



Cabinet Member for Policy and Leadership

Time and Date

2.00 pm on Thursday, 28th July, 2016

Place

Dame Ellen Terry, Council House

Public Business

1. **Apologies**
2. **Declarations of Interest**
3. **Minutes** (Pages 3 - 6)
 - a) To note the minutes from the meeting held on 8 October 2015
 - b) Matters arising
4. **Information Management Strategy Update** (Pages 7 - 70)

Report of the Executive Director of Resources
5. **Outstanding Issues**

There are no outstanding issues to report
6. **Any Other Items of Public Business** (Pages 71 - 74)

Any other items of public business which the Cabinet Member decides to take as matters of urgency because of the special circumstances involved.

Private Business

Nil

Chris West, Executive Director, Resources, Council House Coventry

Wednesday, 20 July 2016

Note: The person to contact about the agenda and documents for this meeting is Gurdip Paddan Tel: 024 7683 3075 Email: gurdip.paddan@coventry.gov.uk

Membership: Councillors G Duggins (Cabinet Member) and J Blundell (Shadow Cabinet Member)

Please note: a hearing loop is available in the committee rooms

If you require a British Sign Language interpreter for this meeting
OR if you would like this information in another format or
language please contact us.

Gurdip Paddan

Telephone: (024) 7683 3075

e-mail: gurdip.paddan@coventry.gov.uk

Coventry City Council
Minutes of the Meeting of Cabinet Member for Policy and Leadership held at
1.00 pm on Thursday, 8 October 2015

Members Present:

Councillor A Lucas (Cabinet Member)
Councillor J Blundell (Shadow Cabinet Member)

Other Members Present: Councillor R Bailey

Employees (by Directorate):

Chief Executives C Dear, B McLean, J Venn

Resources C Bradford, G Paddan

Public Business

1. Declarations of Interest

There were no declarations of disclosable pecuniary interests.

2. Minutes

The minutes of the meeting held on 19 February 2015 were agreed and signed as a true record.

There were no matters arising.

3. Petition "Not to Join Up With Birmingham to Form a Super Power"

The Cabinet Member for Policy and Leadership considered a report of the Chief Executive which set out a proposed response to a petition bearing 60 signatures, which opposed Coventry joining up with Birmingham to form a super power.

The petition organiser attended the meeting and spoke on behalf of the petitioners and reiterated that petitioners did not want Coventry to be joined with Birmingham. Councillor Blundell sponsored the petition and ascertained how the petition would be brought to the attention of members. The Cabinet Member advised that there would be a debate at full Council.

The report noted that there were no proposals for Coventry City Council to join up with Birmingham to become one organisation or super power. The Council had made a decision in principle to join a Combined Authority with a preferred option of a combined authority to cover the area covered by three Local Enterprise Partnerships which includes the seven Metropolitan Councils currently working together through the West Midlands Joint Committee, Warwickshire and councils that cover parts of Staffordshire and Worcestershire.

The report indicated that the Combined Authority could only be set up if it met key test that showed it is of economic and administrative benefit to each local area that it covered and national legislation requires that specified process must be undertaken before such a body is established, which included a formal consultation period by the Government before the decision was taken by the Secretary of State for Communities and Local Government which then had to be approved by both Houses of Parliament.

The Council had recently undertaken an engagement and consultation process on whether Coventry City Council should join a West Midlands Combined Authority and this would be considered along with other relevant information when a decision is made by full Council at its meeting on 13 October 2015.

Concern was expressed on a number of issues regarding a combined authority including; structure to lead collaboration between local authorities on transport and economic growth; councils to remain the organisation to deliver the majority of services for the community and the role of a mayor.

The Councillors and officers present confirmed that the petitioner's comments and the concerns raised at the meeting would be taken into account when this item is deliberated at full Council next week.

RESOLVED, that the Cabinet Member for Policy and Leadership instruct officers to include the views set out in this petition in the information to be considered by councillors when a decision is taken on whether or not to join a West Midlands Combined Authority.

4. Complaints to the Local Government Ombudsman 2014/15

The Cabinet Member for Policy and Leadership considered a report of the Chief Executive, regarding complaints to the Local Government Ombudsman during 2014/15.

The report noted that the Local Government Ombudsman (LGO) provided an independent means of redress to individuals for injustice caused by unfair treatment or service failure by a local authority. As part of the Council's complaints process complainants were informed of their rights to contact the LGO if they were not contented with the Council's decision.

In June 2015 the Ombudsman issued the Annual Letter to the Chief Executive to summarise complaints dealt with during the year. A report 'Review of Local authority complaints' was also published on the LGO web pages, this has helped to compare Coventry's performance with national trends.

The Councillors and officers present discussed the cases investigated by the Local Government Ombudsman as set out in the table within the report. It was noted that there had been 107 decisions made by Coventry in 2014/15 and the LGO investigated 27 complaints, this was more than 19 of the previous year. The number of upheld cases in 2014/15 9 (33% of the total investigated) compares favourably with 10 (53%) for the previous year.

RESOLVED that, after due consideration of the report and the matters raised at the meeting, the report detailing the Council's performance in relation to complaints to the Local Government Ombudsman be noted and the Audit and Procurement Committee be requested to:

- 1. Review and be assured that the Council takes appropriate action in response to complaints investigated and where the Council is found to be at fault.**

5. Outstanding Issues

There were no outstanding issues.

6. Any Other Items of Public Business

There were no other items of public business.

Meeting closed at 1.45pm

This page is intentionally left blank



Public report

Audit & Procurement Committee
Cabinet Member for Policy & Leadership

Audit & Procurement Committee
Cabinet Member for Policy & Leadership

25 July 2016
28 July 2016

Name of Cabinet Member:

Cabinet Member for Policy & Leadership – Councillor Duggins

Director Approving Submission of the report:

Executive Director of Resources.

Ward(s) affected:

All

Title: Information Management Strategy Update

Is this a key decision?

No

Executive Summary:

The Council's Information Management Strategy was approved by Cabinet in March 2016. Information Management is becoming increasingly critical to the way the public sector does business as we integrate services, seek to gain better outcomes with fewer resources and digitalise the way services are delivered. Information is one of our greatest assets and its usage is a major responsibility. We are ambitious to be a Council that is trusted by its citizens and customers to manage and protect their information. The Information Management Strategy will ensure that we exploit information as a strategic asset, using recognised best practice, legislation and technology to minimise requests for information and maximise the opportunities of information intelligence to share future services and evaluate the effectiveness of existing ones.

One of the work streams within the strategy relates to information governance and data protection. In order to understand the level of maturity/assurance in relation to information governance across the organisation, the Council arranged for the Information Commissioner's Office (ICO) to conduct a data protection audit. Information Management specialists were also engaged to conduct a Council wide maturity assessment. These exercises have helped formulate action plans for the Council to improve its information management arrangements. This report sets out the findings of the audit and maturity assessment, the actions identified and progress against those actions to date.

Recommendations:

Audit and Procurement Committee is recommended to:

- (1) Note the outcome of the ICO Audit and In-form Consult Maturity Assessment;
- (2) Note the progress to date on the ICO Audit and Maturity Assessment Action Plans
- (3) Request that Officers bring a further report to the Committee on the outcome of the follow up audit by the Information Commissioner;
- (4) Make any other recommendations to the Cabinet Member that the Committee considers appropriate.

Cabinet Member for Policy & Leadership is recommended to:

- (1) Consider any recommendations from the Audit and Procurement Committee.
- (2) Note the outcome of the ICO Audit and In-form Consult Maturity Assessment;
- (3) Note the progress to date on the ICO Audit and Maturity Assessment Action Plans
- (4) Request that Officers bring a further report to the Committee on the outcome of the follow up audit by the Information Commissioner;
- (5) Make any other recommendations that the Cabinet Member considers appropriate

List of Appendices included:

Appendix 1 – ICO Audit Executive Summary

Appendix 2 - ICO Audit Action Plan

Appendix 3 – Inform Consult Maturity Assessment & Road Map.

Other useful background papers:

None

Has it been or will it be considered by Scrutiny?

No

Has it been or will it be considered by any other Council Committee, Advisory Panel or other body?

Yes

Audit & Procurement Committee - 25 July 2016

Cabinet Member for Policy & Leadership - 28 July 2016

Will this report go to Council?

No

1. Context (or background)

- 1.1 The Council's Information Management Strategy was approved by Cabinet in March 2016. One of the work streams within the strategy relates to information governance and data protection. Through the Don't Gamble with Data Campaign, the Council has worked hard to raise employee awareness of responsibilities of data protection and information governance. All staff must complete mandatory data protection training and use 'locked print.'
- 1.2 To assist with the development and delivery of the Council's Information Management Strategy (which was approved by Cabinet in March 2016), Officers thought it would be helpful to understand the state of information governance across the Council so that improvement actions could be identified.
- 1.3 In October 2015, the Information Commissioner conducted a data protection audit of Children's Social Care and Revenues and Benefits. The audit considered governance arrangements, training and awareness and data sharing arrangements. The Auditors met with the Senior Information Risk Owner (SIRO) the Acting Monitoring Officer, the Caldicott Guardian, the Assistant Director for ICT, Transformation and Customer Services as well as managers and officers within the two service areas. A copy of the ICO Audit Executive Summary is attached at appendix 1.
- 1.4 The ICO Audit concluded that the Council has "very limited assurance that processes and procedures are in place and deliver data protection compliance." It is important to note that the audit provides only "a snap shot" of assurance levels at the time of the audit. It took limited account of the Council's strategic aims and direction of travel, which are in place and in the process of being implemented. The audit did also identify the key policies in place, the development of a toolkit/handbook for employees and the communications campaign as areas of good practice.
- 1.5 The Council has considered the ICO's recommendations and included these within the action plan attached to this report as appendix 2. Out of 77 actions, 8 have been completed, 50 are in progress and 19 are still to be commenced. The majority of these are dependent on the completion of other actions.
- 1.6 The ICO will conduct a follow up audit towards the end of 2016/early 2017 to assess progress against the recommendations. The Council is well on track to have implemented the majority if not all of the actions in advance of this audit. By implementing these actions, the Council will significantly increase its assurance rating.
- 1.7 Since the scope of the ICO Audit was relatively limited and in order to refine the entire approach to how the Council manages and uses information effectively, the Council proactively engaged Information Management Specialists, In-Form Consult (IFC) to conduct a maturity assessment of information management arrangements across the Council.
- 1.8 IFC assessed the Council's maturity level as low-medium. Across the areas considered maturity was either at a formative (level 2) or developing stage (level 3) with level 1 being the lowest and 5 being the highest. IFC consider the maturity assessment to be a cause for optimism and not unlike similar local government organisations and no area scored a

lowest level of 1. This demonstrates that we already have a good basis to work from and gives confidence we will be able to progress quickly in transformation our approach to information.

- 1.9 IFC used the maturity assessment to create a roadmap/action plan identify key work streams and activities required to implement the Council's vision for information management. There is some overlap between the activities' identified by IFC and the ICO audit. A copy of the road map is attached at Appendix 3.

2. Options considered and recommended proposal

- 2.1 The Council will continue to deliver the Information Management Strategy as approved by Cabinet. The implementation of the actions identified by the ICO Audit and IFC maturity assessment form key elements of the strategy. Information is one of our greatest assets. We need to exploit information as a strategic asset to shape future services and evaluate the effectiveness of existing ones
- 2.2 The Strategic Management Board is committed to delivering the Information Strategy, which is at the heart of the Council's transformation plans. The Information Management Strategy Group oversees the way that information is managed across the Council and will oversee progress of the ICO and IFC action plans. The Group is chaired by the Executive Director of Resources who is also the Council's Senior Information Risk Owner and has senior representation from each directorate including the Chief Information Officer (Assistant Director ICT Transformation and Customer Services), ICT, Transformation, Insight Team and Legal Services. The Executive Director of People is the sponsor for the Information Management Strategy.
- 2.3 It is essential that systems and arrangements are in place to ensure compliance with all legislative requirements concerning the use of information. Implementation of the ICO and IFC actions will ensure that the Council improves its assurance levels in this regard.
- 2.4 It is not an option for the Council to do nothing. Failure to implement the actions identified will put the Council at increased risk of breaching its obligations under the Data Protection Act 1998. It would also inhibit the Council's ability to maximise its use of data to deliver value for money, customer focused services to the benefit of its customers.

3. Results of consultation undertaken

- 3.1 There is no requirement for the Council to consult on the implementation of the actions identified.

4. Timetable for implementing this decision

- 4.1 The actions are already being implemented. The Council aims to complete the actions identified as part of the ICO Audit prior to the follow up audit, which is anticipated at the end of 2016/early 2017. The IFC recommendations are also being implemented. These will be delivered over the next 12 – 15 months.

5. Comments from Executive Director of Resources

5.1 Financial implications

This programme of work is being delivered from existing resources. The implementation of the Information Strategy acts as a key enabler to a number of key Council projects and will be aligned with the savings programme and budget report which underpin much of the work already planned to deliver existing targets in the Medium Term Financial Strategy. Implementing the recommendations from the ICO reduces the risk that the Council will receive a monetary penalty in the event of a breach of the Data Protection Act 1998.

5.2 Legal implications

The adoption of an overarching Information Management Strategy represents good governance. The implementation of the actions identified promotes compliance with the Data Protection Act 1998 and will improve safeguards against data breaches.

6. Other implications

Any other specific implications

6.1 How will this contribute to achievement of the Council's Plan?

Improved use of data and information will contribute to the Council's overall aims and objectives in the Corporate Plan by underpinning key components of the Council's transformation and efficiency agenda.

6.2 How is risk being managed?

Risk will be managed through gaining a better understanding of the data assets the Council holds and their specific security and risk implications. The formation of an Information Asset Register will give greater visibility to those risks; identifying the owners and enabling better management of risk.

6.3 What is the impact on the organisation?

A more strategic approach to the management and use of information, will lead to improved decision making through benefits including:

- more effective safeguarding of children through improved data sharing with different public agencies
- Efficiency savings from having single data sets of information, less duplication and risk of error.

6.4 Equalities / EIA

The approach set out in the Information Management Strategy does not have any specific impact on the Public Sector Equality Duty. However, management of personal and equality data is included within the scope of the strategy. As a result, the improved management of data will lead to improved understanding of the equality impact of future decisions.

6.5 Implications for (or impact on) the environment

There are no specific implications or impact upon the environment.

6.6 Implications for partner organisations?

The Information Management Strategy applies to all data and information that the Council creates, owns, collects and holds in any format. The benefits derived from improved information management and the implementation of actions relating to data sharing will apply to partner organisations.

Report author(s):

Name and job title: Helen Lynch, Legal Services Manager (Place & Regulatory)

Directorate: Resources

Tel and email contact: 024 7683 1587 helen.lynch@coventry.gov.uk

Enquiries should be directed to the above person.

Contributor/approver name	Title	Directorate or organisation	Date doc sent out	Date response received or approved
Contributors:				
Lara Knight	Governance Services Co-ordinator	Resources	4/7/16	4/7/16
Lisa Commane	Assistant Director ICT Transformation and Customer Services	Resources	1/7/16	1/7/16
Joe Sansom	Transformation Programme Delivery Manager	Resources	1/7/16	1/7/16
Names of approvers for submission: (officers and members)				
Finance: Kathryn Sutherland	Lead Accountant	Resources	8/7/16	11/7/16
Legal: Helen Lynch	Legal Services Manager	Resources	1/7/16	13/7/16
Director: Chris West	Executive Director	Resources	4/7/16	
Members: Councillor George Duggins	Cabinet Member for Policy and Leadership		8/7/16	
Councillor Sucha Bains	Chair of Audit and Procurement Committee		8/7/16	

This report is published on the council's website: www.coventry.gov.uk/councilmeetings

Coventry City Council

Data protection audit report

Executive summary
March 2016

1. Background

The Information Commissioner is responsible for enforcing and promoting compliance with the Data Protection Act 1998 (the DPA). Section 51 (7) of the DPA contains a provision giving the Information Commissioner power to assess any organisation's processing of personal data for the following of 'good practice', with the agreement of the data controller. This is done through a consensual audit.

The Information Commissioner's Office (ICO) sees auditing as a constructive process with real benefits for data controllers and so aims to establish a participative approach.

The ICO invited Coventry City Council to participate in a Data Protection Audit in January 2015.

In February 2015, Coventry City Council agreed to a consensual audit by the ICO of its processing of personal data.

An introductory meeting was held on 06 August 2015 with representatives of Coventry City Council to identify and discuss the scope of the audit.

Prior to the audit, the Council recognised opportunities to improve on the existing information governance framework. Via its Information Management Strategy Group attended by the SIRO and other senior managers it had developed a number of plans to improve practice to promote data protection compliance.

At the time of the audit, as part of the plans for improvement referred to above, the Council's Information Governance Team was undergoing a period of change with a number of roles within the team that were vacant following a restructure. Interviews were ongoing to recruit new staff to this team including a Senior Information Governance Officer.

2. Scope of the audit

Following pre-audit discussions with Coventry City Council, it was agreed that the audit would focus on the following areas:

Data protection governance – The extent to which data protection responsibility, policies and procedures, performance measurement controls, and reporting mechanisms to monitor DPA compliance are in place and in operation throughout the organisation.

Training and awareness – The provision and monitoring of staff data protection training and the awareness of data protection requirements relating to their roles and responsibilities.

Data sharing - The design and operation of controls to ensure the sharing of personal data complies with the principles of the Data Protection Act 1998 and the good practice recommendations set out in the Information Commissioner's Data Sharing Code of Practice.

3. Audit opinion

Overall Conclusion	
Very Limited assurance	<p>There is a very limited level of assurance that processes and procedures are in place and are delivering data protection compliance. The audit has identified a substantial risk that the objective of data protection compliance will not be achieved. Immediate action is required to improve the control environment.</p> <p>We have made two very limited and one limited assurance assessments where controls could be enhanced to address the issues which are summarised below and presented fully in the 'detailed findings and action plan' section 7 of this report.</p>

4. Summary of audit findings

Areas of good practice

Key information governance related policies are in place including a Data Protection Policy, an Information Security Policy and a Records Management Policy which are available on the intranet for staff to access. In addition, a new suite of guidance has been produced which the Council has named the "Information Toolkit." Although these documents are yet to be finalised, a communications campaign is planned to launch the new toolkit to staff.

The induction checklist requires new staff to read the Data Protection Policy and they are required to sign to say that they have done so.

Areas for improvement

The Council is reported to be currently taking a different strategic direction in regards to information governance as a whole. At the time of the audit however, there was no operational lead (data protection officer) or supporting staff (other than one information governance officer) in place to monitor data protection compliance and promote improvement, although the Council is currently running a recruitment campaign.

Information Asset Owners (IAOs) have yet to be formally identified and the role and responsibilities of IAOs have not been formally documented e.g. within a role description. Also, the Council has not documented a consistent and cohesive approach to the management of information risk within a formal policy or created a stand-alone information risk register. Neither does the information asset register appear to be used to facilitate the assessment and management of relevant risks. As a result, information risk is not managed in a structured way to ensure that senior management is fully aware of the risks to personal data and can ensure they are assessed and mitigated appropriately.

Data protection related training has been mandatory for all staff within the Council since November 2014 but is still in the process of being rolled out across the organisation. Training completion statistics are not regularly reported to the Information Management Steering Group (IMSG) to ensure that training is being completed by new starters at the beginning of their employment, to monitor training completion across the organisation and to identify where improvement is needed. In addition, the Council does not provide specific training for specialised roles or

functions such as IAOs, Subject Access Request handlers and staff involved with data sharing.

There is insufficient clarity around who has corporate responsibility for ensuring that data sharing takes place appropriately. In addition, there are currently no published policies or guidance which clearly define systematic data sharing and one-off requests for disclosure, who has the authority to make decisions about them and when it is appropriate to do so.

The matters arising in this report are only those that came to our attention during the course of the audit and are not necessarily a comprehensive statement of all the areas requiring improvement.

The responsibility for ensuring that there are adequate risk management, governance and internal control arrangements in place rest with the management of Coventry City Council.

We take all reasonable care to ensure that our audit report is fair and accurate but cannot accept any liability to any person or organisation, including any third party, for any loss or damage suffered or costs incurred by it arising out of, or in connection with, the use of this report, however such loss or damage is caused. We cannot accept liability for loss occasioned to any person or organisation, including any third party, acting or refraining from acting as a result of any information contained in this report.

Action and completion status	Agreed Action	Owner:	Due by	progress
A02	The Data Protection Policy, Information Security Management Policy and Records Management policy reviewed on an annual basis. Any changes to be communicated via Beacon.	SIGO	Apr-16	Review of Policies Complete awaiting approval and communication to staff
A03	Ensure the induction checklist is completed within two weeks of employment for new staff (see also b12).	SIGO	Jan-16	Complete
A04	Amend the Service Area induction checklist to include the requirement to read the Records Management Policy and Information Security Policy.	Training Design & Delivery Manager	Mar-16	Not Complete - Waiting for policies to be approved
A05	Review guidance documentation promoting data protection compliance and review periodically thereafter.	SIGO	Dec-16	Staff IG Handbook completed addition guidance to be considered
A06	Finalise, publish & communicate the toolkit documents	SIGO & Internal Communication	Apr-16	Handbook/Toolkit document awaiting approval and communication to staff
A08	Appoint SIGO and second IGO	Legal services Manager	Jan-16	completed- SIGO - 29/03/16; Second IGO Nov 2015
A12	Set out duties and responsibilities of SIRO and formally reference in relevant policies.	SIGO	Apr-16	Draft completed waiting for approval. Incorporated in policies reviewed so far
A13	Identify IAOs, set out duty's and responsibilities of IAOs and communicate to IAOs, reference role/responsibly within relevant policies & procedures.	SIGO	Sep-16	Roles to be incorporated in risk management policy, staff hand book and IG Toolkit after completion of IAR
A14	Recruit Records Manager or the duties are assigned to an appropriate role/roles	Legal services Manager/ Programme	Jul-16	To consider recruiting
A16	Draft Terms of reference for the IMSG for approval by the group.	Legal Services Manager	Jan-16	Completed but not approved by group

ID	Action and Completion status	Agreed Action	Owner:	Due by	progress
A17		Create action plan to ensure key deliverables with Information Management- Bringing it together document are achieved.	SIGO & Programme Manager Transformation	Apr-16	Completed
A18		Draft an Information Risk Policy	SIGO	Sep-16	After IAR has been completed
A19		Ensure that information asset register is up to date and that is regularly reviewed to identify residual risks which require escalations.	SIGO/ Transformation delivery programme Manager	Apr-16	Information asset register has been developed but risk management approach yet to be developed
A20		Create information risk register to capture, record & track information related to risks identified via the IAR, security incidents & PIAs.	SIGO/ Head of ICT Strategy	Sep-16	Not began - after completion of information risk policy
A21		Information Risk register to be considered by SMB.	SIRO	Sep-16	Not began - after completion of information risk policy and Information Risk Register
A22		IMSG to approve Information Risk Register and review on a quarterly basis.	SIRO	Sep-16	Not began - after completion of information risk policy and Information Risk Register
A25		To follow up on data protection audit in 2013/14. To include specific data protection audits within the audit plan 2015/16 & future audit plans.	Chief Internal Auditor	Feb-16	In the process of producing the Audit plan
A26		To include data protection/Information governance control issues within the Annual Governance Statement.	Chief Internal Auditor	Apr-16	Completed

Action and completion status	Agreed Action	Owner:	Due by	progress
A27	SIGO to conduct periodic spots checks to monitor compliance with information governance policies and results to be reported to ISMG.	SIGO	Apr-16	Not began - after completion of policies and procedures
A28	To include statistics in relation to information security incidents & training completion within annual report.	SIGO	Sep-16	Security incidents and training completion being monitored
A29	IMSG to monitor KPIs re completion statistics, training completion & information security incidents on quarterly basis.	Legal services Manager/ SIGO	Implemented November 2015	completed
A31	a) Communicate the requirement for staff to carry out mandatory PIAs for any new service or change in service which involves the processing of personal data to all senior Managers. b) Amend the responsibilities for Line Managers document within the toolkit to include the requirement for mandatory PIAs.	a) SIRO/ b) Legal services manager	Implementation date: a) January 2016. b) Implementation date: Document amended December 2015.	Completes but not yet approved and communicated re IG Staff Handbook
A33	Introduce PIA template based on ICO's Conducting Privacy Impact Assessments Code of Practice.	SIGO	Jun-16	Completed awaiting approval
A34	SIGO to be a signatory to all PIA's and register of PIA's to be maintained.	SIGO	Jun-16	Completed awaiting approval
B01	Include responsibility for ensuring that staff are adequately trained in relation to data protection to the roles & responsibilities of the SIRO.	SIGO	Apr-16	Completed. Awaiting for approval
B02	Oversight of data protection training to be included within the Terms of Reference for the IMSG.	Legal Services Manager	Jan-16	Waiting for IMSG approval

ID	Action and completion status	Agreed Action	Owner:	Due by	progress
B03		IMSG to approve content of training and monitor training statistics to ensure that training is being completed.	SIGO	Jun-16	Training being monitored
B04		SIGO to report on training completion statistics to IMSG on a quarterly basis.	SIGO	Implemented November 2015	Monitoring reports from learning and development
B05		SIGO to conduct a training needs analysis for members of the Information Governance Team.	SIGO	Aug-16	In progress- to be completed with LSM
B08		Amend DP E-Learning to include a module on Subject Access requests.	SIGO/ Training Design & Delivery Manager	Jun-16	Training developed but now but not yet part of the E learning module
B09		Review & consolidate the e-learning and classroom based modules to ensure all key data protection learning elements are delivered to all relevant staff.	SIGO/ Training Design & Delivery Manager	Jun-16	Completed training included in training matrix. Additional training needs to be included
B12		<p>Recommendation partially accepted.</p> <p>1) Communication to all senior managers that DP E- Learning must be completed by all new employees within 2 weeks of commencing employment.</p> <p>2) Responsibilities for Line Managers document within toolkit to be amended to include requirement that new starters complete DP E-learning within 2 weeks of commencing employment.</p> <p>3) Induction Checklist to be amended to include the requirement to complete the DP E-learning within 2 weeks of commencing employment.</p>	<p>1) SIRO</p> <p>2) Legal Services Manager</p> <p>3) Training Design & Delivery Manager</p>	<p>1) January 2016</p> <p>2) Amendment made December 2015</p> <p>3) March 2016</p>	Toolkit/handbook requires completion and approval

Action and completion status	Agreed Action	Owner:	Due by	progress
B13	IMSG to consider conducting data protection refresher training on an annual basis following amendment to training as above.	IMSG		To be considered
B14	Include requirement to complete mandatory e-learning training & condensed mandatory training within Data Protection Policy.	SIGO	Aug-16	Data Protection Policy reviewed
B16	Develop specific training for IAO's, SARs, handlers and staff involved in data sharing - Also "Recording with care training"	SIGO/ Training Design & Delivery Manager	Aug-16	In progress- to be completed after relevant policies and procedures have been completed. Adhoc training underway
B17	As part of training needs analysis at recommendation B6 to arrange for IGOs to attain BCS Certificate in Data Protection.	SIGO	Apr-16	Training identified Sept to Oct 2016
B18	Information regarding staff who have not completed the DP training to be provided to SMB & cascaded to all managers on a quarterly basis.	SIGO/SIRO	Apr-16	Reports being created
B20	Training completion statistics to be reported quarterly to IMSG.	SIGO	Implemented November 2015	Being reported
B22	Refresh & re-launch Don't Gamble with Data Campaign to launch the 'toolkit.'	SIGO/ Internal Communication s officer	Sep-16	After training has been developed
C01	SIGO to be a signatory on all Data Sharing Agreements and to maintain a register of all DSA's. All DSA's to be reviewed annually. SIGO to report IMSG on DSA Agreements and Reviews on a quarterly basis.	SIGO	Dec-16	Process included in the IG Staff handbook and procedure has been developed. DSAs yet to be reviewed but new ones being logged

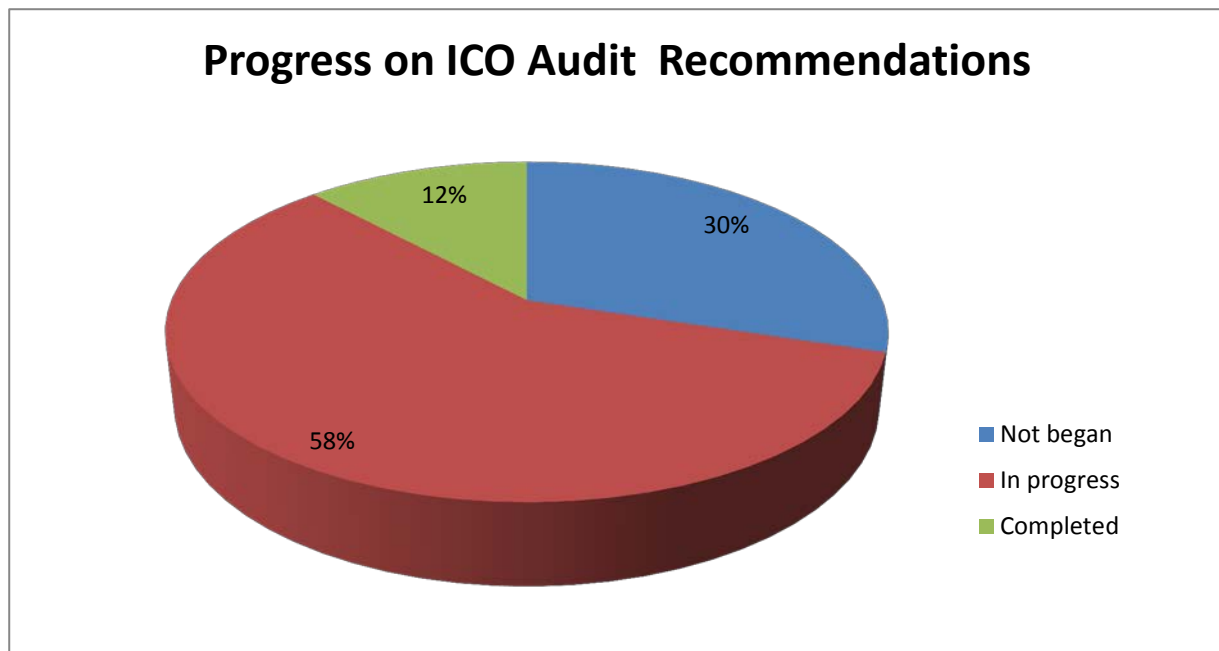
ID	Action and Completion Status	Agreed Action	Owner:	Due by	progress
C02		SIGO to conduct periodic spot checks across the council to ensure that systematic data sharing decisions are being recorded on relevant case files.	SIGO	Aug-16	After completion of IAR/IRR and DSA register
C05		Amend the DP E-learning training to include basic guidance on data sharing.	SIGO	Jun-16	Content included in refresher training to be added to DP E-Learning training
C06		Develop specific training for those with Data Sharing responsibilities with a requirement that such training is completed every 2 years.	SIGO/ Training Design & Delivery Manager	Aug-16	Data Sharing content being developed
C07		1) Action: Amend Data Protection policy to include summary of key points in respect of data sharing & one- off disclosures. 2) Action: Draft data sharing policy and Guidance in accordance with ICO Data sharing code of practice.	1) SIGO 2) SIGO	1) April 2016 2) July 2016	In staff handbook awaiting approval and communication
C09		1) Draft corporate privacy notice to be published on website. 2) Review fair processing notices used throughout the council.	1) SIGO 2) SIGO	1) April 2016 2) December 2016	Partially complete
C10		Draft consolidated fair processing notice for website.	Legal Services Manager	Feb-16	Partially complete
C11		Undertake a review of all DSA's to ensure the incorporate fair processing, consent & exemptions where relevant.	SIGO	Sep-16	Complete waiting for approval
C12		Undertake a review of all DSA's to ensure they cite applicable conditions for fair processing or exemptions.	SIGO	Sep-16	Not began waiting for approval of DSA templates and procedure
C13		Review all DSAs to ensure that it is a requirement to record that consent has been obtained/overridden & why.	SIGO	Sep-16	Not began waiting for approval of DSA templates/policy and procedure

Action and completion status	Agreed Action	Owner:	Due by	progress
C15	Review all consent forms to ensure that they explain circumstances in which personal data may be shared without consent and that consent may be withdrawn.	SIGO	Sep-16	Yet to identify where consent forms have been completed
C17	Include within the Data Sharing Policy requirement that PIA completed in relation to all DSAs.	SIGO	Jul-16	Included in staff handbook
C18	Awareness of Corporate PIA template to be raised through Don't Gamble with Data Campaign & Data sharing policy.	SIGO	Jul-16	After approval of template
C19	Review CISP to ensure it remains fit for purpose & clarify whether data controllers who are not signatories to it but wish to enter into a DSA are required to become signatories to CISP or confirm adherence to it.	SIGO	Sep-16	No began
C20	Publish DSA template on intranet.	SIGO	Jul-16	Waiting for IMMSG approval
C21	Review all DSAs to ensure compliance with ICO Data Sharing Code of Practice.	SIGO	Sep-16	Only current DSA reviewed older other to be reviewed once templates are approved
C23	Amend DSA template to incorporate statement of compliance and include in existing DSAs on review.	SIGO	Sep-16	Included in reviewed template. This will be used to review existing DSAs
C24	SIGO to be added as a signatory to all DSAs and to ensure that all signatory sections are completed prior to being logged on central list.	SIGO	Sep-16	Templates reviewed, waiting for approval
C25	DSAs to be reviewed on annual basis/ SIGO to keep record of review dates and dates completed.	SIGO	Sep-16	Review dates incorporated in DSA register

ID	Action and Completion Status	Agreed Action	Owner:	Due by	progress
C26		SIGO to maintain a register of all DSAs to be reviewed bi-annually by IMMSG.	SIGO	Sep-16	Developed new Information Sharing and PIA register for new ISA with annual review dates built in. Process yet to be refined.
C27		Include within Data Sharing Guidance, requirements of Government security classifications. Requirement to use classification to be incorporated into DSAs.	SIGO	Sep-16	Included in staff handbook
C28		Revise DSA template to provide clarity as to which sections need to be amended to provide specific details.	SIGO	Sep-16	Draft document in table format with white spaces to indicate areas where more information is required.
C30		As part of review of DSAs, ensure current methods of sharing information captured.	SIGO	Sep-16	in draft document
C31		As part of review of DSA, ensure they specify relevant job roles/teams at each organisation that will be responsible for sharing/processing data and include specific contact details that will be used for sharing information	SIGO	Sep-16	in draft document
C33		As part of review of DSAs, ensure that they should specify what steps should be taken to report, investigate and resolve incidents	SIGO	Sep-16	in draft document
C34		As part of review of DSAs, ensure the relevant job roles and contact details for incident management leads are included	SIGO	Sep-16	in draft document
C36		Ensure that all DSAs record whether data to be shared is factual/opinion and to distinguish between the two.	SIGO	Sep-16	in draft document
C37		Amend DSA template and all existing DSAs to ensure that parties inform each other when shared data has been amended or updated.	SIGO	Sep-16	in draft document

Action and completion status	Agreed Action	Owner:	Due by	progress
C38	Amend the DSA template and existing DSAs to ensure they contain specific provisions re ensuring the quality of the data shared	SIGO	Sep-16	in draft document
C39	Define and document retention periods within DSA and ensure relevant managers record on data controllers system	SIGO	Sep-16	in draft document
C40	Amend DSA template and all existing DSAs to include disposal dates for the shared data	SIGO	Sep-16	in draft document
C41	Amend DSA template and all existing DSAs to contain specific provisions re organisations providing assurance of disposal to each other	SIGO	Sep-16	in draft document
C42	Draft procedure for dealing with one-off requests for disclosure, to be promoted via Beacon, Don't Gamble with Data Campaign	SIGO	Dec-16	Not began
C43	Ensure that procedure for third party requests for information are received in writing	SIGO	Dec-16	Not began
C45	Within Procedure for dealing with third party requests for information, build in requirements for conforming identity of requesters	SIGO	Dec-16	Not began
C47	Create a single corporate log for all one -off requests for disclosure, identity of requestor, exemptions, tracking information	SIGO	Dec-15	Not began
C48	SIGO to report to IMMSG on a quarterly basis the number of one-off requests for disclosure	SIGO	Dec-15	Not began
C49	SIGO to carry out "spot- checks" on the quality of one-off disclosures to ensure quality assurance.	SIGO	Dec-16	Not began

Recommendations/Actions	Number of Actions	Not begun	In progress	Completed
Policies and Procedures	24	8	11	5
DPA Training and Awareness	15	1	11	3
Information Sharing	38	11	17	0
Total	77	20	39	8



Enterprise Information Management Maturity Assessment & Strategic Roadmap

COVENTRY CITY COUNCIL

MARCH 2016

DOCUMENT CONTROL SHEET

Client	Coventry City Council
Title	EIM Maturity Assessment and Strategic Roadmap
Author	Andrew Ladd
Approvals	Craig McGowan, Joe Sansom
Distribution	Joe Sansom, Jane Murphy
Filename	15011-Coventry CC-EIM Maturity Assessment and Strategic Roadmap

DOCUMENT AMENDMENT HISTORY

Revision No.	Originator of change	Date of change	Change Description
0.1	Andrew Ladd	12/02/16	Initial Draft
0.2	Andrew Ladd	21/02/16	Updated after feedback from Jane Murphy and Craig McGowan
1.0	Andrew Ladd	23/02/16	Final Draft
1.2	Andrew Ladd	11/03/16	Updated after feedback from Joe Sansom and Clare Storey
1.3	Andrew Ladd	17/03/16	Final version

CONTACT DETAILS

For further information contact:

AUTHOR NAME

Tel: +44 (0)8456 804047

Mob: +44 (0)7984 974751

E-mail: andrew.ladd@inform-consult.com

1. Executive Summary

Coventry City Council initiated the development of this Enterprise Information Management (EIM) Assessment and Strategic Roadmap to support the identification of the key workstreams and activities that are required to implement their vision and desired future state for information management and sharing, both internally and externally with partners and the community. Council recognises that its EIM environment needs to be reviewed and improved, and that this will be a key enabler for improved service delivery.

This report is a result of Council stakeholders and In-Form Consult (IFC) working together to explore EIM challenges and opportunities. It describes the current practices and tools used and assesses the maturity of the Council EIM environment against an industry standard model. The results of the maturity assessment and the current state analysis were used to inform the development of a strategic roadmap for EIM. The report outlines a path towards a more effective EIM environment where compliance and productivity are increased, and information related risks and costs are reduced. It also provides a baseline on which the success of future EIM initiatives can be measured.

The recommendations and roadmap in this report will be analysed by Council and IFC to develop action and resource plans which define the responsibility and exact timeframes for the activities.

1.1 Key Findings

Council is well placed to build on a solid foundation of EIM practices and ongoing initiatives to harvest the benefits of some key activities in 2016 and beyond. A number of key themes are prominent in the report findings and these are outlined below along with critical recommendations provided to deliver the desired future state.

1.1.1 Information Accessibility, Quality and Ownership

Current State

Information ownership, accountability and quality were cited as key issues, especially for critical data entities such as customer and property, meaning there is a lack of consistency across systems and processes and multiple sources exist for the same data. Accurate and current information is often difficult to locate, hampering business operations, predictive analysis and innovation. The theme of improving information consistency, accountability and reducing silo-ed processes was the key theme across the stakeholder engagement.

Desired State

Council understands what information and data it holds and where, ownership and accountability for these strategic assets is implemented, improving information quality, outcomes and reducing duplication and data protection risks.

Key IFC Recommendations

Perform an Information Asset Audit and develop an Information Asset Register.

The undertaking of an information audit and the development of an information asset register will provide clarity around what information assets the Council holds. It will define who is accountable for quality and usage, significantly support improved information findability and enhance compliance levels with key legislation such as the Data Protection Act and the Freedom of Information Act. The register should be aligned to the Council retention and disposal schedule to facilitate effective retention and disposal. This activity will provide the foundation for achieving the goal of a single version of the truth and the integration of service activities.

Develop Information Asset Owners

Information and data custodians will need to be formally identified and take responsibility for managing, standardising and cleansing datasets – this will enhance the flow of information and data

between systems and services, improve quality and reduce duplication. A role description should be defined and activities included in performance reviews.

1.1.2 Value of Information Management

Current State

The Council information culture varies across services and business areas however it was reported that often insufficient time is devoted to information management tasks such as appropriate storage, naming, versioning and classification which is affecting information accessibility, quality, and collaboration. Initiatives have been launched regarding data protection obligations however there is a lack of awareness of the value of information quality and openness and the significant benefits this can provide. This has resulted in silo-ed EIM processes, multiple copies of the same information and difficulties sharing information between services.

Desired State

Employees understand the value of effective information management and this is embedded into day to day business activities. Information is recognised as a strategic asset that supports intelligent decisions, innovation and productivity gains. Information openness, sharing and collaboration is balanced with security and privacy that meets legislative requirements.

Key IFC Recommendations

Develop IM Education Program

Deployment of an IM Education Program, via eLearning or classroom delivery, through induction processes and the Council learning and development platform, will inform employees of best practice relating to information management and how effective information processes benefits Council. The Program should include EIM principles, examples of where EIM can and has provided benefit and reduced cost, guidelines for when to use Council EIM tools (SharePoint, OneDrive, Information@Work), processes such as for Freedom of Information, and key definitions.

Education of Council staff through this Program will provide the consistency that improves information quality, reduces silo-ed processes, and reduces costs related to duplication and unnecessary archiving. Information will be more accessible, promoting collaboration.

Develop IM Standard

Develop and implement an Information Management Standard – to include, but not limited to:

- Definition of key Council information management principles
- Key definitions e.g. of a record and a child record
- Guidance on when to use Line of Business (LOB) systems, Information@Work, shared drives and SharePoint
- Organisation-wide document naming conventions
- Council procedures e.g. when to retain physical copies, IL2 versus IL3 requirements
- Alignment to the Council EIM Policy framework

The key elements of the standard should be communicated via the IM Education Program, and performance against this standard audited by designated staff members (e.g. IM Champion, Change Agent). This standard will support effective information and data governance and promote consistency of information process and storage.

1.1.3 Additional Key Themes and Recommendations

Further critical and valuable recommendations have been made in this report, which are described in section 6:

EIM Dimension	Recommendations
Governance	<ul style="list-style-type: none"> • Review IM policy framework

	<ul style="list-style-type: none"> • Prepare for EU General Data Protection Regulation changes • Develop Records Manager
Master Data Management	<ul style="list-style-type: none"> • Develop Master Data Management plan • Perform analysis of in house MDM versus purchased MDM tool
Knowledge Management and Communications	<ul style="list-style-type: none"> • Review and improve EIM communications via intranet • Review handover processes for staff leaving Council • Develop EIM Communications plan • Review KM tools (Yammer, SharePoint newsfeeds)
Strategy	<ul style="list-style-type: none"> • Finalise EIM Strategy • Baselining and benefits realisation
Information Sharing & Open Data	<ul style="list-style-type: none"> • Review partner template agreements, clarify processes, optimise • Develop Open Data Strategy

1.2 Maturity Assessment

The maturity assessment highlighted that the Council has a low-medium maturity across all EIM dimensions, with the current maturity levels being either Formative (Level 2) or Developing (Level 3), using a scale of one to five where one is the lowest maturity and five the highest.

This is reflective of the growing understanding of the importance of information and data management at Council, coupled with key challenges of data ownership, silo-ed processes and difficulties accessing a single source of the truth as outlined in this report. This maturity level is cause for optimism as it is not unlike similar local government organisations and no dimension of EIM scored the lowest value of one, which many organisations that IFC has support have scored.

A business impact value has been assigned to each dimension which illustrates the impact the maturity level has on business operations. A traffic light system is used where:

- Green indicates good, little to no impact
- Amber indicates business operations are being impacted, action is required
- Red indicates critical issues, business operations are severely impacted

Maturity Dimension	Current Maturity Level	Future (target) Maturity Level	Business Impact
Governance	3	4	
Strategy	2	4	
Value	2	4	
Asset Management	3	4	
Access and Security	3	4	
People	2	4	
Processes	2	4	
Quality	2	4	
Architecture	2	4	
Platforms	3	4	

1.3 Quick Wins

Council has an opportunity to gain benefits from some quick win activities in the next three months. The following quick wins have been extracted from the roadmap.

Update Document Management processes to include naming conventions and usage audit

Current processes used in the SharePoint deployment do not include guidance on organisational, service or team naming conventions. Consistency of record naming will significantly enhance information findability, particularly as the most common search that will be run in SharePoint is using a document or record name. It is recommended that the Kickstart Project Officers incorporate the definition of naming conventions as part of the engagement process with business areas.

SharePoint usage audits by the Project Officers are recommended after a business area has gone live to ensure documents and records are being stored appropriately. These should be performed once a week for one to four weeks, depending on the uptake and capability of the business area staff. This will enhance user adoption as it ensures SharePoint is used to its full potential with documents and records stored in the correct location, with appropriate metadata applied.

Deliver SharePoint Learning workshop to project team and team librarians

It is recommended that the transformation project team and key stakeholders/team librarians from the early adopters attend an IM solution best practice in SharePoint workshop. A two day workshop in the best practice approach to developing and maintaining SharePoint and Office 365 solutions will support the optimised use of team sites, in particular the use of metadata, which will enhance user experience and user adoption.

Review paper child record processes

Children's Services open a paper file for every child case, and even if the file is immediately closed, the file is archived to Iron Mountain. It is recommended that this process is reviewed as it is inefficient and is creating unnecessary storage costs.

Review GIS data access controls

An information access and security risk exists for GIS data on the network drive as this is open in read/write format to all MapInfo users. This is presenting a risk of information being modified inappropriately or lost and Council being in breach of the Public Sector Mapping Agreement which allows Council to receive free ordnance survey data. It is recommended that a needs assessment is performed for read/write access to this data and access removed where required.

Investigate cost saving of scanning opportunities

Some Council business areas have significant volumes of paper assets that are required to be kept for long retention periods (Occupational Health and Safety have 45 year retention requirement for some of their medical records) and other areas e.g. Employment Services are employing temporary resources to support the cleansing and weeding of old personnel files before scanning onto Information@Work. It is recommended that a review is performed of the potential efficiency gains and cost savings of bulk scanning these records.

Review ERDF paper retention requirements

There is a perception at Council that all records of projects delivered with European Regional Development Fund (ERDF) grants, must be retained for 25 years in paper form, and this paper retention process has been followed for some time. Review of this requirement may provide immediate opportunities for storage cost savings and process efficiency gains.

CONTENTS

1.	Executive Summary	3
1.1	Key Findings	3
1.2	Maturity Assessment	5
1.3	Quick Wins	6
2.	Introduction	9
2.1	Background	9
2.2	Document Scope	9
2.3	Methodology and Approach	9
2.4	What is Enterprise Information Management?	9
2.5	Benefits of Effective Information Management.....	11
3.	Current State Findings	12
3.1	Strategy, Governance and Compliance	12
3.2	People, Processes, Knowledge and Change Management.....	13
3.3	Information Access, Security and Lifecycle Management.....	14
3.4	Technology and Repositories	16
3.5	Data Management and Business Intelligence	17
3.6	Open Data and Information Sharing	18
3.7	Online Services and Customer Self Service	20
4.	Current State Analysis	21
4.1	Key Current State Risks	21
4.2	Maturity Assessment	21
4.3	Maturity Assessment Results	22
5.	Information Vision and Future State	25
6.	Recommendations & Roadmap	26
6.1	Recommendations Matrix & Roadmap	27
7.	Conclusion	36
	Appendix 1 - Stakeholders	37
	Appendix 2 – Reference Documentation Provided	39
	Appendix 3 – Maturity Model Details.....	40
7.1	EIM Maturity Levels	40
7.2	Information Maturity Dimensions.....	40
7.3	Maturity Dimensions Matrix	42

2. Introduction

2.1 Background

Coventry City Council (Council) is undertaking a significant programme of work aimed at improving the management and sharing of information across employees, partners and the community. The Kickstart programme is aligned to an estates consolidation and will fundamentally change the way Council operates internally and engages with partners and the citizens of Coventry. The move to different ways of working in new Council premises requires a significant reduction in the processing and storage of paper files, and a transition to more flexible and “digital by default” information environment.

Key to this transition is the development of an overarching vision and strategy for Information Management (IM). The Council has developed a draft high level strategy and is currently defining the workstreams and activities necessary to embed the principles of the strategy into business operations. Due to the wide ranging nature of the workstreams and activities involved – from information governance to data management to process modernisation and change management – Council is undertaking an EIM maturity assessment that will assess the current state across the dimensions of Enterprise Information Management and analyse this state against the vision to inform a strategic roadmap. This will provide a baseline state against which the success of future IM initiatives can be measured.

In the current climate of reduced funds available to public sector organisations, there is an increased need for prioritisation of projects and identification of efficiency gains and cost savings. In-Form Consult (IFC), a specialist information management consultancy, has been engaged to support Council develop the EIM roadmap and scope has been allocated within the engagement post the completion of this report to define responsibilities for actions and formulation of the resource plan for roadmap activities.

2.2 Document Scope

The scope of this document is to describe the current state for Enterprise Information Management at Council, the key risks associated with the EIM environment, the desired future state, and to provide recommendations that form a strategic roadmap. A maturity assessment will be performed against an industry standard IM Maturity Model.

2.3 Methodology and Approach

IFC engaged with nominated Council employees that provided representation from all Directorates through a variety of methods. The methods of engagement were:

- Group workshops
- Interviews
- Meetings
- Questionnaire

The discovery sessions were held on site between the 14th January and the 4th February 2016. A list of the stakeholders and the method of engagement used can be found in Appendix 1.

Research was conducted by IFC both pre and post site visits with the main focus being the documentation provided by Joe Sansom, Transformation Programme Delivery Manager, Helen Lynch, Legal Services Manager and Paul Ward, Head of ICT, Strategy and Systems. These reference documents are listed in Appendix 3.

2.4 What is Enterprise Information Management?

Information includes all forms of data, electronic and physical information that is captured, produced, stored and distributed. It is anything from application forms, reports, e-mails, to videos and commentary on social media sites. Information management, therefore, is how we organise,

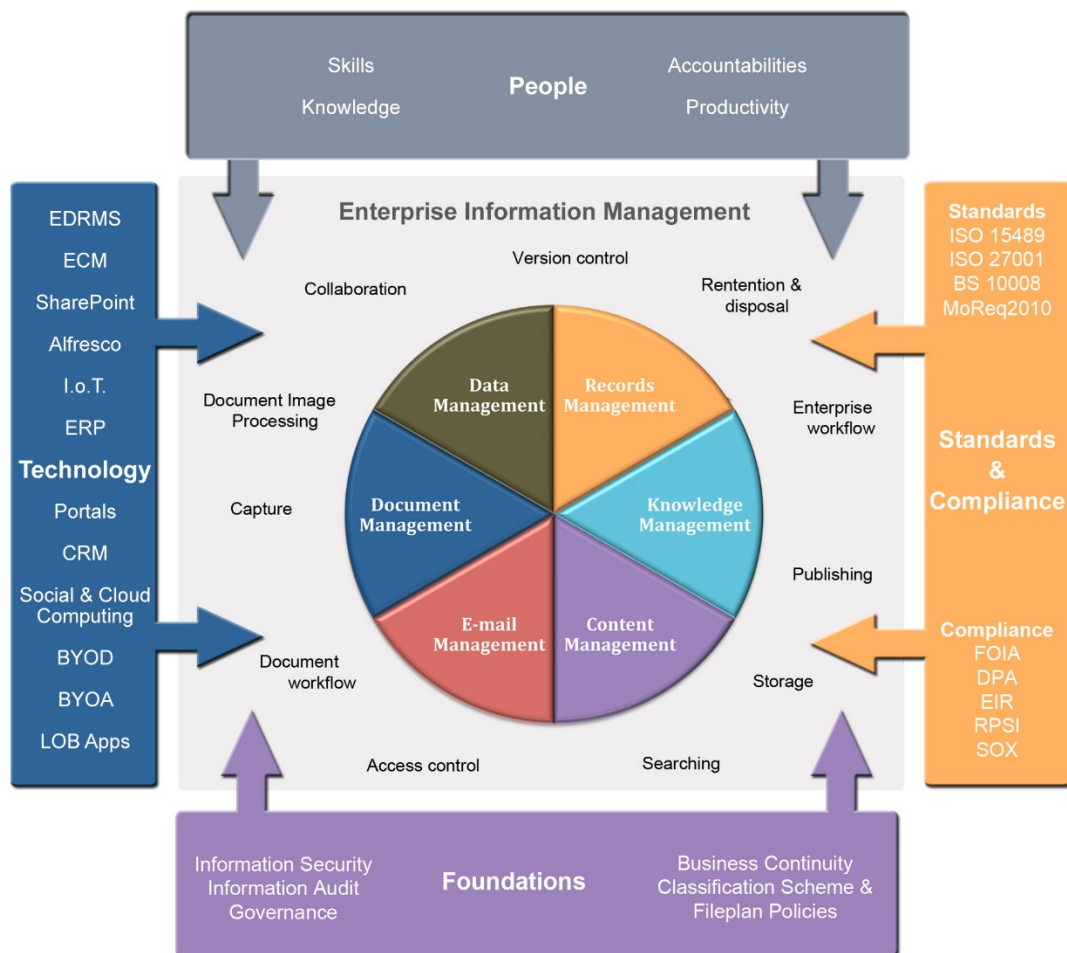
collect, store and use the wide range of information Council has in order to deliver services and achieve its priorities.

A record, which is one of the key forms of information is defined as:

"Information created, received and maintained as evidence and as an asset by an organisation or person, in pursuance of legal obligations or in the transaction of business". Source - ISO 30300:2011, BS10008:2014 and ISO/DIS 15489.

Information flows through an organisation and is used by all employees in every business decision, and so an organisational structure must be capable of managing this information throughout the information lifecycle regardless of source or format. The Association for Information and Image Management (AIIM) defines the focus of IM as "the ability of organisations to capture, manage, preserve, store and deliver the right information to the right people at the right time".

The diagram below depicts the key elements of Enterprise Information Management, which highlights many of the dimensions that will be assessed in this report.



2.4.1 Knowledge Management

This report has also assessed the knowledge management landscape at Council. Knowledge Management (KM) is defined as "a business process that formalises the use of an organisation's intellectual assets as distinct from its information assets" (Gartner, 2012). The goals of KM are distinct from EIM in that KM aims to:

- Increase the connections between people (who have knowledge) that would likely not occur without the help of a KM system (Terra and Angeloni, 2007)
- Provide context for and validate available information

Enterprise Information Management is generally limited in scope to information assets which have already been captured (or are explicit e.g. documented). Knowledge Management includes the explicit and tacit (uncaptured) knowledge of people. Tacit knowledge refers to intuitive and experience-based knowledge which is understood without openly being expressed; it includes skills, capabilities, expertise, and is only found in individuals. Explicit knowledge on the other hand refers to formalised and codified knowledge which is easy to identify, store and retrieve, and is found in documents, databases, notes and manuals.

2.5 Benefits of Effective Information Management

Information is woven through the fabric of every modern organisation, consequently employing effective methods to control this rich source of knowledge is fundamental to achieving greater productivity and competitiveness. Effective information, knowledge and data management provides four key benefits to organisations:

- Reducing risk
- Reducing cost
- Achieving compliance
- Productivity gains

Operational and productivity gains can be significant as increased confidence in company information empowers employees to make prompt, informed and intelligent decisions. In an environment of accessible, accurate information where employees are able to share and collaborate easily, time wasted looking for information is much reduced, significantly increasing organisational productivity.

Some of the key benefits of effective information management include:

- Increased efficiency of service delivery
- Delivery of savings associated with reduced manual processes and paper-based storage
- Improved disaster resistance
- Improved sharing and collaboration unlocks the corporate knowledge bases
- Reduced legal liability exposure
- Increased employee capability through integration and automation of processes
- Enhanced customer experience
- Increased ability to innovate

"We are drowning in information, while starving for wisdom. The world henceforth will be run by synthesizers, people able to put together the right information at the right time, think critically about it, and make important choices wisely."

E.O Wilson (1999): *Consilience - The Unity of Knowledge*

3. Current State Findings

3.1 Strategy, Governance and Compliance

3.1.1 Strategy

Council has recently formed an Information Management Strategy Group whose purpose is to support and drive forward the information programme and its various workstreams, and to provide the Strategic Management Board with the assurance that effective information governance is in place at Council. The group is made up of key stakeholders across Council directorates and ICT, the Caldecott Guardian, the Senior Information Risk Owner, data controllers and representatives from the Customer Journey program.

Council has developed a draft framework for an information strategy programme, and a cabinet report is being finalised which seeks endorsement of IM principles and the IM programme of work. The ICT Strategy sets out principles and vision for Information and Data Assets, and the Document Management workstream (SharePoint/Information@Work deployment) also defines document management principles. No formal EIM strategy exists.

3.1.2 Governance

An information policy framework exists including, but not limited to, a Data Protection Policy, an Information Security Management Policy, Information Sharing Protocol and a Records Management Policy; these are available via the intranet. Stakeholders reported that these are not easy to find, that there are overlaps between policies and that the Information Governance intranet pages do not link well to current policies. Supporting guidance exists for policies and some of these need review in line with the Information Commissioners Office (ICO) code of practice. An IG toolkit is being developed that includes a data protection guideline for line managers.

An Information Governance corporate service exists covering the development, implementation, maintenance and review of information governance policies and processes. This team is currently in the process of recruiting a key governance role, a Senior Information Governance Officer, who is expected to commence employment in April 2016. Council does not have a Records Manager. The Information Governance team provides guidance to Council employees relating to their compliance obligations for key information legislation, such as the Data Protection Act 1998, the Freedom of Information Act 2000 and Environmental Information Regulations 2004. They also provide advice relating to information sharing, re-use of public sector information and corporate records management. The Information Governance team does not cover data governance relating to data management (see section 3.5).

3.1.3 Compliance

Council are PSN (Public Services Network) compliant which means that its infrastructure has been reviewed by the Cabinet Office and deemed sufficiently robust and secure to connect the PSN.

Council has recently undergone an ICO information governance audit, which focused on Children's, Social, Revenues and Benefits service areas. This was a result of a number of data breaches, which Council reported to the ICO and an audit was agreed. The ICO report was delivered in October 2015 and is not yet finalised as discussion is still taking place regarding Council's acceptance of the recommendations.

Stakeholders demonstrated some good awareness and compliance with the Data Protection Act (such as in the Revenues and Benefits area) however there are regular breaches, mostly related to accidental breaches or paper processes. Some business areas, such as Procurement, raised compliance challenges with the DPA and this was thought to be as it was not given sufficient priority and time to achieve appropriate compliance levels.

Compliance with the Freedom of Information Act is supported by a FOI SharePoint portal which stakeholders reported they either didn't know about or could not use efficiently due to a lack of training.

3.2 People, Processes, Knowledge and Change Management

3.2.1 People

Council employees work in silos and this is partly a legacy of the services having “grown up” separately. There are instances of good information management processes and culture, in areas such as Employment Services and Revenues and Benefits and when dealing with information relating to a child social case, however there are also many less structured and efficient information areas where employees do not see IM as a priority. This is compounded by the ongoing workforce restructures which means staff have less time to devote to what is seen as non-priority tasks such as managing information.

There is a growing awareness of EIM issues, particularly relating to the disparate systems and repositories for information and data, and the amount of time spent re-keying data and duplication. Some stakeholders reported a lack of trust due to low maturity in other service areas information management processes, which meant that copies of contracts for examples are being held locally.

3.2.2 Processes

Stakeholders reported that the current information processes at Council are resulting in duplication, version control issues and a difficulty locating a single source of truth for information. Different services and teams have different information structures; Special Education Needs areas for example are saving and storing duplicate information relating to 0-25 year olds, which could be useful (or even vital) to other services. Construction reported versioning issues relating to building documentation and cabinet report versioning was raised as a challenge due to not knowing who owns the report.

The move to digital by default access channels and processes is progressing and some service areas have business processes that have been automated by workflows, e.g. via Information@Work or Protocol for child cases, however there are still inefficient paper processes in operation. Children’s Services for example open a paper file for every child case, and even if the file is immediately closed, the file is archived to Iron Mountain.

No consistent naming conventions are being used, and stakeholders reported there are no corporate document templates available. A lot of time is spent moving documents to the correct places and re-keying of data due to lack of integration between systems and standardisation of information and data processes.

3.2.3 Change Management & Training

A Data Protection Act (DPA) eLearning module is available via the Council Learning Management System which articulates the key elements of the DPA and employee obligations around it. This is a part of employee inductions. Data Protection Data briefings and Information Governance training have also been rolled out. There is no training or learning around other information topics. There was a perception among some stakeholders that Council messages have focussed too much on the protection and security of information and what not to do, and this has not been balanced by outlining the benefits of openness and increased sharing and collaboration.

Communication campaigns have been run to increase organisational awareness of data responsibilities, such as the Don’t Gamble With Data campaign, and DPA communications, however no overarching communication plan exists for EIM initiatives.

Change Agents have been deployed throughout the business to support the Kickstart Program and the move to unified communications and user adoption of new technology such as SharePoint. There is no organisational change manager or team who manages the change agents, this function is spread across roles in the directorates.

Team Librarians, who may have been change agents, are identified in the SharePoint team site implementations who are responsible for approving new groups or metadata tags and provide guidance and support to colleagues. This role is primarily to be used during the transition but will

also be used on an ongoing basis; it has yet to be decided whether this role will become the IM Champion.

3.2.4 Knowledge Management

Knowledge sharing is a challenge for Council with no consistently used method for sharing best practice, lessons learnt or other valuable experiences that would enhance delivery of service. Some co-location techniques have been used (e.g. the Multi Agency Safeguarding Hub - where all statutory and non-statutory safeguarding partners are embedded together in an integrated workplace) and the KM tool Yammer has been deployed however stakeholders reported the deployment was not successful due to lack of guidance on how and when to use it.

With the Council in such a transformation stage and employees being offered voluntary redundancy, significant loss of corporate knowledge is taking place every time someone leaves Council. Handover activities are managed by line managers however it was reported that there is inconsistency in how this corporate memory, which employees know but have not built into processes, shared with others or documented, is being retained.

3.3 Information Access, Security and Lifecycle Management

3.3.1 Information Access

Stakeholders reported that searching for information can be extremely challenging, especially on the network drive folders, unless you know where to look or know someone who can direct you to the latest version of a document. This is hampering some stakeholder's ability to perform their role with the volume of data repositories and systems stated as a key challenge. Construction reported difficulties relating to versioning and cabinet report version control issues were

The shared drives use a classification based on team structures which don't exist anymore and there is often no clear owner for a folder. This lack of identified data owners means that in scenarios where the helpdesk receive a request for access to an internal audit network folder for example, it is difficult to validate and action this request. Data imports have started from Resource Link (HR system) to Active Directory that populate the line manager information to rectify this.

Systems where data is being searched, such as in Academy (Revenue and Benefits data), Anite (Information@Work) and Protocol, where identifiers including a property or child reference number can be used, were reported to be easily searched. Due to the volume of systems in the Council landscape however this data is held in multiple systems, in multiple formats, many of which are not referenced back to a master source, which for property or street information should be the LLPG (Local Land Property Gazetteer).

Information access concerns were raised over GIS data on the network drive which is open in read/write form to any internal user of MapInfo. This access should be view only except where required. Council are required to maintain and secure the Local Land and Property Gazetteer data as part of the Public Sector Mapping Agreement (or Data Corporation Agreement?) in order to receive free ordnance survey data. Council are assessed against this and if found to be in breach of the agreement they may be removed from the PSMA which means ordnance survey data would have to be paid for.

Access concerns were also raised relating to accounts being left open when an employee goes on long term leave or maternity leave, mainly because the business updates the helpdesk less than 10% of the time if an employee goes on this type of leave. The use of USBs was raised as a risk relating to access and re-use of information, such as GIS data which is third party data and Council does not own. USB policy controls exist relating to Removable Media, however no technical controls are in place.

3.3.2 Information Security & Privacy

Council has an Information Security Management System (ISMS) Framework which is a policy framework relating to information governance and security management, which aligns to best practice from the ISO 27001 standard. Information security is essentially focussed on being safe from danger or threat (as opposed to privacy which is concerned with control over personal information) and Council have a number of key elements of information security deployed including boundary firewalls, internet gateways and desktop security measures including malware protection. An annual penetration test is conducted by an external company to ensure adequate protections are in place.

Information is secured via Active Directory groups on the network drive and restricted sign-ons for access to data in line of business systems. Few network drive security breaches are raised however the structure of the shared folders means that sometimes access has to be given to entire service area folders when this access is not needed. Challenges are experienced also relating to a lack of identified data owners for network drive folders e.g. the helpdesk receives a request asking for access to an internal audit network folder and it is often not clear who owns the data and should be consulted about access to it. Data imports are ongoing from Resource Link that are populating line manager information in Active Directory which will assist identifying requestor's line managers in this scenario.

Council has undertaken a privacy impact assessment for the move to Office 365 and this covers their use of cloud services via Microsoft Azure. A privacy impact assessment is being undertaken with Adult Education regarding their transition to the use of cloud repositories.

Privacy breaches are fairly frequent with IT Security regularly reporting emails containing personal information being sent to personal accounts (e.g. Gmail) and there are a number of accidental breaches relating to either human error or paper records. Some areas are more vigilant with regard to disclosure of personal data such as Public Health who regularly anonymise patient identifiable data and push back on the provision of data from which individuals may be identified without their consent.

A Council privacy statement review is ongoing around consent for customer information being used and this is aimed at targeting some of the data sharing challenges that exist (discussed in section 3.6).

3.3.3 Information Lifecycle Management

The information lifecycle relates to the management of an information asset from creation through to when it can be deleted or disposed. Council has an enterprise retention and disposal schedule however much of the information and data held at Council does not go through a formal retention and disposal process; the information is retained permanently. Finance stated they retain most of their information and network drive information in the main does not have retention and disposal processes applied.

SharePoint is introducing expiry dates for team documents which has been set at 3 years from the date last modified. At this point the document will be flagged for deletion and a document library column is being used to indicate when a document will expire. Systems such as Information @ Work have good retention structures where periods are set against document types and Protocol has retention periods per case. Some business areas have robust disposal processes e.g. in Sensory and Physical Support Service in the People Directorate, where paper files are regularly reviewed, moved when a child leaves school then shredded after five years.

Council has no information asset register which defines what information assets it holds and this was stated by stakeholders as a priority task moving forward. Information is not recognised as an asset, which is contributing to information being stored permanently rather than deleted or destroyed at the appropriate time. It was stated that Council will incur excessive storage costs if this is replicated in the cloud where costs are higher. It was also thought a lot of archive boxes are being held at the

Iron Mountain archive unnecessarily and that insufficient weeding is taking place before a file is sent to physical archive.

3.4 Technology and Repositories

3.4.1 Technology

The Council technology landscape is evolving to meet the changing demands of the workforce and physical office environments – employees are working from home more and customers are demanding online access to services. The move to cloud technologies is a key theme in the Council's ICT Strategy and where practical, cloud solutions are being implemented, such as the move to Microsoft Azure, O365 and SharePoint. SharePoint team sites are being progressively implemented where documents will be stored electronically by default, maximising opportunities for collaboration and minimising paper based storage and duplication. Local drives are being replaced by One Drive.

Council is mid-way through a systems consolidation which incorporates the transition to Agresso for critical systems such as HR, Payroll and Finance. The system landscape consists of 600 line of business systems, 150 core systems and 20 critical systems. Challenges have been experienced identifying master sources for the multiple data hierarchies for this transition and also locating appropriate vendor or solution partner contracts which sometimes don't exist. Integration between systems is a challenge, such as with Protocol which stores child records and Care Director which stores the records when the child becomes an Adult, however there is no integration between the two systems.

Information@Work has been used since 2004; its compliance with IL3 mean it is a suitable repository for sensitive information such as for Social Care documents. It is used primarily for records relating to any form of case management and workflow functionality and the Document Management business analysts are currently working with the areas such as Children's Services on their transition to Information@Work.

The intranet is used to publish Council plans, policies and procedures and stakeholders reported that it is very hard to use and to locate information; the intranet platform is transitioning to SharePoint.

3.4.2 Repositories

Currently a large proportion of information is stored on Council shared drives (I and P drive); these have been de-duplicated however there is still over 70TB of electronic information and data on these drives. Some of the key repositories are:

Repository	Information Types
Care Director (MS Dynamics)	Adult records
Protocol	Children's records
Information @ Work	Revenue and Benefits, Council Tax, HR information
Academy	Revenues and Benefits data
Capita	Education, School Admissions, pupil records
Shared Network drives	Corporate records across Directorates
Personal drives	Personal and corporate information
Agresso	Capital, HR, Finance
Intend	Tender packs
Talent Link	Recruitment data

Resource Link	Employment and Payroll data
SharePoint	Team documents
Intranet	Policies and Procedures
Outlook	Functional, project mailboxes

Many of these systems are localised and integration is limited, and duplicate data is held in multiple locations. The Traffic and Transport business area reported they have major challenges due to volumes of systems they have to work with to provide their services.

Outlook is used as a repository with functional and project mailboxes in use and it is heavily used to share information via attachments which is contributing to the duplication issues.

3.5 Data Management and Business Intelligence

There is an increasing focus on data across Council and how it can be used to improve services and to make informed policy decisions. Initiatives have commenced to improve data management and the sharing of data between corporate systems, including the development of a Data Warehouse as part of the Information Assets and Data ICT Programme. Corporate Management information is being developed via the data warehouse which means that the published data has been validated and is accurate. Microsoft BizTalk, an enterprise middleware tool, is being used as an integration tool between key Council systems e.g. payment info for Agresso, to translate Fizcodes (from legacy systems) to new codes. A Customer Journey Program is ongoing which is focussing on channel shift and new data techniques to help inform new solutions, and progressing towards a single view of customers.

Data ownership, accountability, quality and duplication were cited as key issues, especially for critical data entities such as customer and property, which means there is a lack of consistency across tier one systems and a difficulty locating a single source of truth. Data processes are silo-ed across services and systems which means re-keying of data is common which increases human intervention and therefore the chance of error.

There is frustration around the amount of data cleansing and manipulation required to get accurate data and there is a lot of time is spent correcting data quality. Currently Council has no register of key datasets and who owns them. These challenges mean it is very difficult for Council to proactively engage with customers based on their feedback or behaviours. No centralised reporting function exists at Council, and stakeholders reported it is often not clear how to locate reports or raw data.

3.5.1 GIS Data

The Council uses two main types of GIS data – base ordnance survey data which is often purchased from third parties, and business created data e.g. by Highway Maintenance, Environmental teams. GIS data is managed and published primarily by the Insight team for Council users to view and create maps, such as of layers of Council owned land in Coventry. GIS data is stored on the network drive or in the application in which it is being used (MapInfo, AutoCAD).

Duplication, version control and naming convention challenges exist meaning it is often unclear if the correct version of a map has been located on the network drive. No metadata is used to support efficient search and retrieval of GIS maps.

Copyright issues were also raised as any internal MapInfo user could copy the GIS network drive folder and re-use the data or pass it to third parties. This is a risk as Council does not own the data. Scenarios have occurred where GIS users have left Council and their access (via their email address) is not de-activated for some time meaning the data could be being used or copied inappropriately.

3.5.2 Data Warehouse

The Data Warehouse, built in Microsoft SQL 2012, provides a centralised repository for data from disparate sources where it is being transformed and visualised into meaningful information for employees. Data is progressively being extracted from source systems, transformed and loaded into Council's suite of BI tools – to date Adult Social Care, Finance (from Agresso), Employee HR (from Resource Link) data has been extracted into the Warehouse. The ultimate aim of the Data Warehouse is to provide a single view of a person or household.

Data owners or stewards, where known, are being asked to provide data quality and validation support through click and fix reports which they receive via email. There is no defined role (with role description) for the data stewards, with the list of data stewards held in a table in SQL. The stewards often do not have the time to devote to this task and it is seen as a low priority activity.

3.5.3 Business Intelligence (BI)

A number of BI tools are in use at Council:

- Power Pivot - used via Microsoft Excel mostly by accountants or managers interested in line by line detail
- Microsoft Power BI, which is used for transactional real time reporting, which can be viewed in O365
- SQL Server Reporting Services – provides static reports with exact format e.g. for care workers who have no need for dynamic reports or statutory reports. These can be automated and sent to care workers
- Operational reports come from operational systems

3.5.4 Master Data Management (MDM)

Council is in the early stages of assessing Master Data Management requirements and technologies. MDM is the use of technology to merge and transform data from various sources into single consolidated “golden records” for central datasets; systems are integrated on the basis of a single version of the truth such as for people and property, the two key Council entities.

Currently Council has significant challenges linking data between systems e.g. the Council tax system (Academy) does not link to the Local Land Property Gazetteer (LLPG), the electoral system. MDM technology has been investigated however it is cost prohibitive and consideration is being given to performing MDM in-house through the leveraging of the Data Warehouse structure and processes (e.g. separate out the transfer stage from data warehousing into master data management). Stakeholders expressed concern about how MDM would be implemented relating to the prioritisation of changes to customer data in System A versus System B.

3.6 Open Data and Information Sharing

3.6.1 Open Data

There continues to be a strong push from central government via its <http://data.gov.uk/> initiative for data to be published and freely shared wherever possible. Council publishes key data via its website, with the aim of this high level Open Data to create transparency and accountability. Much of the data is what is required to be shared by law, with some service areas publishing more specific data. The Information Governance team manages what is published, along with the individual teams/service areas managing the other published information.

Open data is shared via the Insight team on Council Headline Statistics including performance, crime, social care, health, housing, local economy. Some data is purchased from third parties e.g. NHS data, customer segmentation data, address data, map data. The Insights team collate and publish high level open data and are focussed on corporate data analysis and activities that support the delivery of the Council Plan, and providing lower levels of detail to the currently published reports. Insights works closely with Local Enterprise Partnerships (LEPs), which are voluntary

partnerships between Council and businesses that support economic growth and job creation within Coventry.

No Open Data Strategy exists to define how open data will be used more in the future to generate revenue and how Council will leverage the Smart City model. Stakeholders reported there are a number of internal policies/procedures relating to Open Data but that they weren't very visible and the awareness of them is low.

It was reported that the benefits of open data are not sufficiently understood which means service areas do not devote a great deal of time to it.

3.6.2 Information Sharing

Information is shared well in some Council services, particularly in Children's Services where social workers understand how important it is to share information to safeguard children. The information sharing culture is good in Adult Services also however there are more barriers to sharing in this service (consent, Adults have more rights).

There was a perception amongst some stakeholders that the key Council messages were to protect information and not to share it, which they thought was re-iterated by the Data Protection Act training. Some service areas are reluctant to share data due to security and privacy concerns with the fear of being punished for publishing something that should not be published outweighing the benefits or desire to publish information.

Non sensitive document sharing is mostly via email attachments and the network drive which will be supplemented by SharePoint links in the future. Attachments are sometimes password protected if they do contain personal information e.g. Occupational Health and Safety medical reports.

Challenges are being experienced around the ability to share data internally such as housing benefit or social security data as the law dictates that it cannot be used for another function, even if the same member of staff is responsible for the different functions. Strict guidelines exist for the use of the Department of Work and Pensions data and there are significant benefits that could be unlocked if this data could be shared.

Customers have occasionally provided feedback to Council that they are not happy to accept the default of their details being shared with other functions as a result of their interaction with the Council service area. This update of details often does not filter through anyway as the chain (often of manual spreadsheets) is not sufficiently robust.

3.6.3 Partner/Inter-Agency Sharing

Information sharing to partners or with other Councils is via phone, letter, email or the UK Government Connect Secure Extranet (GCSX), which is a secure wide area network (WAN) that enables local public-sector organisations to share data privately, particularly with central government departments such as the National Health Service (NHS) and the Police. It was not known whether guidelines existed for when to use the GCSX, the expectation is that line managers will know. For information sharing in general, an Information Sharing Protocol exists and employees contact the Information Governance team for guidance. Employees are nervous about sharing information without the Information Governance team's approval.

Council collaborates often with the NHS, the police and commissioned services such as drug and alcohol recovery specialists, and with other Councils. There are many information sharing agreements in place e.g. for Health and Social Care in Coventry and Rugby or other Public Health and NHS organisations who have their own information standards. The Public Health 0-5 program has an Information Sharing Protocol, where parents are asked for their consent for information to be shared with the 0-5 network of GPs, midwives and health visitors.

Data sharing challenges exist relating to NHS data primarily because of the number of different NHS organisations that Council works with – the NHS, the trusts, Coventry and Warwickshire partnerships, Ambulance Services, Clinical Commissioning Groups, General Practitioners and NHS

England. These are all separate data sources. Commissioned services have on occasion sent emails to Council with identifiable personal information.

3.7 Online Services and Customer Self Service

A number of transformational activities are ongoing or have recently been delivered aimed at re-shaping the relationship between Council and the community it serves. A Customer Journey Program has been initiated which is focussed on the provision of a new building for customer self-service (which has now opened) and channel shift and data warehousing activities, working towards a single view of customers. The goal is simplified customer interaction with Council and a customer service environment where members of the community can easily view the status of their request (one of the most popular calls to the Coventry service desks).

Council have recently updated their Coventry.gov.uk website which is modern and mobile optimised. JADU, a leading local government website and content management system development agency, were engaged to develop the site.

Integral to the new website is an online customer account component (provided by the Firmstep platform), launched in 2015, which supports the channel shift drive by enhancing citizen interaction and service delivery online. Selecting a My Account link seamlessly directs users to the online account system at myaccount.coventry.gov.uk.

Key services currently offered online include Council Tax, Housing and Environmental services. Not all services are online, the most frequently used were targeted first. A roadmap of other services has been developed however the schedule has not been met as time has had to be taken to optimise some inefficient service delivery processes.

Challenges for the online services move include the Council Tax / Benefits links not linking to key Council systems e.g. changes requested via the Housing Benefit - Change of Address option are picked up by a back office team who manually enter in the Housing Benefit system (Academy). The Revenues and Benefits teams began their customer journey before the Firmstep platform was released and so this means they use a different system to manage enquiries and requests. Services all have different back end systems, and this obviously creates challenges providing accurate data via the CRM and website.

4. Current State Analysis

4.1 Key Current State Risks

#	Risk	Reason for Risk	Likelihood of occurrence	Impact of occurrence
1	Risk of accurate information not being available when required to make service delivery decisions	Difficulty accessing a single source of truth, multiple systems and locations for the same data. Information not named, versioned, classified consistently.	High	High – service delivery delays, inefficiency, reputational damage
2	Risk of corporate knowledge loss	No methodology for tacit to explicit knowledge transfer, particularly when employees leave Council	High	Medium – productivity and service delivery issues
3	Risk of data protection breaches	Breaches due to lack of awareness of DPA and value of effective information management, data duplication creates accuracy and currency issues	High	High – financial penalties from the Information Commissioner
4	Risk of information not being retained or destroyed in appropriate timeframes as stipulated by legislation	Little retention and disposal processes on network drive data, data being kept longer than is necessary	Medium	Medium – unnecessary storage costs
5	Risk of copyright infringement	GIS data not secured appropriately, USB restrictions not in place to prevent bulk copy of Council information	Medium	Medium – legal challenges, loss of free access to ordnance survey data

4.2 Maturity Assessment

To be effective, information and data management require a number of key building blocks to be in place including successful strategies, governance, practices and technology. An organisation's EIM maturity level can be measured against these elements where maturity reflects key components such as the completeness of the EIM lifecycle, the awareness of the strategic importance of accurate and accessible data, or the expansion of an IM system from department to enterprise level.

IFC has adapted one of the most commonly used global Maturity Models, ECM3, to evaluate and measure Council's maturity, the results of which provide valuable insights into roadmap activities and prioritisation moving forwards. The model provides a structured framework for building an information management roadmap, in the context of an overall EIM strategy. The model uses graded levels of capabilities, from rudimentary information collection and basic control to increasingly sophisticated levels of management and integration through to a mature state of information optimisation and continuous improvement.

The assessment provides a baseline perspective of enterprise information management against the industry standard model using a defined scoring mechanism. A future state maturity level has been assigned which is a realistic target state for Council that highlights the current capability gap.

There are ten Dimensions in which maturity is measured.

1. **Governance** – the provision of information rules, accountability, ownership and guidance
2. **Strategy** – the presence of an EIM strategy, alignment with strategic goals, programs of work
3. **Value** – awareness and understanding of EIM value proposition
4. **Asset Management** – lifecycle management of information including retention and disposal
5. **Access & Security** – access channels and accessibility of information, information security
6. **People** – behaviours, culture, capability
7. **Processes** – knowledge, consistency and effectiveness of information related processes
8. **Quality** – information accuracy and currency, staff aware of their role in information quality
9. **Architecture** – enterprise and information architecture
10. **Platforms** – technology, repositories and their usage

Each of these Dimensions is measured on a scale from one to five, with one as the lowest maturity and five as the highest.

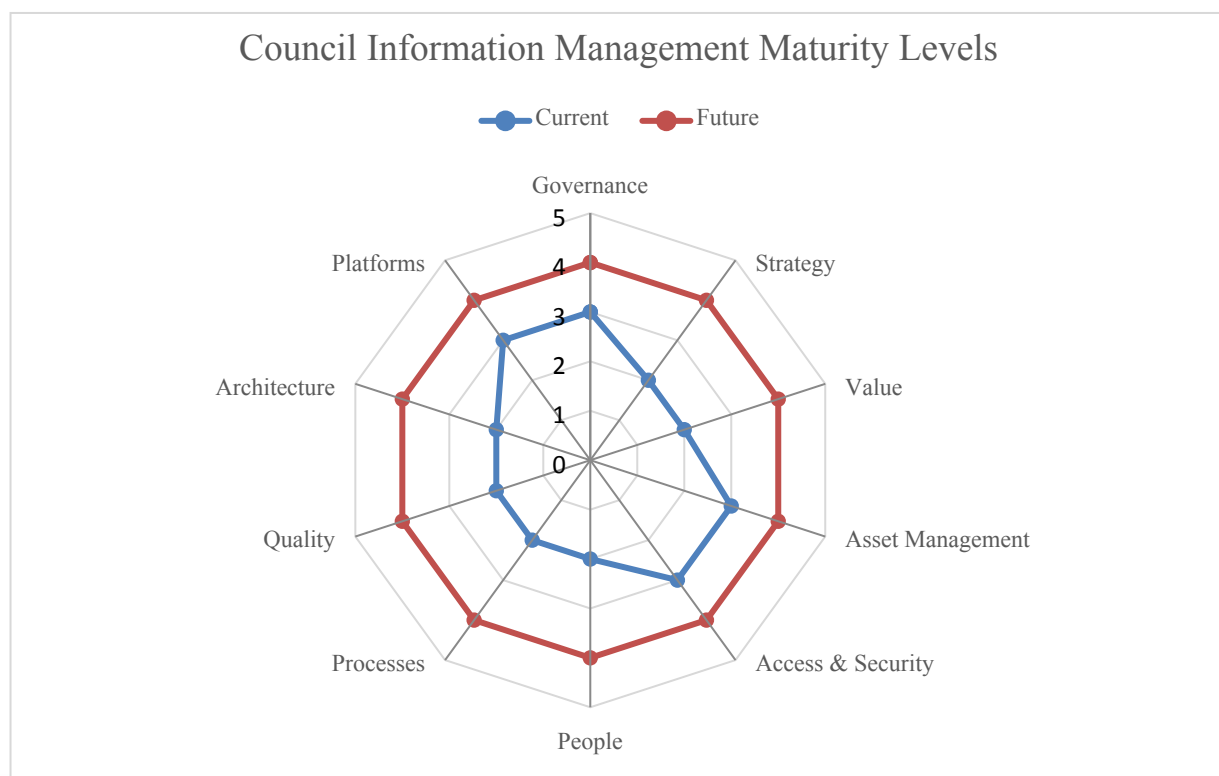
1. **Ad Hoc**
2. **Formative**
3. **Developing**
4. **Operational**
5. **Optimised**

These are explained in more detail in Appendix 3.

4.3 Maturity Assessment Results

The maturity assessment highlighted that the Council has a low-medium maturity across all dimensions, however no EIM dimension scores the lowest level of 1.

The current maturity levels are either Formative (Level 2) or Developing (Level 3) which is reflective of the growing understanding of the importance of information and data management at Council, coupled with key challenges of data ownership, silo-ed processes and difficulties accessing a single source of the truth as outlined in this report.



The table below describes the maturity assessment results and highlights the current capability gaps between current and future state. The target future state maturity level represents a realistic level that Council can achieve through the implementation of the recommendations in this report. If Council is successful in implementing the required changes to transform EIM across the dimensions, and with continued investment and executive support, optimised maturity levels (5) are achievable.

Maturity Dimension	Current Maturity Level	Detail	Future Maturity Level
Governance	3	Council has as governance function for information but this does not cover data. Ownership and accountability issues exist. Key roles are being recruited and an ICO governance audit is ongoing. A policy framework exists.	4
Strategy	2	Council does not have an IM strategy which covers enterprise wide IM disciplines and initiatives. Some IM related projects and reviews are in progress.	4
Value	2	There is some awareness of the value proposition and benefits of effective information management, however this is inconsistent across Council.	4
Asset Management	3	An enterprise retention and disposal schedule has been developed and SharePoint expiry dates are being introduced.	4
Access and Security	3	An ISMS is in place including an Access Control Policy. Staff have issues finding information and a single source of truth, particularly relating to historical events. No enterprise search functionality exists.	4
People	2	Council staff are aware of their DPA obligations and there is a growing awareness of EIM issues particularly around data. The information culture and varying capabilities are a challenge – EIM is often not seen as a priority.	4
Processes	2	Processes are silo-ed and not standardised across Council, and manual or paper processes exist. Many processes have not been analysed, documented and automated via workflows.	4
Quality	2	Council experiences issues in locating accurate, current and consistent data. Many employees do not prioritise producing quality information through consistent methods of saving, naming, classifying or versioning information. Multiple copies of the same data are held across Council.	4
Architecture	2	Council does not have a defined enterprise or information architecture, integration between systems is a major challenge and data is not standardised across data locations. Data Warehouse	4

		and Customer Journey initiatives are ongoing to improve data flow and usage.	
Platforms	3	Council has a large volume of data and information platforms, with little integration between them. A systems consolidation is ongoing and network drive processes are being transitioned to SharePoint. The network drives are poorly classified and the intranet is difficult to use. Platforms such as Yammer have been deployed without success.	4

5. Information Vision and Future State

The future state vision for information and data assets at Council, as defined in the draft Information Management Strategy, is:

We will exploit information as a strategic asset, using recognised best practice, legislation and technology to minimise requests for information, store only what we need to and increase our ability to deliver value for money, customer focused services to the benefit of Coventry, our customers and the council.

The Council ICT Strategy expands on this to state that the vision is to “provide accurate and consolidated records for our most important information. This will enable services to manage and control their own information in an accurate and efficient way. Where required and relevant, data will be shared across the organisation and externally to help design and underpin better public services. We will store information in a secure and robust location that will enable services to make best use of management information”.

The key characteristics of this improved enterprise information environment for the Council, its staff and partners are:

- **A single version of the truth**
 - ▶ Golden records for people and property data
 - ▶ Information is accurate and consolidated
 - ▶ Information is collected once and re-used across services
- **Accountability and Ownership**
 - ▶ Core information assets identified and owned
 - ▶ Information is managed appropriately, lawfully and supports compliance
- **Information is recognised as an asset**
 - ▶ Information recognised as a strategic asset and managed as such
 - ▶ Improved information quality = improved information outcomes and less risk
 - ▶ Accessible accurate information supports predictive analysis and innovation
- **Secure but Open**
 - ▶ Information is secure and private where needed
 - ▶ Balanced with information openness, sharing and collaboration
- **Agile and Automated**
 - ▶ Business processes are streamlined, modernised and automated
 - ▶ Services are integrated, customers can easily interact with Council
- **Effective IM embedded in workforce activities**
 - ▶ Employees understand the value of effective information management and their Data Protection Act obligations



6. Recommendations & Roadmap

Practical recommendations have been provided to assist the Council develop a roadmap of actions required to achieve the future state. For planning purposes the recommendations have been prioritised into the following categories:

Recommendation Category	Timeframe
QUICK WINS	Next 3 months
NOW - CRITICAL	Next 6 months
SOON - IMPORTANT	6 – 12 months
LATER - VALUABLE	12 months +
CONTINUE	n/a

The CONTINUE recommendation relates to activities that are currently ongoing that are a vital part of the EIM transformation as they relate to how Council uses the improved and more accessible data to understand demand and optimise service delivery through predictive analysis.

This section is followed by a roadmap illustrating the dependencies of the recommendations and a recommended sequence of activities.

The roadmap is not a composite project plan in itself; some of the components require plans and schedules to be developed as they are significant bodies of work. The time it will take to reach the future state is an estimate based on the current state analysis and IFC's industry experience and can be adjusted as required. Some parts of the roadmap have interdependencies and so if executed, the dependencies should be considered as pre-requisites to the subsequent activities.

Due to the amount of change required, the final EIM roadmap should be regularly reviewed and updated to ensure it remains aligned to organisational needs.

6.1 Recommendations Matrix & Roadmap

Current State Dimension	Related Risk, ICO Action	Recommendation	Priority	Outcome/Benefit	Effort	SME Support Recommended
Information Access, Security and Lifecycle Management Strategy, Governance & Compliance Data Management and Business Intelligence	1, 5 a19	Perform Information Asset Audit and Develop Information Asset Register Leverage work completed by service areas in the FAB process, existing disaster recovery data, and supplement with a survey to identify Council key information assets. Detail the assets, where they reside, how they are used, which service, function and/or application owns them. Assign value to assets and map the register to the retention and disposal schedule.	NOW	<ul style="list-style-type: none"> Information ownership, accountability and security Significantly enhanced information findability Essential business continuity artefact is developed Enhances compliance with the Freedom of Information Act (FOIA) and the Data Protection Act. 	50 days	Yes
Strategy, Governance & Compliance People, Processes, Knowledge and Change Management Data Management and Business Intelligence	1, 3, 5 a13, a19	Define Information Asset Owners (IAO) Formally define an Information Asset Owner role that delivers ownership and accountability for key Council datasets. Implement an IAO user group to progress cleansing and standardisation of datasets. Include IAO role responsibilities in performance reviews.	NOW	<ul style="list-style-type: none"> Information ownership and accountability Improved data quality Reduced silo-ed processes 	5 days	Optional
Information Access, Security and Lifecycle Management Strategy, Governance & Compliance	1, 5 C39	Simplify current Council retention and disposal schedules Simplify the current retention and disposal schedule v1.8 by categorising records into Minor, Normal, Major, Permanent, Exceptions (as per IFC recommendation May 2015). Align the schedules to filing methods	NOW	<ul style="list-style-type: none"> The retention and disposal schedule is significantly easier to implement Improved information security and findability Enhances compliance with the Freedom of Information Act 	5 days	Yes

		identified in the information asset register, adjust the schedules where appropriate to align to how information is filed.		(FOIA) and the Data Protection Act.		
People, Processes, Knowledge and Change Management	1, 2, 3, 4 b5, b6, b9, b14	Develop IM Education Program Align to current induction process either via classroom or eLearning, and educate existing employees, particularly information and data owners, and senior roles, via Refresher sessions. The purpose is to inform employees of their responsibilities relating to Council information, to maintaining its quality and accessibility, sharing and collaboration, and balancing this with Data Protection Act requirements. Communicate key elements of the Information Standard and guidance on processes such as the Freedom of Information SharePoint portal.	NOW	<ul style="list-style-type: none"> Employees better understand the importance of effective information management Delivers Information Principles 1 – 7 as stated in draft IM Strategy Reduced silo-ed information processes and duplication 	8 days (Dependent of method of delivery)	Optional
Strategy, Governance & Compliance People, Processes, Knowledge and Change Management	1, 2, 3, 4	Develop IM Standard Formalise elements of IM Education Programme, publish via Council intranet, and align to Policy Framework review. Content to include: <ul style="list-style-type: none"> Guidance on when to use Line of Business (LOB) systems, Information@Work, shared drives and SharePoint, relating to IL2 versus IL3 requirements Definition of Council information management principles Procedures e.g. when to retain physical copies and when to scan. 	NOW	<ul style="list-style-type: none"> Improved information quality and findability, consistency and standardisation of storage Supports effective information and data governance Supports FAB processes with Children and Adult Social Care Services Reduced silo-ed processes and duplication 	7 days	Optional

		<ul style="list-style-type: none"> • Key definitions e.g. of a child record • Definition of organisational naming conventions 				
Strategy, Governance & Compliance	1, 3, 4 a2, a5	Review Council Information and Data Policy Framework Perform gap analysis of current information, records and data policies, and develop policy map. Update, create and merge policies as required. Define the process and artefacts required for implementation of policy framework e.g. updated procedures, work instructions, supporting guidance in line with ICO code of practice	NOW	<ul style="list-style-type: none"> • Comprehensive policy framework provides a robust set of business rules for information, records and data management at Council • Foundation for delivery of all Information Principles 	Fixed effort of 5 days for gap analysis. Variable amount for policy update depending on requirement	Yes
People, Processes, Knowledge and Change Management	1	Develop EIM Communication Plan Establish key messages, develop plan for communication of all project and information activities, align to organisational Learning and Development plans. Include practical examples of where EIM has successfully provided tangible benefit.	NOW	<ul style="list-style-type: none"> • Practical examples provide evidence of EIM success • Clear, consistent and timely communications supports user adoption of new solutions and IM awareness 	10 days	Optional
People, Processes, Knowledge and Change Management	2	Review handover and knowledge capture processes when staff leave Council Review the handover processes used by line managers, the standardisation of these processes, and implement opportunities to improve knowledge capture and transfer.	NOW	<ul style="list-style-type: none"> • Reduced corporate knowledge loss • Increased service delivery efficiency through greater sharing of lessons learned and best practice 	5 days	Optional
Strategy, Governance & Compliance	1, 2, 3, 4	Finalise Enterprise Information Management Strategy Leverage this report and the Information	NOW	<ul style="list-style-type: none"> • Defines the strategic direction for all information related activities • Defines information principles 	5 days	Yes

		Management Strategy ppt to create an Enterprise Information Strategy that defines the current state, drivers, vision, principles and capabilities required to deliver the future state. Define a "Strategy on a Page" that can be presented to all audiences.		<ul style="list-style-type: none"> to be used in all EIM activities Alignment of information, knowledge, collaboration and records management initiatives 		
Strategy, Governance & Compliance	1, 2, 3, 4	Benefit realisation and performance monitoring against strategic targets Using a 6 month review cycle, define performance monitoring and benefits realisation processes against enterprise information strategic targets. Leverage this report to baseline the current state, develop the metrics to be monitored, and future state outcomes. Expected benefits from individual initiatives should be identified, clearly defined and linked to the Council's priorities and objectives.	NOW	<ul style="list-style-type: none"> Provides evidence of EIM's contribution to the delivery of Council's objectives Return on investment more easily identified Ensures timely information strategy implementation 	5 days	Yes
People, Processes, Knowledge and Change Management Strategy, Governance & Compliance	1, 4	Update Document Management processes to include impact analysis Perform an impact analysis three months post a business area going live with SharePoint or Information@Work via workshop and/or survey. Identify success stories and challenges.	NOW	<ul style="list-style-type: none"> Identifies areas that require additional focus or training Success stories increase user adoption 	3 days	Optional
Data Management and Business Intelligence	1, 2	Develop Master Data Management plan Develop a plan for implementation of an enterprise architecture that facilitates master data transfer between key systems. Define the current state, establish the principles,	SOON	<ul style="list-style-type: none"> Clearly defined plan for move to MDM and single view of customer and property Platform for development of single view of customer and property 	10 days	Optional

		required roles and responsibilities, define the required processes.				
Data Management and Business Intelligence	1, 2	Perform cost benefit analysis of MDM technology against in-house MDM Evaluate MDM technology offerings and cost, and compare this to effort/feasibility of in-house MDM process and tool development.	SOON	<ul style="list-style-type: none"> Definition of most cost effective method of MDM implementation 	10 days	Optional
Strategy, Governance & Compliance	1, 3, 4 a14	Implement Records Manager role Assign responsibility to an existing resource or procure a new role. Role to define audit strategy against Governance measures. This is a key role for Council to provide guidance, support and authority for recordkeeping activities, challenges and ownership for the Retention and Disposal Schedule.	SOON	<ul style="list-style-type: none"> Delivers guidance, support and authority for recordkeeping activities and challenges Ownership of retention and disposal schedule, and business classification schemes Oversight of Council information and records legislative requirements 	N/A IFC can provide a contract resource for this role	Optional
Strategy, Governance & Compliance, People, Processes, Knowledge and Change Management Technology and Repositories	1 a2, a5	Review and update Information Governance intranet pages Review the current Information Governance pages and links to current policies. Develop Information Management pages that communicate the IM Standard, link to the IM Education Program, the updated policy framework, DPA obligations. Align to intranet upgrade to SharePoint.	SOON	<ul style="list-style-type: none"> Information Management is more visible across Council Key EIM information and success stories enhance user adoption 	5 days	Optional
Technology and Repositories	1	Evaluate SharePoint - Outlook integration tool Evaluate integration tools that enable the saving of emails directly to SharePoint from	SOON	<ul style="list-style-type: none"> Pre-requisite for improved email management Enhanced user adoption of SharePoint 	8 days	Yes

		within Outlook. Develop use cases based on benefits sought or risks mitigated, develop scoring mechanism.				
People, Processes, Knowledge and Change Management Technology and Repositories	2	Review Yammer and SharePoint newsfeeds suitability as knowledge sharing tools Review the Yammer implementation, assess functionality and employee perception of tool. Assess against SharePoint newsfeed functionality.	SOON	<ul style="list-style-type: none"> Existing tool suitability defined for increased knowledge capture and sharing Reduced corporate memory loss 	5 days	Yes
Strategy, Governance & Compliance	3	Review and prepare for upcoming EU General Data Protection Regulation changes Review, monitor and prepare for proposed EU GDPR changes that will change Council's data protection obligations.	SOON	<ul style="list-style-type: none"> Council are prepared for the EU General Data Protection Regulation changes and required governance and process changes are planned 	10 days	Yes
Open Data and Information Sharing	1 c21, c23	Review Information Sharing Guidelines and Agreements for Partners Assess the current information sharing activities with partners and opportunities for improvement. Review existing template agreements, clarify processes, assess against central government recommendations.	SOON	<ul style="list-style-type: none"> Standardised information sharing approaches Clear processes for establishing new information sharing agreements with partners. Accurate and current partner information supports high quality Council service delivery 	10 days	Yes
Open Data & Information Sharing	n/a	Develop Open Data Strategy Definition of strategy for sharing Council datasets. Assessment of what to open fully or discretionary, when to open and why, privacy impact, cost benefit analysis of data releases. Identification of the benefits of open data and	LATER	<ul style="list-style-type: none"> Revenue generation Stimulated economic growth through entrepreneurial use of data Improved FOI compliance Social benefits of public access to data 	20 days	Yes

		alignment to models such as the Smart City model.		<ul style="list-style-type: none"> Complements inter-agency data sharing 		
Technology and Repositories	1	Deploy SharePoint – Outlook integration tool Deploy the SharePoint – Outlook integration tool to SharePoint users.	LATER	<ul style="list-style-type: none"> Email management greatly enhanced Key Council records stored in Outlook mailboxes more visible and accessible 	5 days	Optional
Data Management and Business Intelligence	1	Continue Customer Journey Program activities Customer Journey Program and Voice of Customer (VoC) activities should be continued to implement new data techniques to more proactively manage customers. This includes channel shift initiatives, route cause analysis of complaints, improving quality assurance processes and predictive modelling.	CONTINUE	<ul style="list-style-type: none"> Improved customer experience Improved service delivery through better understanding of demand Progression towards a single view of customers 	n/a	Optional
Technology and Repositories People, Processes, Knowledge and Change Management	1, 3, 4	Deliver SharePoint Learning Workshop to project team and team librarians Deliver a two day SharePoint workshop to the transformation project team and key stakeholders/team librarians from the early adopters. Focus of workshop is best practice for designing IM solutions using SharePoint and how this can be embedding into Council IM deployment activities.	QUICK WIN	<ul style="list-style-type: none"> Optimised use of metadata in SharePoint team sites Enhanced user experience and user adoption 	2 days	Yes
People, Processes, Knowledge and Change Management	1, 4	Update Document Management processes to include naming conventions and usage audit	QUICK WIN	<ul style="list-style-type: none"> Consistent and effective naming support information findability Audit enhances user capability, 	2 days	Optional

Strategy, Governance & Compliance		Update current processes used by the Document Management workstream in the SharePoint deployment to include the identification of naming conventions and an audit process to validate effective usage of the system post go-live		information quality and user adoption		
People, Processes, Knowledge and Change Management	1	Review paper child record processes Review process for a paper file being opened for every child; update process to only open paper files where required.	QUICK WIN	<ul style="list-style-type: none"> Reduction in paper processes and Iron Mountain storage costs 	1 day	Optional
Information Access, Security and Lifecycle Management	3, 5	Review GIS data access controls Review the access controls on the GIS network drive folders. Perform needs assessment and remove read/write access where required.	QUICK WIN	<ul style="list-style-type: none"> Reduced risk of information being modified or lost Reduced risk of financial penalty (free access to ordnance survey data via PSMA (Public Sector Mapping Agreement) being rescinded) 	2 days	Optional
Information Access, Security and Lifecycle Management	n/a	Investigate cost saving of scanning opportunities Liaise with a scanning provider to ascertain the cost of bulk scanning Occupational Health and Safety and Employment Services records.	QUICK WIN	<ul style="list-style-type: none"> Cost saving on physical storage and temporary resources 	1 day	Optional
Information Access, Security and Lifecycle Management	n/a	Review ERDF paper retention requirements Validate European Regional Development Fund (ERDF) grant requirements, adjust processes and scan records if cost effective.	QUICK WIN	<ul style="list-style-type: none"> Cost saving on physical storage Efficiency gains of electronic processes 	2 days	Optional



7. Conclusion

Coventry City Council, like all local government agencies, is under increasing pressure to deliver better services to the community and employees, meet compliance rules, boost efficiency all the while keeping a tight rein on costs. Improved enterprise information management is key to achieving these goals and this is recognised in the Council Plan, the vision for the next ten years, which refers to key themes of “new ways of working through culture change” and “making the most of assets”. Accessible, quality information and data play a critical role in the ability of staff to deliver high quality services to residents, partners and internal Council employees.

The EIM maturity assessment has found that whilst there is a lot of work to do, Council is well placed to continue the transformation of information processes and to build a more solid foundation of governance, capability and knowledge sharing to address the current state risks and to realise the significant benefits of improved enterprise information management.

This report supports the next steps towards addressing the key EIM issues and embedding the effective management of these key assets into the organisational culture. The roadmap articulates what activities need to be prioritised and these will be analysed further to identify the appropriate resources and exact timeframes for implementation.

With the assimilation and implementation of the recommendations in this report and strong leadership support, Council can transform operations and the ratepayer experience, and deliver innovative, agile services in the digital era.

Appendix 1 - Stakeholders

Stakeholder	Role/Business Area	Engagement method
Joe Sansom	Transformation Programme Delivery Manager, Major Projects and Transformation	Interview
Andrew Baker	Insight Manager (Intelligence)	Meeting
Clare Storey	Transformation Program Manager, Customer Journey Program	Meeting
Emily Burn	Insight Program Officer	Meeting
John Day	System and Data Integration Team Lead	Meeting
Helen Lynch	Legal Services Manager	Meeting
Martin Boyle	Systems Data Officer, Insight Team	Interview
Hayley Doolan	Programme Officer (Customer Insight), Insight Team	Interview
Paul Ward	Head of ICT, Strategy and Systems	Interview
Marc Greenwood	Head of Business Systems, Social Care Systems	Workshop
Alex Hood	Business Services Centre Manager for Safeguarding +	Workshop
Chris Horn	Team Manager, Referral and Assessment Service, Children's Social Care	Workshop
Isabel Merrifield	Caldecott Guardian	Workshop
Barrie Strain	Revenues Manager	Meeting
Glenda Cowley	Benefits Manager	Meeting
Joanne Lorimer	Senior HR Officer	Workshop
Yassir Mahmood	Learning & Development Manager	Workshop
Alison Hook	Website and Intranet	Workshop
Julie McSorley	HR Recruitment	Workshop
Angie White	Occupational Health, Safety and Wellbeing Manager	Workshop
Alison Court	Recruitment	Workshop
Joanne Moynihan	Communications Officer	Workshop
Paul Jackson	Technical Security Team Lead	Interview
Paul Jennings	Corporate Finance Manager	Workshop
Carolyn Prince	Lead Accountant (Annual Financial Cycle)	Workshop
Claire Maddocks	Finance Systems Accountant	Workshop
Mick Burn	Procurement Manager	Workshop
Phil Baggott	Lead Accountant, Corporate Finance	Workshop
Tracey Miller	Head of Planning and Regulation	Workshop
Chris Dowell	Planning Liaison and System support Officer	Workshop

Ruth Gaskell	Corporate Property Information Manager – Land and Building	Workshop
Karen Seager	Highways, Traffic and Transportation	Workshop
Sudha Panchal	Economy and Jobs	Workshop
Martin Vickery	Construction and Planning	Workshop
Sue Heawood	School Admissions Manager,	Workshop
Nicola Hallam	MIS Officer for Adult Education	Workshop
Becky Twite	Education Libraries and Adult Learning	Workshop
Jane Moore	Director of Public Health	Interview
Amanda Durrant	Payroll Manager	Meeting
Public Health SMT	Various	Meeting
Elaine Charley	Business Solutions Co-Ordinator	Meeting
John Batstone	Project Support Officer	Meeting
Joy McLanaghan	Project Support Officer	Meeting

Appendix 2 – Reference Documentation Provided

The following documentation was provided for reference or reviewed during the development of this report.

- Council Plan 2015
- Information Management Strategy (3)
- ICT Strategy Reboot DRAFT FINAL
- Info Management Group 210915 (2)
- ICT Strategy Theme Cards DRAFT
- Chief_Executive_s_Structure_Chart_2015
- People_Directorate_overall_structure_08_10_2015
- Public_Health_Structure_Chart
- Resources_Directorate_Structure_Chart_2015
- policy_v1_2_Feb_11_TE (Data Quality Policy)
- Records_Management_Policy_v3_0_Approved[1]
- Good_practice_guide_to_disposing_of_information
- Foster_Carers_Information_Security_Standards_for_Record_Keeping[1]
- Information Sharing Programme Board TOR V2.0 Final July 2015
- Information Management – bringing it together merged 16 Jun
- Coventry ICO Audit Report Action Plan
- S372 2a Risk_Management_Strategy[1]
- Coventry Information Sharing Protocol
- 12-372 1a IG Management Arrangements Table
- MASTER TEMPLATE_QTRLY REPORT
- PSNCustomerCertificate-CoventryCityCouncil
- JD & PS Information Governance Administrator
- JD & PS Information Governance Officer
- JD & PS Senior Information Governance Officer
- IG Team Structure
- Legal Team Structure
- Revised Audit and Risk Structure
- Place and Regulatory team structure
- 12-144 2b The roles of Information Governance March 2015
- 12-252 S2b Code_of_conduct[1]
- Authorisation for access to confidential info and form of undertaking
- 1.1.1 Policies, Values and Principles (Values)
- 12-252 2b Induction_checklist[1]
- Agency_Workers_Manager_s_checklist1
- Childrens Confidentiality Policy
- Childrens Recording Policy
- Confidentiality Agreement
- Confidential Adoption Information – Form of undertaking
- Risk Management Strategy
- Data Protection Responsibilities for Line Mgrs
- Data Protection Policy Statement
- Information Inc Mment Process Diagram v0.2
- Schedules 2 and 3 DPA
- Coventry report final 2 July 2015
- Activity Roadmap

Appendix 3 – Maturity Model Details

7.1 EIM Maturity Levels

EIM maturity is broken down into five levels that identify the readiness to realise EIM benefits.

Level	State	Characteristics
1	Ad Hoc	No formal management or governance of unstructured information. Disparate repositories including network drives used as document stores, resulting in high levels of re-work, inability to find information and end user frustration.
2	Formative	Functional or project driven approaches used to manage some information. Various technologies are deployed but are inconsistently used. Opportunities for improvement identified.
3	Developing	Notions of the information management lifecycle beginning to be incorporated. Processes have been analysed and EIM plans are in place however they are yet to be deployed.
4	Operational	Information is managed throughout the organisation albeit in diverse systems. Information architecture understood. Retention and disposal schedules applied to critical information. Collaboration and social information management in place.
5	Optimised	Information is managed as a strategically important asset. Solid understanding of core information management principles and business drivers enables organisational agility.

Adapted from ECM3 Maturity Model Version 2.0 – June 2010.

7.2 Information Maturity Dimensions

The information maturity dimensions in this assessment cover the key components of successful EIM. These dimensions apply across organisations regardless of industry, size, business objectives and are in no particular order.

Dimension	Description
Governance	Governance includes the presence of an overarching governance structure that ensures a cohesive approach to information management through appropriate authority, strategy, communication and the empowering of stakeholders to realise the benefits of EIM. It covers the extent of policies and procedures addressing information management and the meeting of compliance obligations.
Strategy	Strategy includes the presence of information management strategies, the alignment of business and IT strategies and overarching strategies that are aligned to organisational strategic goals. Information management strategy should cover all facets of EIM, ensuring

Dimension	Description
	programs of work are aligned rather than an environment of local or tactical solutions being deployed.
Value	Value includes the organisational awareness of the business value of information management and the role it plays in effective business operations. This covers awareness amongst key stakeholders such as Executives, IT and staff. Maturity is also dependent on whether an understanding of the value of information management is considered a core employee skill and included as part of education or communication programs and HR reviews.
Asset Management	Asset Management covers the completeness of lifecycle management for documents and records from creation to storage to disposal, how well the stages of information lifecycle are defined and how much information goes through a formal lifecycle. The use of enterprise or business classification schemes and retention and disposal schemes illustrate maturity in this area as these provide the structure, business rules and automation for asset management.
Access & Security	The accessibility or findability of information is a key component of successful EIM. Factors here include the amount of time spent looking for information, the presence of efficient search tools, the ability to locate a single source of truth and the efficiency of access channels. This dimension includes to what extent access to information is restricted through appropriate security models and measures.
People	The People dimension covers information behaviours and culture within an organisation and the capability of staff relating to information management principles and tools. Information sharing and effective collaboration are key outputs of maturity in this dimension.
Processes	Processes covers the extent to which core business and information orientated processes have been analysed, documented and automated via workflows. Low maturity in this dimension is evidenced by inconsistent manual or paper based processes, with higher maturity including automated processes that span departments and systems and the use of eForms and workflow/business process management solutions.
Quality	The Quality dimension is the accuracy, currency and consistency of information and the level of awareness amongst staff of their role in producing quality information. Quality is evidenced by the use of corporate taxonomies, consistent methods of saving, versioning and classifying information, and standards for metadata, file naming and numbering.
Architecture	Architecture covers the use of an Enterprise Architecture that provides consistent principles and practices to guide organisations through the business, information, process, and technology changes necessary to execute strategies. This dimension has a focus on information architecture, a component of enterprise architecture that identifies the information centric components of an IT environment, defines the sources and flows of information in business activities, the rules for classification, security, ownership and the relationships to Blue Care's objectives.
Platforms	Platforms covers what information management technology and information repositories exist and whether they are used in a consistent and effective manner. Systems may be department specific, disparate or enterprise wide. Platforms also covers whether staff know what technology or repository to use and when depending on the information related requirement.

7.3 Maturity Dimensions Matrix

For each maturity level, general characteristics can be defined for the ten information dimensions.

Maturity Level	Governance	Strategy	Value	Asset Management	Access & Security	People	Processes	Quality	Architecture	Platforms
5 Optimised	Proactive review and adaptation; staff feedback key to processes.	Strategic vision implemented, regular performance monitoring and optimisation of EIM environment	EIM value leveraged across the organisation through information management best practice	All information goes through lifecycle management.	Information access is rapid and reliable. Search, security and classification become central services.	All staff appropriately capable. EIM designated a core skill and part of HR reviews	Robust exception handling and experimentation within information framework	Information quality is high, monitored and new ways of automating quality assurance and control are continuously investigated.	Continuous improvement of architectural practices, External recognition of quality of the architectural maturity.	Proactive approach to platforms. Piloting and prototyping recent technologies looking for the next step forward.
4 Operational	Policies and procedures deployed enterprise wide. Governance function in place	EIM Strategic goals and framework components deployed.	Staff and Executives aware and understand value of EIM. EIM incorporated in staff education programs.	Implementation of electronic and paper based RM across the enterprise	Enterprise or federated search tools enable timely access to information. Security and access controls model deployed.	Executive sponsorship of EIM as a practice. Process and information analysis are core skills	Automated processes span systems and departments	Enterprise classification scheme and information conventions deployed for naming, numbering, versioning	Enterprise and information architecture deployed	Platforms are integrated and appropriate functionality is utilised.
3 Developing	Development of information governance function, policies and procedures	EIM Strategy and framework developed.	EIM value proposition understood by Executives and plans in place to educate staff.	Enterprise Retention and Disposal Schedule developed.	Enterprise Search capability explored. Security and Access Controls model developed.	Communication and education plans in place around EIM business value	Modelling of inter–departmental processes to prep for automation	Information naming, numbering, versioning and classification developing.	Enterprise and information architecture developing	There are several different technologies in place and it is left up to the business to decide how it wants to use them.
2 Formative	Some policies; few or no formal procedures for information. Diverse accountability for information.	No EIM strategy but some information related initiatives planned or in progress	Some awareness but limited understanding of EIM value proposition	Staff starting to understand importance of information lifecycle management. Centralised records / archival function formed.	Search indexed tuned and basic metadata applied. Security managed via individual systems	Growing awareness of EIM issues and lack of management services	Basic process analysis facilitates ad hoc workflows	Some information quality awareness and , and but no standardisation or consistency	Enterprise architecture developing	Some EIM platforms exist but are not utilised effectively or widely.
1 Adhoc	No policies or procedures. People are not aware of what their responsibilities are for the information they own.	No EIM strategy in place; no EIM related initiatives planned or in progress.	No awareness or understanding of EIM value proposition.	No or ad hoc management of information lifecycle.	Staff cannot access information easily and security either not present or too restrictive.	Information management is undertaken with a low level of capability.	Few or no standardised procedures around information	Low information quality. Staff not aware of their role or importance of information quality	No enterprise or information architecture	Primary information management undertaken using basic technologies (file shares).

This page is intentionally left blank

CONFERENCES/SEMINARS
AUTHORITY FOR ATTENDANCE

THIS FORM TO BE USED FOR COUNCILLORS (FOR ATTENDANCE BOTH IN AND OUTSIDE THE U.K.) AND FOR EMPLOYEES (OUTSIDE THE U.K. ONLY OR, IF ACCOMPANYING A COUNCILLOR, INSIDE THE UK)

1. Title of Conference	Civic Visit to Volgograd
2. Organising Body	City of Volgograd
3. Location	Volgograd, Russia
4. Date(s)	30 th October – 2 nd November 2016
5. Councillor(s) recommended to attend	Lord Mayor, Councillor Lindsley Harvard
6. Employee(s) recommended to attend	None
7. Cost per person, including travel, etc (Note: If total cost is less than £100, formal Cabinet/Cabinet Member approval is not required)	Total airfare costs (at the time of checking) + £380 Economy Class + £50 City Council's Travel insurance + £100 for Single-entry VISAs + £200 Currency for incidentals The City of Volgograd will provide accommodation, meals, and transport.
8. Is participation at this event as part of a group	No
9. If so, how many people IN TOTAL will be attending the event as part of that group	N/A
10. Is there anyone travelling with the Member, officer or group in relation to whom any of the costs of travel, accommodation or any other expense will be paid for by a Member or officer. If "YES" please state number.	Yes, Professor Matt Qvortrup, Professor of Applied Political Science from Coventry University. Costs will be met by the University.
11. Source of Funding (FIS Code)	Lord Mayor's Hospitality Budget - 10582

<p>12. What are the reasons for attendance and what benefits to the City Council are expected from attendance</p>	<p>The Lord Mayor has been invited by the City of Volgograd for a civic visit to attend an International People's Diplomacy Forum as part of the United Nations World Cities Day (31st October).</p> <p>The Lord Mayor will deliver a presentation at one of the round table discussions (yet to be decided):</p> <p>"People's Diplomacy and Cities' Diplomacy for Cementing Peace"</p> <p>"Global and Regional Security: Challenges and Perspectives"</p> <p>"People's Diplomacy through the eyes of youth"</p> <p>"Russia, Europe and Asia: Economic Relations in the Modern World"</p> <p>There have been a number of activities in recent years following the 70th anniversary of the Coventry Volgograd twinning link in 2014 and the 75th anniversary of the Coventry Blitz in November 2015.</p> <p>The twinning relationship remains strong in relation to civic links and promoting peace and reconciliation.</p> <p>We are acutely aware of the current situation in Russia, in relation to Ukraine and risks of terrorism. Foreign Office advice will be sought nearer the time on the risks of passengers travelling.</p>
<p>13. Is this conference part of an overall project involving further visits in the future?</p>	<p>NO</p>
<p>14. Recommendation of Cabinet Member/ Cabinet/Chair of any other City Council Committee</p>	<p>YES</p>
<p>(a) Are you satisfied that there is a genuine reason for attendance and genuine benefit for the Council?</p>	<p>YES</p>
<p>(b) Will Councillor attendance affect the decision-making processes of the Council?</p>	<p>NO</p>
<p>(c) Is attendance recommended?</p>	<p>YES</p> <p>Signed: Date:</p>

15. Cabinet Member's recommendation	YES/NO <input checked="" type="checkbox"/> Signed:  Date:
16. Leader's recommendation	YES/NO <input checked="" type="checkbox"/> Signed:  Date: 28/7/16
17. Person responsible for booking conference following approval of attendance	Name: Jane Barlow Resources Directorate Telephone No: Ext. 3047

THIS FORM SHOULD NOW BE RETURNED TO THE DIRECTOR OF CUSTOMER AND WORKFORCE SERVICES (Room 59)

FOR CUSTOMER AND WORKFORCE SERVICES DIRECTORATE'S USE ONLY

Decision APPROVED / NOT APPROVED	Cabinet Member/Cabinet Date:												
Notification to: (a) Officer responsible for booking conference (b) Councillor attending (c) Member of Management Board (d) Members' Services (e) Committee Officer	<table border="1"> <thead> <tr> <th><u>YES/NO</u></th> <th><u>DATE</u></th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	<u>YES/NO</u>	<u>DATE</u>										
<u>YES/NO</u>	<u>DATE</u>												
Date report back obtained													
Date of meeting of Scrutiny to receive report back													

This page is intentionally left blank