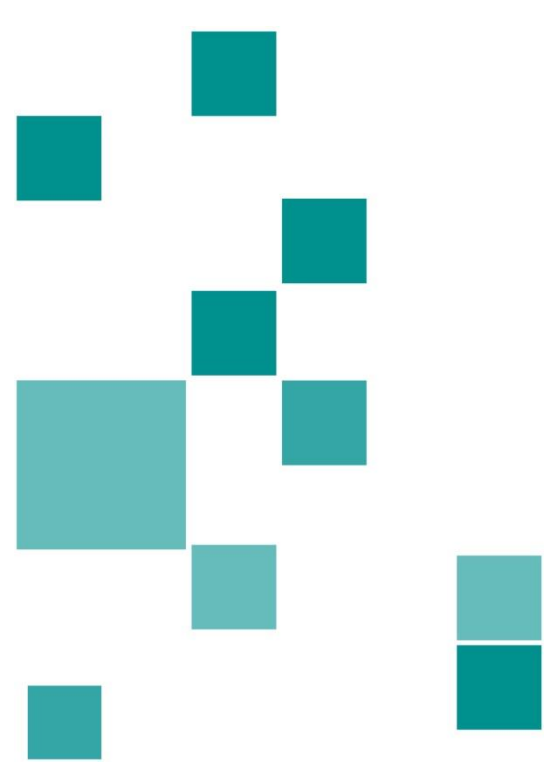


Quality Assurance of Administrative Data (QAAD)

Technical report on the quality assurance of data used in the SSSC's Official and National Statistics workforce data publications

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Contents

1 Introduction	2
1.1 Background.....	2
1.2 Evaluation of risk	2
1.3 Investigating the quality of the data.....	3
2 Care Inspectorate Annual Return (CIAR) data quality	4
2.1 CIAR data quality measures: detailed statement.....	4
2.2 CIAR data quality measures: summary of key points.....	6
3 Local Authority Social Work Services (LASWS) data quality	7
3.1 LASWS data quality investigation: survey methodology and responses received.....	7
3.2 LASWS data quality investigation: summary of key findings	8
4 Conclusion.....	12
4.1 Quality level of CIAR data	12
4.2 Quality level of LASWS data	12
4.3 Overall statement of data quality level and degree of confidence in published statistics	12
Appendix 1 – Full results of LASWS QAAD investigation	13
Section 1 – Source data system(s)	13
Section 2 – Data extracted for the LASWS data collection	23
Appendix 2 – LASWS QAAD investigation questions	28
Section 1 – Source data system(s)	28
Section 2 – Data extracted for the LASWS data collection	29

1 Introduction

1.1 Background

As part of its function to promote good quality Official Statistics, the UK Statistics Authority (UKSA) issued its Regulatory Standard for the Quality Assurance of Administrative Data (QAAD) in January 2015. The Standard recognises the increasing role that administrative data is playing in the production of Official Statistics and sets out what the Authority expects producers of Official Statistics to do to assure themselves of the quality of this data. The Standard is contained in the following documents:

- Quality Assurance of Administrative Data – Setting the Standard
- Administrative Data Quality Assurance Toolkit.

Both documents are available in PDF format at:

<https://www.statisticsauthority.gov.uk/monitoring-and-assessment/monitoring/administrative-data-and-official-statistics/>

The SSSC as a producer of Official Statistics has investigated the quality of the administrative data used to produce its annual social care workforce data report and Mental Health Officers (MHO) report. This data supplied is as follows:

- **social care workforce data report (Official Statistics):** by Scotland's 32 local authorities through the annual Local Authority Social Work Services (LASWS) data collection and by the Care Inspectorate through its annual data returns (CIARs)
- **MHO report (National Statistics):** by Scotland's 32 local authorities through the annual LASWS data collection.

1.2 Evaluation of risk

In its Setting the Standard document, the UKSA states that the level of quality assurance required 'can be determined by an evaluation of: (i) the likelihood of quality concerns arising in the administrative data that may affect the quality of the statistics; and (ii) the nature of the public interest served by the statistics' (page 2). During 2015 the SSSC together with the Care Inspectorate evaluated these issues and decided the following for the LASWS data collection and the CIARs:

- There is a **medium** risk of quality concerns arising in the administrative data. This is a medium rather than a high risk for the LASWS data thanks to the communication arrangements that the SSSC has in place to support the LASWS data collection.
- The level of public interest in the statistics in the Workforce Data and MHO reports is **low**. They provoke very occasional interest (about one request per year) from the media (eg a request for information on the numbers working in a particular type of service) and the same in terms of Scottish Parliamentary Questions.

1.3 Investigating the quality of the data

After applying these risk evaluation outcomes to the quality assurance matrix on page 5 of the Administrative Data Quality Assurance Toolkit, we decided that the appropriate level of assurance for the two data collection systems is **between basic and enhanced assurance (A1/A2)**.

2 Care Inspectorate Annual Return (CIAR) data quality

2.1 CIAR data quality measures: detailed statement

The following information is taken from a statement provided by the Care Inspectorate's Intelligence Team in 2015 specifically in response to the QAAD investigation.

The Care Inspectorate's Intelligence Team supplies workforce data annually to the SSSC in the form of two datasets: a service file and an employee file.

To create these datasets the team uses three data sources: the Care Inspectorate's Service list, National Records of Scotland's (NRS) postcode file and annual returns submitted by Scotland's registered services to the Care Inspectorate.

The Service list pulls information together from different Care Inspectorate systems into a detailed list of all care services that are or ever have been registered with the Care Inspectorate. This data is updated, quality assured and cleaned on a monthly basis by the Intelligence Team using Statistical Analysis Software (SAS) and Microsoft Excel.

The Service list quality assurance and cleaning procedures are as follows:

- checking the SAS problem log for messages indicative of issues arising when preparing the Service list and resolving them
- checking for missing/blank values in the Service list and populating them manually, or where possible embedding a fix within the SAS program, or raising a helpdesk instructing the Information and Communications Technology (ICT) department to fix the source data
- checking that services have been allocated with the correct service type
- checking that postcodes and other geographies are complete and valid
- checking that there is a unique identifier for each service provider/service type
- checking for duplicate CS (care service) numbers
- checking that all cancelled services have cancellation dates and that all services with cancellation dates are marked as cancelled
- for Day Care of Children services, checking for inconsistencies between the under 3 flag and the sub type recorded
- sense-checking the status changes
- checking for oddities with combined services
- checking for spelling mistakes for service type and sub type
- checking the number of services, cancellations and new registrations against previous months/years.

An extract of the Service list is taken and merged with the postcode file supplied by National Records of Scotland. This ensures postcodes are up to date and assigns a local authority name and code, community health partnership name and code, health

board name and code and urban/rural codes. In the case of a non-match, geography data is entered manually.

Data from the CIARs is then matched to this extract.

The CIAR data is supplied by service providers to the Care Inspectorate via the Care Inspectorate's e-forms system. The Intelligence team uses SAS software to extract the data from e-forms and to quality assure and clean it. The quality assurance and cleaning procedures are as follows:

- validation embedded within the e-forms, including validation on the numeric and character values, mandatory fields, and conditional mandatory fields
- validation and checks embedded within the SAS program, which include:
 - checking for and fixing negative numbers of staff
 - removing duplicate service level records
 - checking for and fixing missing main type of day care values
 - transferring all Combined-Services Annual Return data to the Housing Support elements of these services
 - removing blank employee records
 - removing duplicate employee records
 - checking for 'historic' and 'future' employee end dates
 - investigating records with inconsistent employee leaving details
 - fixing nonsensical qualification codes
 - fixing nonsensical qualification dates
 - removing duplication qualification records
 - fixing obvious errors with employee start date.
- imputing missing values for staff headcount and whole time equivalent (WTE) using previous year's data
- identifying WTE outliers and estimating new values.

The final output from SAS is then manually quality assured against the data specification and the previous year's data set by the Care Inspectorate's Intelligence Team before handing over to the SSSC for them to quality assure. These manual checks include:

- checking that there is one unique case number per service
- checking that there is one unique identifier per service provider
- checking that each record has a valid value for every variable
- checking for and investigating outliers and range in the SAS output files
- checking the number of records with a leaver flag against previous year's count.

Further validation and checking are performed on specific data items in response to any queries received by the Intelligence Team from SSSC about the dataset.

When the workforce data is supplied to SSSC it is given in conjunction with a data specification. The data specification lists each variable, a description of each variable (including its source), the range of permissible values for each variable and any further information such as cleaning, estimation, data reliability and limitations.

The Care Inspectorate does not have a formal procedure in place to audit the staffing data recorded in the CIARs. Although inspectors have access to the CIAR staffing data and can therefore check/validate it during an inspection, there is no process for correcting the source data if they find it to be incorrect.

As part of the quality assurance of CIAR data, the Intelligence Team feeds back to the internal Annual Returns Working Group about additional validation that is required or existing validation that needs to be improved.

2.2 CIAR data quality measures: summary of key points

- The workforce data supplied to the SSSC by the Care Inspectorate is created from three sources: the care service list, NRS postcode file and annual returns from Scotland's registered services.
- The care service list undergoes a wide-ranging and detailed set of QA and cleaning procedures on a monthly basis. This ensures that the coverage of the list is correct – in other words, all of the right services are included in the data.
- The merging of the NRS postcode file with the care service list ensures that care service geographies are up to date and accurate (eg correct local authority area, health board, community health partnership etc).
- The annual returns from Scotland's registered services also undergo a wide-ranging and detailed set of quality assurance and cleaning procedures. This maximises the quality of the workforce data (headcount and WTE) in the returns. The matching of the returns with the merged care service list/postcode file ensures that the final data file contains high quality workforce data for the correct set of care services with accurate geographic labelling.
- The final data file is manually quality assured and checked against the data specification and the previous year's data set before being submitted to the SSSC.
- The SSSC Workforce Intelligence Team carry out further quality assurance and checks on the submitted data with the help of the data specification and liaise with the Care Inspectorate's Intelligence Team to resolve questionable or unclear aspects of the data.

3 Local Authority Social Work Services (LASWS) data quality

3.1 LASWS data quality investigation: survey methodology and responses received

A data quality questionnaire with questions set in accordance with the agreed level of assurance was sent out to Scotland's 32 local authorities in late November 2016 with responses requested by 10th March 2017 (the same date as the 2016 LASWS data collection deadline). The questionnaire was divided into two sections, each containing 10 questions:

- source data system(s)
- data extracted for the LASWS data collection.

Details of the questions can be found in appendix 2.

Only seven responses were received on or before the due date. This may be due in large part to authorities prioritising the compilation and submission of their LASWS returns around that time. By mid-June 2017 29 responses had been received, and the next section of the report presents a summary of key findings.

3.2 LASWS data quality investigation: summary of key findings

Full survey results can be found in appendix 1.

a) Source data system(s)

Where does source data come from?

Source data comes mostly from job application forms and other documentation relating to the recruitment of staff. Additional origins of source data include exit interviews, vacant post forms, direct data entry by employees, manager notifications and the SSSC registration database.

Which department(s) hold source data?

Source data is held mostly by HR/payroll departments. The acronym 'HR' (Human Resources) is featured in 22 out of the 28 responses made. A number of service departments were also reported as holding source data, such as Children's Services, Housing & Community Care and MHO services.

What are the main source data systems?

CHRIS21 and ResourceLink are the most common HR/payroll systems, between them used by half of responding authorities. Also notable amongst the range of systems used is the TalentLink recruitment system.

How is source data updated?

Nearly all source data is updated in response to HR/recruitment/payroll/budget processes and changes, and key person-related data seems to be updated timeously.

What is source data primarily used for?

Source data is used primarily for HR/payroll purposes. It is also used to produce management information and workforce data, and for budget purposes.

Who receives extracts from source data and for what purposes?

Data extracts are received by a wide range of internal and external recipients who use them for a very wide range of purposes including HR, statistics, finance/payroll and management/planning/development. Internal recipients include managers, heads of service, team leaders, finance and accounts staff, elected members, Freedom of Information (FoI) officers and LASWS contacts. External recipients include Her Majesty's Revenue and Customs (HMRC), Scottish Government, Office for National Statistics (ONS), Chartered Institute of Public Finance and Accountancy (CIPFA), pensions agencies and business partners.

What completeness checks are carried out on source data, and how often?

Completeness checks are an essential part of data quality assurance, and it is reassuring to see a diverse multiplicity of checks reported with respect to the source data for the LASWS collection. The most common check is the presence of mandatory fields which ensure that data values are recorded, closely followed by internal/external audit processes. Notable amongst the many other checks reported are checks by managers, checks by staff other than the data inputters (eg employment and reward staff) and other audit-style checks. It is also clear that many checks are carried out frequently (daily/weekly/monthly/regularly etc).

What accuracy checks are carried out on source data, and how often?

Along with completeness checks, accuracy checks are an essential part of data quality assurance, and it is again reassuring to see a diverse range of accuracy checks reported with respect to the source data for the LASWS collection. The most common accuracy check is internal/external audit processes. Notable amongst the many other checks reported are data verification at the time of capture, checks by managers, employees checking/updating their own data, system-based data standards (category lists, validation etc), checks by staff other than the data inputters (eg. senior HR staff) and other audit-style checks. It is also clear that many checks are carried out frequently (daily/weekly/monthly/regularly etc).

Are external audits of source data carried out? If so, how often, and can we see the findings?

Over 80% of authorities which responded to this question reported that external audits of source data are carried out. About half of these reported that their external audits are carried out annually, and about a quarter reported a frequency less often than that. A couple of authorities reported that their external audits are carried out more frequently than once a year while a further couple reported that the frequency of their audits varies.

More than half of the authorities which responded to the question 'Can we see external audit findings?' said 'No'.

b) Data extracted for the LASWS data collection

What department(s) are involved in the LASWS data collection exercise?

A range of departments and their roles in the LASWS data collection and submission were reported by 28 authorities. The main department reported by two-thirds of them is HR department. A wide range of other departments and department combinations were reported by the remaining third including Finance, Services (Adults, Children's, Criminal Justice, Learning Disability, Addictions, Mental Health/MHO), Health and Social Care Partnership (HSCP), Information teams, Business support, Corporate services and Planning & Performance.

What are the roles of the involved department(s)?

All 28 authorities reported that the main department's role involves extracting data from the HR and/or payroll system. About a quarter of them reported that Department 1's role also involves completing the LASWS return. The roles of other departments include extracting data from systems, checking flagging of MHOs, providing MHO data, completing the LASWS template, completing the MHO section of the template, verifying completeness and accuracy of data, liaising with LASWS contact to ensure correctness of MHO data, advising data extractors on LASWS return criteria, providing vacancies data, providing staff registration details, checking queries and confirming leavers data.

What coverage checks are carried out on the LASWS data?

Coverage checks involve ensuring that all of the right staff are included in the data – specifically, that all of an authority's social work services staff, vacancies and leavers are included in the LASWS data, and that no other staff, vacancies or leavers are incorrectly included in it. Along with completeness and accuracy checks of the source data, coverage checks of the data destined to be entered into the LASWS template are an essential part of data quality assurance.

It is reassuring to note the wide and diverse range of checks that take place. About 40% of responding authorities check coverage by comparing the data with that in the previous year's return. Notable amongst the many other checks reported are specifying the data extract to cover all social work services staff using unique system identifiers linking staff to relevant departments/teams, checking the Care Inspectorate website to see which services should be excluded, checking and approval of data by heads of services, circulation of data for independent checking, data reviewed regularly for coverage by senior managers, accurate specification of leaver reports, checks with recruitment teams for vacancies, new starts and leavers, linking data to approved establishment and ensuring establishment data is accurate and up-to-date.

How many local authorities use the standard LASWS data template?

All but one of the 28 responding authorities use the standard LASWS template. The one authority which doesn't use the standard template reported that they find the template too big and cumbersome, and labour intensive to use.

How conversant are local authorities with the LASWS data recording rules?

86% of responding authorities are either fully confident or very confident of their conversancy with LASWS data recording rules, and 14% are somewhat confident. No authority reported that they were not confident.

Do the MHO contact and the LASWS contact liaise over the correct flagging of MHOs?

All responding authorities reported that the MHO contact and LASWS contact liaise over MHO flagging.

Do the MHO contact and the LASWS contact liaise over the directly-entered data in the MHO section of the LASWS return?

Directly-entered data consists of figures that are entered in the MHO spreadsheet directly rather than autocalculated from the staff data records. All but one of the 28 responding authorities reported that the MHO contact and the LASWS contact liaise over the directly-entered MHO data. The one authority which doesn't liaise in this way reported that the MHO contact has this information and the LASWS contact has no involvement in it.

Is there an explicit sign-off of the data before submission to the SSSC, and who does it?

93% of responding authorities carry out an explicit sign-off of data before submission to the SSSC. A range of sign-off arrangements was reported including Responsible officer with CSWO, Responsible officer with Service Manager, Responsible officer with Heads of Service, Responsible officer with colleague, Heads of Social Work Services, individual managers, Responsible officer with Business Support Manager, Responsible officer with Strategy & Policy officer and Mental Health Manager, Senior HR staff with MHO Manager and Admin Team Leader with MHO Manager.

Is the data sign-off agreed by all involved departments?

Of the 25 authorities which responded to this question, just under half reported that data sign-off is agreed by all the departments involved in LASWS data collection and submission.

4 Conclusion

The purpose of a QAAD investigation into data quality is to gain an understanding of the quality level of the data in question. This in turn informs us about how much confidence we can place in the statistics based on that data in our Official and National Statistics publications.

4.1 Quality level of CIAR data

The QAAD statement provided by the Care Inspectorate makes it clear that a detailed and wide-ranging set of quality assurance procedures are in place in the key quality areas of correct coverage, completeness and accuracy of the data submitted to the SSSC for use in its Official and National Statistics publications. In other words, the final data file is very likely to contain complete and accurate workforce data for the correct set of care services with accurate geography labelling. Furthermore, the SSSC carries out its own checks on the submitted data and liaises with the Care Inspectorate to resolve any issues. In view of this, the SSSC understands the quality level of the CIAR data to be high.

4.2 Quality level of LASWS data

In view of the following findings from the LASWS QAAD investigation, the SSSC understands the quality level of the LASWS data to be high. This includes the sub-set of LASWS data used for the MHO report.

- Scotland's local authorities have a robust and wide-ranging set of checks in place in the key quality areas of completeness and accuracy of source data and correct staff coverage by the data extracted from it for the LASWS return.
- 86% of responding authorities are either fully confident or very confident of their conversancy with LASWS data recording rules.
- The MHO contact and LASWS contact liaise over MHO flagging and over directly-entered MHO data in the vast majority of local authorities.
- The vast majority of local authorities carry out an explicit sign-off of data before submission to the SSSC.

4.3 Overall statement of data quality level and degree of confidence in published statistics

It is clear that both the CIAR data and the LASWS data undergo detailed, wide-ranging quality assurance in the key areas of coverage, completeness and accuracy, and that the relevant people in the Care Inspectorate, the SSSC and Scotland's local authorities liaise appropriately and are confident in their handling of the data. In view of these findings:

- the SSSC understands the quality of the CIAR and the LASWS data to be high
- the SSSC places a high degree of confidence in the statistics published in its annual social care workforce data report and MHO report.

Appendix 1 – Full results of LASWS QAAD investigation

Section 1 – Source data system(s)

1) Main origin of source data

Origin	No. authorities
Job application and other forms	19
Forms (not otherwise specified)	6
Other	3
Blank	4
Total	32

'Other' includes the following origins:

- Employee information sheet
- Job application forms only
- The services themselves

2) Department holding source data

Department	No. authorities
HR/payroll depts	11
HR dept	5
Other	12
Blank	4
Total	32

'Other' includes the following departments and department combinations:

- Centralised staffing section/payroll section/HR systems team
- Employee & Customer Services
- Finance & Procurement department/Pay & Employment Services Section
- Finance and Corporate Services
- HR department/Education & Children's Services/Housing & Community Care
- HR department/Planning & Performance/Services
- HR department/Services
- HR/payroll departments/MHO service

- Openly-available corporate system
- People & Transformation
- Resources service area/Health & Social Care/Criminal Justice/Children & Families
- HR Shared Services

3) Source data system 1

System	No. authorities
CHRIS21 HR/payroll system	7
ResourceLink payroll system	7
iTrent HR/Payroll system	6
HR/Payroll system (unspecified)	2
Other	5
Blank	5
Total	32

'Other' includes the following systems:

- Cyborg Payroll system
- HR/Payroll system (paper and computer-based)
- Oracle E. Business Suite HR/Payroll system
- PSe HR/Payroll system
- SAP HR/Payroll system

4) Source data system 2

System	No. authorities
TalentLink recruitment system	3
Other	4
Blank	25
Total	32

'Other' includes the following systems:

- HR Forms On-Line
- iTrent HR/Payroll system
- Services system (computer-based)
- Business World

5) How is data updated?

Method	No. authorities
In response to HR/recruitment/payroll/budget processes and changes	27
Directly by employees	1
Blank	4
Total	32

6) How often is data updated?

Frequency	No. authorities
When required	19
Daily	7
Other	2
Blank	4
Total	32

'Other' includes the following:

- Contractual data: every 4 weeks/person-related data: when required
- When required/payroll processes updated annually

7) Primary use of data

Use	No. authorities
HR/Payroll	17
Payroll	3
HR/Payroll/Management information	2
HR purposes	2
Other	4
Blank	4
Total	32

'Other' includes the following use combinations:

- HR/Payroll/Workforce data
- HR/Workforce data
- Payroll/Management information
- Standard HR/recruitment/budget purposes

8) Who receives data extracts?

The following recipients of data extracts were notified by one or more authorities:

- Chief executive
- Managers
- Heads of service
- Services
- Directorates
- HR department
- Departments
- Senior Managers
- Finance department
- Team Leaders
- Business Partners
- Her Majesty's Revenue and Customs (HMRC)
- Scottish Government
- Office for National Statistics (ONS)
- HR Business Partners
- LASWS contact
- People Support team

- Customer and Business Services
- External bodies that require HR/Payroll information
- Elected members
- Departmental Directors
- Freedom of Information (FOI) Officer
- Performance teams
- Accountants
- Pensions agencies
- Service Managers/Co-ordinators
- Chartered Institute of Public Finance and Accountancy (CIPFA)

9) The purposes for which data extracts are used

HR-related purposes:

- Absence monitoring
- Service post lists
- Identifying new starts for induction
- Maintenance of structures
- Performance & Development Review (PDR)
- Checking establishment
- Monitoring staffing levels
- Performance and Personal Development (PPD)
- Vacancies monitoring

Data-related purposes:

- Data checking
- Auditing data input

Statistics/information-related purposes:

- FOI requests
- Workforce data returns
- Authority data returns
- LASWS return
- Statutory reporting
- Performance indicators
- Statutory returns on workforce
- Staff data analysis
- Quarterly joint staffing data
- Management information
- Staffing watch returns

Finance/payroll-related purposes:

- Budget management/monitoring
- Payroll processing/monitoring
- Checking payroll
- HR/Payroll information
- Financial planning
- Salaries and expenses

Management/planning/development-related purposes:

- Workforce planning
- Service reviews
- Workforce development
- Service management and planning
- Workforce management
- Policy development

Other purposes:

- Standard business needs
- Staffing purposes
- Audits
- Research
- SSSC registration monitoring

10) Completeness check 1

Check	No. authorities
Mandatory fields	9
Other	18
Blank	5
Total	32

11) Completeness check 2

Check	No. authorities
Internal/external audit	8
Other	6
Blank	18
Total	32

'Other' includes the following for completeness checks 1 & 2:

- Annual establishment check of all employee data
- Budget reviews (payroll data)
- Daily audit reports
- HR system co-ordinator audit checks
- Managers and employees check completeness using ResourceLink 'My View'
- Recruitment team checks
- All information collected at the time of recruitment
- Annual data assurance exercise
- Checks by HR/Payroll officers and Systems Administrators
- Data checking by senior HR staff
- Data verification at time of capture
- Dedicated officer checks for completeness
- HR administration audit checks
- Managers check establishment and payroll for completeness
- Managers review annual data extracts for completeness
- Monthly & quarterly housekeeping processes
- Monthly audit reports checked for completeness by employment and reward staff
- Ongoing monitoring by HR dept and management
- Regular audits by CBS and HR dept
- Regular completeness checks
- Regular housekeeping reports from CHRIS
- Regular HR/Payroll checks with senior Service Managers
- Source data checks for completeness (HR/Payroll system only)
- Weekly data verification reports

The following further completeness checks were notified by one or more authorities:

- Payroll staff audit checks
- Annual verification checks by managers
- Checks by HR responsible assistants
- Monthly payroll checks and other regular data checks

12) Accuracy check 1

Check	No. authorities
Internal/external audit	9
Other	9
Blank	14
Total	32

'Other' includes the following:

- Annual establishment check of all employee data
- Budget reviews (payroll data)
- Check/update by other staff
- Checking and sign-off by managers
- HR system co-ordinator audit checks
- Managers can notify inaccuracies to HR dept
- Payroll audit team applies procedures and controls to payroll administration
- Regular audits by CBS and HR dept
- ResourceLink feeds other council systems so there are continual accuracy checks

Accuracy checks 2 & 3 include the following further checks:

- Check/update own data
- Service staff and managers meet regularly to review data accuracy
- HR administration audit checks
- New appointment and leaver data checked
- Managers and employees check accuracy using ResourceLink 'My View'
- 4 weekly payroll checks
- All personal employee, employment and payroll data undergoes checking when input into iTrent
- Ongoing monitoring by HR dept and management
- Managers review annual data extracts for accuracy
- Source data checks for accuracy (HR/Payroll system only)
- Managers check establishment and payroll for accuracy
- Managers check quarterly report for accuracy
- Employees can review/update their personal details
- Regular housekeeping reports from CHRIS
- Monthly audit reports checked for accuracy by employment and reward staff
- Mandatory fields
- Checks by HR/Payroll officers and Systems Administrators
- Occasional data checks by managers
- Data checking by senior HR staff
- Checks by HR responsible assistants

- Regular accuracy checks
- Daily audit reports
- Monthly payroll checks and other regular data checks
- Weekly/monthly data verification reports
- Data verification at time of capture
- Team leaders sign off changes to data
- Built-in system validation checks
- Payroll staff audit checks
- Fixed selectable data categories to ensure consistency
- 3 year Equal Opportunities data refresh

13) External audits?

Response	No. authorities
Yes	19
No	4
Blank	9
Total	32

14) How often are external audits?

Frequency	No. authorities
Once a year	10
Less often than once a year	4
Twice a year	1
Quarterly	1
Varies	1
As required by auditor	1
Blank	14
Total	32

15) Can we see external audit findings?

Response	No. authorities
Yes	8
No	11
Blank	13
Total	32

Section 2 – Data extracted for the LASWS data collection

1) Main department involved in LASWS

Department	No. authorities
HR dept	19
Other	9
Blank	4
Total	32

'Other' includes the following departments and department combinations:

- Business Support Officer
- Data services
- Finance and Corporate Services/Business and Technology Solutions
- HR Connect
- HR Systems and Development Team
- HR/Payroll team
- iTrent support team
- Staffing section
- HR Shared Services

2) The roles of departments involved in LASWS

Main department

Role	No. authorities
extract data from HR system	11
extract data from HR/Payroll system	6
extract data from HR system and complete return	5
Other	6
Blank	4
Total	32

'Other' includes the following roles:

- Extract data from HR system and agency worker files
- Extract data from HR system and complete return (except MHO)
- Extract data from HR system and co-ordinate return
- Extract data from HR/Payroll system and from Recruitment system
- Extract data from HR/Payroll system/collate MHO data
- Update source data and extract data from ResourceLink

3) Coverage checks

A total of 49 responses were received to this question from 28 authorities, with the following breakdown:

Check	No. responses
Comparison with previous return	11
Other	38

'Other' includes the following coverage checks notified by one or more authorities:

- Admin assistant collates data from different sources ensuring all staff are included
- All staff have unique job identifier in HR/payroll system
- Any checks are done by HR dept
- Business support colleagues complete missing data in HR system
- Check of Care Inspectorate website to see which services should be excluded
- Checking all depts and teams are included
- Checking and approval by Heads of HSCI and Children and Families services
- Checks across HR Systems
- Checks with recruitment team for vacancies, new starts and leavers
- CHRIS data checked against HR information held by each individual service and team
- Cross-check between paid social services employees in SAP and relevant posts
- Cross-checking data extract with source data
- Chief Social Work Officer confirms completeness & accuracy of return
- Data circulated for independent checking
- Data extract is specified to cover all social work services staff
- Data filtered to check all relevant service areas are covered
- Data reports reviewed for correct coverage by responsible officer
- Data reports reviewed for correct coverage on a regular basis by senior managers
- Data verification by HR staff and Head of Service
- Dates of leaver reports specified accurately
- Health and Social Care Partnership (HSCP) Staffing section manually go through full service data report
- Leavers checked against turnover reports

- Leavers checked with Carefirst team
- Leavers information captured and recorded in HR system
- Linkage of data to authority approved structure ensures full coverage
- Maintenance of establishment control
- Management checks
- Random checks on staff to ensure they're included
- Regular leaver reports
- Reports generated based on relevant department codes
- Responsible officer identifies all staff to be included in HSCP, Education and Children Services and any other relevant directorates
- Review of data by responsible officer (LASWS contact) and MHO contact
- Specified date(s) of the return applies to all data extracted from ResourceLink
- Staffing establishment and other workforce spreadsheets kept up to date
- Team level data analysis to ensure full coverage using employee and contract identifiers
- The LASWS Data contact keeps records of all relevant teams and the people within the teams by means of codes connecting staff to teams/sections.
- The LASWS staff-in-post look-up routine is kept up-to-date with new posts

4) Use standard template?

Response	No. authorities
Yes	27
No	1
Blank	4
Total	32

5) Conversancy with recording rules?

Response	No. authorities
Fully confident	9
Very confident	15
Somewhat confident	4
Blank	4
Total	32

6) MHO flagging liaison?

Response	No. authorities
Yes	28
Blank	4
Total	32

7) Directly-entered MHO data liaison?

Response	No. authorities
Yes	27
No	1
Blank	4
Total	32

8) Data sign-off by whom?

The following responses to this question were received from one or more authorities:

- LASWS Data Contact does final data checks then copies to Heads of Service for their agreement before submitting.
- Responsible officer
- Admin assistant liaises with staffing administrator (LASWS contact) and they agree the return content
- Head of Service
- Individual managers
- Management Information Officer consults with manager then submits the return
- Heads of HSCI and Children and Families services
- Director of Health and Social Care Partnership
- Workforce Development coordinator after thorough checking by business support administrators and MHO contact
- Chief Officer/Director
- Responsible officer (LASWS contact)
- LASWS contact and colleague
- Responsible officer/Service Manager
- Responsible officer/Chief Social Work Officer
- Heads of Social Work Services
- MHO Manager/Head of Social Policy
- Responsible officer/Manager (Business Support)
- Senior HR staff/Senior MHO manager

- Chief Social Work Officer
- Responsible officer/Strategy & Policy officer/Mental Health Manager
- Responsible officer after getting colleague to check for obvious errors
- Heads of Community Health & Care Services and Head of Children and Families Service
- Administrative Team Leader/MHO Team Leader
- None
- None - needs to be reviewed

9) Sign-off agreed by all involved departments?

Response	No. authorities
Yes	11
No	14
Blank	7
Total	32

Appendix 2 – LASWS QAAD investigation questions

Section 1 – Source data system(s)

- a) The staffing data which acts as the source of the LASWS data is presumably held in one or more authority data system(s). Please tell us where this source data comes from in the first place – eg. job application forms, self-completed employee forms, documented interviews with employees (eg. exit interview) etc.
- b) Which department holds the source data and in what kind of system(s)?
- c) How is the data updated and how often?
- d) What is the primary use of the data?
- e) Who receives data extracts and/or reports from the system and for what purposes?
- f) What checks or internal audits are carried out to ensure the quality of the source data in terms of **completeness**? – ie ensuring that all data fields within each record are completed.
- g) What checks or internal audits are carried out to ensure the quality of the source data in terms of **accuracy**? – ie ensuring that the data held in each record is correct.
- h) Are external audits of the data carried out?
- i) If so, how often?
- j) Can you advise us of the findings of the latest audit?

Section 2 – Data extracted for the LASWS data collection

a) Please tell us about all departments which are involved in any aspect of the LASWS data extraction and supply processes in your authority.

b) When data is extracted from the system for the LASWS return, what checks are carried out to ensure full coverage of social work services staff? – ie. ensuring that records are included for all relevant staff, leavers and vacancies in social work services in your authority?

c) Do you use the standard LASWS return template as supplied annually by the SSSC Workforce Intelligence Team?

d) If not, why not?

e) How confident are you that the relevant staff in the above-listed departments are conversant with the relevant data definitions and data recording guidance?

f) Do the LASWS data contact and the MHO data contact liaise over and agree:

- the flagging of the relevant records for MHOs in the Staff, Leavers and Vacancies sections of the LASWS return?
- the directly-entered figures in the MHO section of the LASWS return (Table 3 and Parts 4a – 4d)?

If you answered No to either of the above questions, please explain any reasons why this liaison/agreement doesn't or can't happen.

g) How and by whom is the finalised LASWS return signed-off before upload to the SSSC data website?

h) Does the sign-off include explicit agreement between the relevant staff in the departments listed in part 2a) that the data is complete, correct and in its final form?

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All the SSSC's workforce data, information and intelligence have been brought together in one easily accessible data website which includes our workforce data publications, data by area and functionality to explore the data:

<http://data.sssc.uk.com>

If you would like to hear about new or existing statistical collections or upcoming statistical publications, please register your interest on the Scottish Government Scotstat website: <http://www.gov.scot/Topics/Statistics/scotstat>

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