
8 March 2016

Name of Cabinet Member:

Cabinet Member for Strategic Finance and Resources: Councillor Gannon

Director Approving Submission of the report:

Executive Director for Resources

Ward(s) affected:

All

Title: Information Management Strategy

Is this a key decision?

No

Executive Summary:

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. Our 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 to maximise the opportunities for information intelligence to shape future services and evaluate the effectiveness of existing ones. We will 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.

This strategy will cover all areas of the Council and it covers all information, documents and data that we create, own, collect and hold in paper and electronic format. It covers all documents that are accessed by the public, staff, Councillors and partners. The strategy formalises principles and a range of activities that are already underway within the Council, bringing these together in one place so that we can begin to connect these activities at a strategic level and make the most of the data and information that the Council holds and how we and others use it. These include activities that resulted from previously agreed policy decisions as part of the Council's kickstart programme and move to Friargate and the Council's Customer Journey vision and strategy.

Increased availability and use of information could transform the way we work – it can strengthen our ability to deliver better outcomes working in collaboration with others, to make better decisions and to solve complex public problems. Alongside this it also has the potential to improve democratic engagement.

Recommendations:

The recommendations are for Cabinet to:

- (1) Endorse the Information Management Vision, Principles and Strategy
- (2) Note the programme of activity as outlined in section 4.1

List of Appendices included:

None

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?

No

Will this report go to Council?

No

Report title: Information Management

1. Context (or background)

- 1.1 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.
- 1.2 Information is one of our greatest assets and its correct and effective 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. Our 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 to maximise the opportunities for information intelligence to shape future services and evaluate the effectiveness of existing ones. We will 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.
- 1.3 Information is everywhere and having the right information at the right time is essential for the Council to operate efficiently, effectively and within legal parameters. As a local authority we are custodians for a wide range of data sets and the Council's role in service delivery and working in partnerships has implications for how we store, manage, use, share and protect information.
- 1.4 The significant financial pressures facing the Council mean that now more than ever we need to ensure that our services operate as efficiently as possible and to shape future services based on evidence. To enable this, we need information to be available in the right format and at the right time, as accurately as possible to enable us to deliver services, reshape services, work with partners, empower communities, to predict demand and to enable others to design interventions.
- 1.5 All of our people at all levels within the Council need to have responsibility and accountability for the maintenance and use of information.
- 1.6 This Information Management Strategy positions information as an asset alongside our physical assets, money and people.
- 1.7 This strategy covers all areas of the Council and covers all information, documents and data that we create, own, collect and hold in paper and electronic format. It covers all documents that are accessed by the public, staff, Councillors and partners.
- 1.8 The strategy formalises principles and a range of activities that are underway within the Council, bringing these together in one place so that we can begin to connect these activities at a strategic level and make the most of the data and information that the Council holds and how we and others use it. These include activities that resulted from previously agreed policy decisions as part of the Council's kickstart programme and move to Friargate and the Council's Customer Journey vision and strategy. So rather than a new policy direction, this is an endorsement of previous policy decisions through the lens of Information Management.

- 1.9 Increased availability and use of data could transform the way we work – it can strengthen our ability to deliver better outcomes working in collaboration with others, to make better decisions and to solve complex public problems. Alongside this it also has the potential to improve democratic engagement.

2. Options considered and recommended proposal

Vision for Information Management

- 2.1 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.
- 2.2 Our 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 to maximise the opportunities for information intelligence to shape future services and evaluate the effectiveness of existing ones. We will 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.

Doing nothing is not an option

- 2.3 We need to adopt a strategic approach to information now so that we realise the benefits as we consolidate our office accommodation, adopt new ways of working, work increasingly across organisational boundaries, work to deliver savings and digitalise services.
- 2.4 The internal and external drivers for that underpin a strategic approach to Information Management are:
- **The Council's role in service delivery** – increased partnership working has implications for managing information and personal data, ownership, sharing and security.
 - **Transformation and change** – changes in the Council organisation, roles and responsibilities means we need to capture records and knowledge rather than relying on individuals.
 - **Reducing office space** – rationalising and reducing office space as we move to Friargate with more flexible working for staff will continue to increase demand for off-site storage of legacy paper records over the next few years and dictate a faster pace for digital working.
 - **Digital by design** – the drive for efficiency, security, sharing and accessibility make electronic information the default rather than paper as we design digital services through our Customer Journey and other transformation work.
 - **Data protection and transparency legislation** – data protection regulation and further controls to keep personal data confidential and secure, balanced by the need for Government transparency and open data for Council information that enables others to create solutions.

- **Regulation and inspection** – monitoring and compliance from the Information Commissioner and Care Quality Commission/NHS.
- **Public expectations** – greater awareness of rights to access information and increasing expectations in a 24/7 web-enabled world.
- **Staff expectations** - ease of use and access to data, sharing information internally and externally with partners, business intelligence and need to base decisions on research to deliver and plan services, sharing customer information to deliver services efficiently.

2.5 Information Management is critical to Council operations. With our new customer service centre approach, the collection, management and use of client data is essential for our successful operation and to support excellent customer service. Increasingly we need to adapt our data systems to allow self-service and access to our customers. We can achieve this by following the government’s digital design principles and providing a service which is “digital by design”.

2.6 In terms of documents, whilst we have made great strides to reduce our paper, our electronic filing remains a challenge and we need to learn to manage and preserve our documents appropriately. At the same time, as we deal with casework, we need to retain a critical focus on data protection and correct and appropriate sharing and use of client data/information to support improved outcomes. We need to respond with pace to recommendations that are made by the Information Commissioners Office. Finally we need to be able to use our information assets to best effect ensuring that we have intelligence which can help shape future services and evaluate the effectiveness of existing ones. All these aspects contribute positively to delivering better outcomes.

2.7 An Information Management Strategy requires information to be stored, managed, secured and shared effectively. The strategy is built on the following principles:

2.7.1 **Information is used to its full potential.** Information assets will be used to improve efficiency, thus reducing cost and improving the customer experience and to enable integration and redesign of services.

2.7.2 **Information is actively managed** in accordance with legislation, best practice and Council policy. Every information asset (for example customer record) will have a prescribed owner.

2.7.3 **All staff and partners are accountable for responsible information management.** This includes ensuring information is relevant, complete, accurate, secure and managed in accordance with risk.

2.7.4 **Information is fit for purpose.** Information will be of sufficient quality to support decision making and business intelligence.

2.7.5 **Information is appropriately accessible.** All information assets are stored digitally, they are easily identifiable, accessible and retrievable in a consistent manner by all relevant parties to enhance collaborative working, information sharing and improved customer experience.

2.7.6 **Information is protected.** From theft, loss, unauthorised access, abuse and misuse. This is important for all aspects of information storage, but even more so as we increase the use of 'cloud' or hosted solutions for the provision of data centre functions.

2.7.7 **Open data: Public information is open by default.** Citizens and businesses can access information about themselves, and to enable the development of the Internet of Things in the City.

What will look different in Coventry as a result of the recommended option?

2.8 Ultimately the implementation of this strategy through the associated programme of work will provide significant benefits to the Council, including:

- **Reduced cost** – of onsite and offsite storage and through digitisation of manual business processes.
- **Reduced risk** – of data breaches or financial penalties incurred through non-compliance with key legislation such as the Data Protection Act.
- **Increased productivity and revenue** – through automation of processes, increased collaboration and knowledge sharing, and the provision of a platform for innovation through open data. An improved customer experience as we design better services on the basis of better insight to deliver improved public outcomes within the resources we have available.

2.9 In addition to benefits for the Council there will be benefits for teams and partners too with;

- **Improved and new ways of working for teams** – by embedding the principles through training and practice teams will have easier access to information. We will be able to track and report performance through dashboards to support management and policy decision making. We will value and protect information so breaches are rare. We will work towards a “golden” record for our information assets which we can rely on to be consistent
- **Greater transparency** - We will publish data transparently and regularly to enable other organisations and individuals to plan to develop new services and share information to improve public services and outcomes.

2.10 Examples of benefits that the Council has already achieved and will be able to build on using the Information Strategy approach include:

- Helping us to better understand who is using our services and why - so that we can target our reducing resources at priorities
- Better understanding the cause and effect of changes on our customers and the services we provide e.g. Care Act and demographic change

- Understanding who doesn't pay by direct debit, where they live in the city and how they prefer to be contacted to support direct debit and channel shift
- Data matching single person discount against other Experian records to prevent and detect fraud and maximise income
- Cross selling Council commercial services and targeting publicity
- Sharing documents so that customers don't have to bring in the same documents to prove eligibility for e.g. housing benefit and homelessness
- More effective safeguarding of children by joining up information and intelligence about children and families from different public agencies
- Checking applicants for schools admissions against council tax records so we allocate places fairly

2.11 We are not starting from a zero base, we have already started our information management journey, this strategy builds on our progress to date which includes;

- **Document Management** – Significant progress with legacy paper records through FAB, and working towards improved electronic document management.
- **Data protection** - Don't gamble with data training. Improvements in guidance on working from home, use of ICT systems/kit, information sharing and established protocols from breaches.
- **ICT strategy, customer strategy and Kickstart programme** – key tools in development including customer portal, corporate data warehouse and document management solutions. ICT systems consolidation programme commencing.
- **Establishing an Information Strategy Group** - to take action in a more coordinated strategic way and focus on service improvement
- **Engagement** - a Senior Information Risk Owner (SIRO), a Chief Information Officer, key officers and SMB support

2.12 This work to date has already started to deliver specific benefits, for example:

- The roll-out of Sharepoint Team Sites is enabling staff to collaborate and share documents; access their documents remotely when working in a more agile way; and also giving teams a fresh opportunity to consider their business critical documents and how they catalogue them to ensure that information can always be retrieved easily. 16 teams across the council now have access to Team Sites, and work is continuing for the remainder services.
- Electronic Document Management solutions are ready to deploy into School Admissions and School Appeals, enabling both teams to share a single electronic common document set, in addition to their own specific store for their own documents. This avoids paper stores, transportation and reducing time in processes to collate and exchange information. Both services will have immediate structured access to all of the documents they require to operate effectively.

- Identification of key data sets from business systems and co-locating this data in a data warehouse. This is progressing the concept of Master Data Management to look at establishing a common (or 'golden') record for data to enable better reporting across different Council functions. Several data sets are already being managed in this way, including finance, HR and social care data, and this will now be extended to further data sets. As data is included, rules are processed to identify incorrect data which is then being corrected at the source.
- 2.13 The Information Management Strategy Group that has been established to oversee the way that information is managed across the Council is chaired by the Executive Director (Resources) who is also the Council's Senior Information Risk Owner, and has senior representation from each directorate, the Chief Information Officer (Assistant Director ICT Transformation and Customer Services), ICT, transformation, Insight Team and Legal Services representatives. The Executive Director – People is the sponsor for the Information Management Strategy – demonstrating the commitment from the whole of Strategic Management Board to this work.
- 2.14 This Strategy Group will be used to monitor the implementation of this strategy and to receive reports on progress. It is proposed that updates can also be provided by the Strategy Group to Audit Committee.
- 2.15 External input has also been sought from industry experts, in order to leverage best practice from other authorities and other sectors.

3. Results of consultation undertaken

- 3.1 No consultation was undertaken for this strategy or is necessary for its adoption.

4. Timetable for implementing this decision

- 4.1 In order to implement an Information Strategy and realise the benefits of improved management of data, documents and information, a schedule of activities will be required over the next 18 months across a number of themes, grouped into the following workstreams:
- **Document Management and Business Process Design.** Building on existing work to reduce legacy paper records, this workstream will help us to understand our business critical documents and ensure they are maintained in a logical and well managed way. Implementation of electronic storage solutions will ensure the automatic application of document retention and destruction in line with business rules. This will avoid duplication, physical transportation and over-retention of files and the data and information contained in them.
 - **Data Quality Principles and Standardisation.** Including establishing a network of data controllers and owners to support an Information Asset register to fully understand the potential of data and information we hold. Data

linking and matching will ensure a coherent view of information to be held in a data warehouse.

- **Data Protection, Information Risk and Security.** To ensure compliance with all legislative requirements concerning the use of information; to respond to the Information Commissioner's Office (ICO) recommendations as necessary and to manage risk effectively to minimise the potential for data breaches.
- **Information Sharing and Insight.** To improve decision making through a standardised information-sharing approach.
- **Skills development of the workforce.** To embed a culture of ownership and accountability for data and information.

5. Comments from Executive Director, Resources

5.1 Financial implications

This programme of work will be delivered from existing resources. The implementation of an Information Management Strategy acts as a key enabler to a number of key Council projects and will be aligned with the savings programme and budget report as it will underpin much of the work already planned to deliver existing targets in the Medium Term Financial Strategy. Opportunities are also expected to arise for further efficiencies as this work progresses.

5.2 Legal implications

An overarching Information Management Strategy which sets out how information will be managed, represents good governance. The proposed programme of work will also consider compliance with legislation relating to data and information. Whilst we would plan for information to be open and transparent by default, this work will also improve safeguards against data breaches where sensitive data needs to be protected. An Information Asset register will be compiled to identify key datasets and ensuring that each has a clear owner with accountability for that data.

6. Other implications

6.1 How will this contribute to achievement of the Council's key objectives / corporate priorities (corporate plan/scorecard) / organisational blueprint / Local Area Agreement (or Coventry Sustainable Community Strategy)?

Improved use of data and information will contribute to the Council's overall aims and objectives in the Corporate Plan in a variety of ways, particularly if it is used, as proposed, to underpin the key components of the transformation and efficiency agenda as shown below:

Fig 1: Key components of the transformation and efficiency agenda



As an example, the work on Customer Journey has already used new data techniques to help inform potential solutions and monitor the progress against take up of direct debit, channel shift to digital transactions alongside other measures such as footfall in the council's other reception sites. This has been achieved through ensuring the correct information is collected in the first instance, understanding the critical data to target communications campaigns and change activity and presenting information more clearly through a series of dashboards to managers and decision makers.

Other Combined Authorities are already looking at how they manage information as a collective. For instance the Greater Manchester Authority is looking to set up a centre of excellence to look at how information is shared across the region to help support the integration of health and social care services in the city. Information Management will be an important consideration for the West Midlands Combined Authority.

6.2 How is risk being managed?

Risk will be managed through gaining a better understanding of the data assets we hold 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:

- Having a better understanding of who is using our services and why, so that we can target our reducing resources at priorities.

- Data matching to detect fraud and maximise income
- Cross-selling council commercial services and targeting publicity
- More effective safeguarding of children through joining up information and intelligence about children and families from different public agencies.
- Efficiency savings from having single sets of data information, less duplication and risk of error

6.4 Equalities / EIA

Whilst this approach to Information Management will not in itself have any specific impacts on the Public Sector Equality Duty, all decisions are made on the basis of data and information we hold and maintain. Management of personal and equality data will be included in the scope of the strategy and as a result, the improved management of that 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, but will similarly help us to ensure that impacts are better understood for any future decisions.

6.6 Implications for partner organisations?

The proposed strategy will apply to all data and information that we create, own, collect and hold in any format; and any data that is accessed by staff, customers or partners. The benefits derived from improved information management, particularly through the appropriate sharing of information, will similarly apply to all users of that data including partners.

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