understanding of the existing organisational approaches to data quality across the county. Appropriate representatives from most local authorities, Leicester City Council, Leicestershire Connexions, Leicestershire Fire and Rescue Service, Leicestershire and Rutland Primary Care Trust, and Leicestershire Constabulary were interviewed; and their responses, organisational requirements, and examples of good practice have helped form the basis of this strategy.

- Overall there has been a positive reaction for the development of a data quality strategy to support partnership working in Leicester and Leicestershire. In most organisations there is no data quality or information quality strategy, these organisations tend to have specific policy related to the use/management of data. In organisations where there is an existing data quality strategy, or where an organisational data quality strategy is under-development respondents felt that a DQ strategy for partnership working would compliment or align with their own strategy.
- There is no consistency of where strategic responsibility for data sits within the organisations. In some organisations responsibility for data is interpreted as an operational role and sits with Heads of Services or at Directorship level. In a few organisations overall strategic responsibility for data rests at Chief Executive Level, with more specific roles and responsibilities delegated at other layers of management within the organisation.
- In some organisations the management of data quality has traditionally been a function of the Information Technology teams, and its focus was closely aligned to ensuring the quality of the product in terms of producing sound and dependable information. All organisations identified a growing expectation to make more sophisticated and effective use of data as a tool for service design and more specifically to measure the performance of service delivery.
- All of the organisations reported that they share their data with other strategic partners within Leicester and Leicestershire or at the regional or national level. They have all agreed to the Information Sharing Protocol (ISP) for Leicester and Leicestershire, although some of the partners with whom they share data with have not consented to the ISP.
- The approach taken to staff training to help them manage and make appropriate use of data varies widely. Only a small number of organisations reported a highly developed approach to staff training. For example, one organisation provides training on data quality to all new members of staff and all members of staff have clearly defined responsibility for data quality. In most organisations training is provided only to roles which have specific data functions attached.

What is meant by data quality?

The quality of data is generally defined as the degree to which the data is ‘fit for purpose’.

Khan, Strong and Wang (200??) asserted that in order to understand data quality, the quality of the product [the data] cannot be separated from the context in which it is used. They identified two key principles of data quality; *product quality*, the extent to which data conforms to a specified set of standards that ensure the data is sound and dependable, and *service quality*, the extent to which data meets or exceeds the expectations of its users, in terms of its usefulness and its usability.

	Conforms to specification	Meets or exceeds consumer expectations
Product quality	Sound information • Free of error	Useful information • Appropriate amount

	<ul style="list-style-type: none"> • Concise representation • Completeness • Consistent representation 	<ul style="list-style-type: none"> • Relevancy • Understand ability • Objectivity
Service quality	Dependable information <ul style="list-style-type: none"> • Timeliness • Security 	Usability information <ul style="list-style-type: none"> • Believability • Accessibility • Ease of manipulation • Reputation • Value-added

Khan, Strong and Wang (200?)

By splitting the dimensions of data quality into the principles of ‘product quality’ and ‘service quality’, practitioners are able to gain a deeper understanding of their data’s ‘fitness for use’. The ability to ascertain ‘fitness for use’ in this way is particularly useful in the partnership environment, where strategic partners are being challenged by central government to deliver complex joint-services to improve the socio-economic future of their communities.

The multi-agency approach to service delivery has driven an increase in interest in the use of data across strategic partners, where it has the power to build a more holistic understanding of the needs of local communities. Therefore, ‘fitness for use’ cannot be confined to a particular system, service, or organisation; it must consider the business requirements and product standards across a whole range of organisations in Leicester and Leicestershire.

Using data: opportunities and risks

Public authorities in Leicester and Leicestershire need consistently high quality, timely, and comprehensive information to deliver improved services and communication with customers, citizens, businesses, and central government. High quality data is fundamental to the production of high quality information, and supports:

- Service delivery and design
- Information governance
- Information Sharing Protocols with partners
- Accountability and relationships with partners, customers, and citizens
- Consistency and continuity of information shared across strategic partners
- Public authority staff to perform their roles and responsibilities effectively

Conversely, poor quality data has the capacity to produce misleading information, interfere with business processes, hinder collaborative working with strategic partners, damage organisational reputation, and result in poor decision making. An effective data quality strategy assists the organisation and its partners to better understand their business, interactions with customers and strategic partners, and requirements for future development; it maximises opportunities and reduces costly operational inefficiencies.

Drivers for improving data quality

Strong and prosperous communities: the local government white paper

- Indicates the need to understand our communities better, in order to be able to respond to their needs
- Identified the need to 'challenge traditional methods of delivery' and to 'increase the pace of change' with public service organisations working together 'to overcome administrative boundaries that sometimes act as a barrier to service transformation' which will mean 'sharing assets, systems, data, skills and knowledge more effectively.'

New performance management framework (Comprehensive Area Assessment)

- Quality of information and data is now a crucial part of the assessment framework
- Quality of information and data is important to ensure that we have an accurate understanding of community and individual needs, and support service design and delivery in responding to those needs
- Focus on evaluating the performance of public service providers to work in partnership to improve outcomes for their communities

Transformational Government

- Outlines the importance of developing shared service operations across partners
- Having consistently defined standards, responsibilities, protocols and high quality information and data is crucial to providing the foundation and authority to develop shared services

Varney report on service transformation

- Highlights the importance of information management and governance in transforming service delivery, and developing the capabilities to 'join up' service delivery between partners across channels

Key lines of enquiry (KLOE) 2007

- Local Authorities have to put in place arrangements at senior level to secure the quality of data used to manage and report on performance
- Local Authorities can provide evidence there are clear data quality objectives and these are formally documented
- Local Authorities are required to use specified standards for the quality of data it shares or relies on internally or externally, standards are monitored

IMAG partnership vision for information management

- Intelligence about communities is available from a wide range of sources (e.g. service delivery patterns, socio-economic data, direct feedback from service users, surveys, other consultation intelligence, resourcing intelligence such as financial, staffing and asset information), it is available, shared, and understood by strategic partners and informs decision making
- The performance management framework is supported by sharing of information and intelligence through good collaborative working arrangements with strategic partners
- Strategic partners have a reputation for good management of their customer information

Improving information to support decision making: standards for better quality data. Audit Commission (2007)

- Introduces a set of standards to define the arrangements public bodies can adopt to drive improvement in the quality of their data, building confidence in the data used by all bodies in partnership working

Section 2: Data quality framework

Wilshire and Meyen (1997) describe data quality frameworks as a vehicle that an organisation can use to define a model of its data environment, identify relevant data quality attributes, analyse data quality attributes in their current or future context, and provide guidance for data quality improvement.'

User focussed approach

A high performing organisation consistently improves its use of data and information to increase its knowledge and wisdom (IMAG, 2007). High quality raw data provides assurance that decisions are made using sound, dependable information. However, the power of data is realised only in its use, and organisational development is dependant upon its ability to harness its information resources. Therefore the framework on which this data quality strategy is designed is underpinned by the fundamental requirement of data to meet or exceed its user's expectations:

- The data must be accessible to the data user. For example, they know what data exists, where it is kept, and how to retrieve it
- The data user must be able to interpret data. For example, the data is presented in an appropriate format to enable the user to infer information from it; data users have the appropriate skills to make effective use of it.
- The data must be relevant to the user. For example, the data is pertinent and timely for use in the decision making process
- The data user is confident the data is accurate. For example, the data is correct, objective, and derived from a reputable source

Strategy principles

In order to ensure a consistent approach to data quality for the business reasons outlined above. IMAG will oversee the establishment of the following across all partner organisations in Leicester and Leicestershire

1. Governance and accountability

- 1.1 Data quality will be consistently incorporated into the organisations corporate risk management arrangements
- 1.2 Regular assessment of risks relating to reliability and accuracy will be undertaken
- 1.3 Senior individual at top management level will have overall strategic responsibility for data quality, and will also be reviewed by IMAG
- 1.4 There will be a framework for indentifying and complying with relevant legal compliance
- 1.5 There will be demonstrable commitment to the data quality strategy as part of the organisations corporate management arrangements

- 1.6 There will be recognition for the impact data quality has for maintaining corporate reputation and obtaining income, and evaluation of the business impact of poor quality data

2. Roles and responsibility

- 2.1 There will be consistency in the definition of roles across partners
- 2.2 Staff will have a clear definition of their role in relation to producing and maintaining data quality
- 2.3 Staff at all levels within the organisation need the appropriate knowledge, competencies and capacity for their roles in relation to data quality, recognising that they are the key to recording accurate and reliable data

3. Monitoring data and Identifying issues

- 3.1 IMAG will undertake a high level review of controls supporting data quality to ensure they are effective, and ensure the results of the reviews are reported
- 3.2 Organisations will develop a process whereby internal audit incorporates data quality into their review programme, in line with agreed policy and standards agreed by IMAG
- 3.3 Organisations will develop an annual programme of work to ensure that controls supporting data quality are effective, and ensure the results of the reviews are reported
- 3.4 Organisations will ensure information which is used for external reporting is subject to rigorous verification, especially where errors may lead to loss of reputation or income. IMAG will review communications arrangements for data quality reporting and ensure a consistent approach across partners
- 3.5 Organisations will review controls in performance management processes to minimise the scope for human error, manipulation, and prevent erroneous data entry, missing data, and unauthorised data changes in line with policies and standards agreed by IMAG
- 3.6 Where data quality reviews are undertaken by organisations, they will ensure the findings are reported to senior management and IMAG.

4. Policy and procedures

- 4.1 Formal approach to identifying, documenting, and validating data quality expectations
- 4.2 Policies and procedures are reviewed periodically and updated as required

- 4.3 Ensure there is a protocol for measuring data quality of information at various stages of its lifecycle (create, distribute, access, update, retire)
- 4.4 All staff can access DQ policies and procedure
- 4.5 Policies and procedures meet the requirements of any relevant national standards
- 4.6 Data quality policy and standards will be agreed by IMAG to ensure consistency

5. Systems and processes

- 5.1 Arrangements for collecting and recording the data should be integrated as far as possible into the wider business planning and management process
- 5.2 Organisations will recognise the impact of systems and processes on the reliability of data
- 5.3 Data should be collected and reported along the principle of 'getting it right first time'.
- 5.4 All partners sharing with, or receiving data from public service providers will manage and use the data in accordance with the Leicester Shire Information Sharing Protocol or any alternative agreed by IMAG, and appropriate Service Level Agreements
- 5.5 IMAG will ensure and agree the further development of Information Sharing Protocols
- 5.6 Organisations will ensure that the procurement of new information technology systems will manage data which is fit for purpose; IMAG will oversee and agree the development of data quality requirements and standards to be applied to new systems across partners

6. People and skills

- 6.1 To meet the business requirements of partnership working; IMAG will develop a shared approach to training, making best use of specialist resources across partners and work towards developing the establishment of a Leicester and Leicestershire Information Management Centre of Expertise
- 6.2 Staff at all levels within the organisation will have appropriate knowledge, competencies and capacity for their roles in relation to data quality
- 6.3 Training on data quality will be incorporated into the organisations staff training strategy. Data quality training will be a mandatory part of the staff induction program
- 6.4 Organisations will ensure that all staff (including, consultants, temporary and contract staff) understand their responsibility for the quality of data held in the organisation. Roles and responsibilities in relation to data quality will be

incorporated into employee job descriptions

7. Data use and reporting

- 7.1 Embed performance management arrangements so that outputs are integrated into the management processes of the organisation, and support staff in their day-to-day work
- 7.2 Ensure that all data returns are supported by a clear and complete audit trail
- 7.3 Register of key performance information returns that are collected and reported, register of data that partners share with the organisations, and a register of data that the organisation shares with its partners
- 7.4 Embed the process for ensuring departmental checks on data are undertaken before entering it onto the performance management system
- 7.5 Design and implement a process for validating data received from third parties

Further Action

IMAG will take responsibility for developing a programme of work that ensures consistency as defined by the strategy.

IMAG will also take responsibility for establishing other programmes of work as defined in this strategy.