Appendix A - Information Management Strategy - Executive Summary 2018-23

What is information management?

Information management is the formalised collection, storage, analysis, use, sharing and disposal of all types of information, from data through to knowledge.

This can mean gathering, creating, filtering and disseminating information, using it to support decisions and actions, or conserving or disposing of it.

Recent research across the City of London Corporation shows that the way in which information is managed varies significantly. Poor information management incurs significant costs in terms of ill-informed decision-making, missed opportunities and missed threats. Even where the right information is used properly, there is often effort and delay in obtaining and verifying it.

Why information management matters

The more we know and understand, the better we can decide and act, particularly for our stakeholders. Improper gathering, disseminating and analysing of information can put those people at risk. That's why data protection legislation has been passed to regulate this, with stiff penalties for contraventions.

Good information management provides benefits across the City Corporation and for our stakeholders. Its principles are relatively straightforward, but its implementation is made complex by the breadth and depth of its applicability and interdependencies. This is why a strategic approach is required, as set out in the City Corporation's Information Management Strategy Principles (Appendix 1).

How good information management help us

Good information management improves all aspects of designing and delivering services to our stakeholders, but particularly:

- Identifying and measuring service need – what is the problem and how widespread is it?
- Determining service options – what can be done to solve/mitigate the problem, what is the best service solution?
- Designing services for efficiency and effectiveness – making services easier to understand and navigate; encouraging service uptake; minimising blockages and delays; minimising rework;
- Service performance management – is the service working as intended? what are the right performance measures? what can be improved?
- Joined-up approach – what other services might a recipient need and how can these be best co-ordinated?

- Working with partners – getting them the right information; measuring their performance;
- Identifying who isn't being served – identifying gaps in offerings and uptake.

Below are some examples of good information management in action:

- Tell us once – by using information gathered and verified already;
- Pre-filling information on forms - saves customers time and gives them the opportunity to update it;
- Identifying multiple occupancy in a supposedly single-person home;
- Improving property and asset utilisation - so spare capacity can be put to good use or disposed of;
- Improving preventative maintenance - recognising the most effective/ efficient type and timing of maintenance for assets;
- Reducing homelessness - identifying early those people at risk;
- Identifying children at risk early - allowing less intrusive interventions and preventing issues escalating to care orders;
- Better managing shipping of animals across borders - easing reuse of information for high-volume shippers;
- Increasing revenue from visitors to Tower Bridge, Barbican and Monument through acceptable cross-selling based on allowed analysis of visitor and demographic data.

The next steps (See Appendix 2 and 2a)

Technical: Implement the required information management infrastructure.

Policy and skills: Implement skills training for improved information and data literacy, identifying champions in each department/team.

Culture and ways of working: Work with Senior Officers to see how objectives can be translated to departmental business plans and individual's objectives.

Maximise the benefit: Using central analytical resources and working with departments on requirements and priorities where this can be of benefit e.g. preventative measures, saving money, and making better informed decisions.

In summary

The key to information management success is making it an intrinsic and beneficial part of everyday behaviour, rather than treating it as an afterthought or overhead.

The City Corporation will use the principles above alongside recognised good practice standards to develop policies, processes, technologies and leadership that support and encourage the behaviours we need. The built-in continual improvement ethos will ensure that these keep pace with changing business needs.

Appendix 1 - What good information management entails

The right people have the right access to the right information, in the right way and for the right reason at the right time.

To achieves this will need a combination of the right culture, tools and processes, guided by five key information management principles that have been defined for the City of London Corporation:

- **Information acquired by any part of the City Corporation becomes an asset for all of the organisation**
  Information will be open, transparent and available across the organisation. Our staff are custodians of our information assets. We only restrict information for legal, commercial or privacy reasons.
- **Information is stored securely once and kept up-to-date while needed and safely disposed of afterward**
  We will educate, encourage and enable staff to store a single version of information that can be added to and amended. We will discourage duplication and encourage information reuse and repurposing. We will insist on safe disposal of information when no longer needed.
- **We share information appropriately across the organisation, with partners and with the public**
  We will enable staff to easily share our information by developing common standards and processes.
- **Authorised people have easy access to information and to the tools and skills to get the most out of it**
  We will provide the information required – securely, quickly, easily, accurately, conveniently, consistently, and transparently. Systems will be procured, designed and developed to enable effective information sharing, analysis and presentation.
- **We promote the culture and leadership needed to look after, share and use information wisely**
  We will develop and nurture new information management values and behaviours, including a drive to continually improve based on experience and research. We will encourage an approach of curiosity and challenge in the use of our information.   Departments will be given the skills and capability to lead and champion this ambition.

Appendix 2 – High Level Activities Plan

IM Outcome 1: CoL has the necessary awareness, tools, skills and culture to promote a set of behaviours and values which understands and manages good information management practice.

CP Outcome 4: Communities are cohesive and have the facilities they need.

These activities focus on developing the values, behaviours and culture we need to deliver good information management. Each activity shows what we need to achieve if the change is to be long lasting and positively landed.

This is based on the ADKAR model[1]:

- **A**wareness of the need for change
- **D**esire to support the change
- **K**nowledge of how to change
- **A**bility to demonstrate skills and behaviours
- **R**einforcement to make the change stick

Activities:

Activity Number	Goals and outcomes of successful change	Activity
1.01	Awareness	Research best practice across the private and public sectors – and benchmark against the performance of organisations providing similar functions.
1.02	Awareness	Introduce a tool to check and monitor compliance with GDPR, mapping information flows across CoL and to external stakeholders.
1.03	Awareness / Desire	Promote the importance and benefits of good information management to Chief Officers and Senior Leadership Teams. Identify data owners across the organisation who will be responsible for the quality, management and use of data.
1.04	Desire	Develop prototype analyses and self-service dashboards to show the "art of the possible" to service managers and Chief Officers.
1.05	Knowledge	Existing support offers for these tools to be refocused on "when" and "why" to use the tools rather than just "how" to use them.
1.06	Knowledge	Develop a training offer across CoL – identify gaps in knowledge and skills and develop a training plan for staff and Chief Officers.
1.07	Ability	Widen the adoption of the tools required for collaboration, with a focus on existing Office 365 tools

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[1] https://www.prosci.com/adkar/adkar-model

Activity Number	Goals and outcomes of successful change	Activity
		such as Sharepoint and Teams, reducing volumes of information stored on unstructured H ad W drives, duplication, collaboration via email and time spent looking for information. Widen the use of Power BI to develop self-service capabilities.
1.08	Ability	Provide detailed training, guidance and ongoing support for all staff in the use of information management tools.
1.09	Reinforcement	Identify champions or super users across Information Management disciplines from within existing services. Develop a "community of interest" where officers can discuss problems, share and develop skills and solutions; as well as develop solutions to problems.
1.10	Reinforcement	Determine the change management resources and requirements, ongoing support and training needed to positively land the strategy.

IM Outcome 2: CoL's information estate is safe, relevant, accurate, reliable, used and trusted.

CP Outcome 12: Our spaces are secure, resilient and well-maintained.

These activities focus on the information lifecycle stages -

Activities:

Activity Number	Information Lifecycle Stage	Activity
2.01	Initiate	Design and build an information asset register for CoL and implement a security classification approach. Define access permissions and retention criteria for our information.
2.02	Initiate	Develop an approach where analytical products identify intelligence gaps which inform future application development.
2.03	Initiate	Form Digital Services Steering Board to oversee and prioritise the business intelligence project pipeline; considering both ethics and statutory compliance.
2.04	Populate	Implement information classification tools across CoL and develop a search facility of our information asset.
2.05	Retain	Identify data and information owners across CoL, and support and train them in their roles and responsibilities. Complete annual information asset audit.
2.06	Retain	Complete migration of unstructured data
2.07	Maintain	Develop a single source of information; including an integration layer of our data sources. This will include

Activity Number	Information Lifecycle Stage	Activity
		transforming and standardising our data to ensure it is amenable for analysis.
2.08	Maintain	Ensure all staff have completed Data Protection training. Implement information tracking tool to identify flows of information throughout the CoL and beyond.
2.09	Maintain	Implement Annual Data Protection compliance audit, and best practice in terms of information management and sharing.
2.10	Maintain	Develop information security function for CoL.
2.11	Share	Develop communications plan about information sharing. Develop Corporate Register of Information Sharing Protocols and agreements (with owners and review dates).
2.12	Share	Develop protocols and mechanisms to receive (and share) data with external parties.
2.13	Dispose	Review and revise information disposal policies and identify safe routes for this to happen.
2.14	Dispose	Develop a consistent approach to records management across the Corporation and develop tools to identify information that can be safely disposed of.

IM Outcome 3: CoL derives real value and benefits from the use of information, data, analysis and modelling.

CP Outcome 7: We are a global hub for innovation in financial and professional services, commerce and culture.

The activities in this outcome focus around the exploitation and *use* of data and using innovative tools and techniques to drive value, open collaboration and innovation.

Activities:

Activity Number	Activity
3.01	Put tools in place to automate manual data processes, improving efficiency and productivity.
3.02	Widen the roll out of self-service visualisation tools across the Corporation. Develop dashboards and analyses for services and support them in their use.
3.03	Develop a pipeline of dashboards and analytical products to be developed. Identify the benefits of each project.
3.04	Develop an approach to prioritisation of analytical projects to be overseen by the Digital Services Steering Board.
3.05	Develop an approach to benefits realisation and monitoring. Identify potential secondary benefits of projects.

Activity Number	Activity
3.06	Develop problem articulation skills across the Corporation (business requirements) – This will help the culture shift from performance to intelligence with a focus on a culture of enquiry and asking "why?" Problem solving needs to focus on the underlying condition not the presenting symptoms.
3.07	Develop prototypes illustrating how advanced analytics such as prediction, prescription and system modelling can drive improvements, realise benefits and improve service delivery.
3.08	Form an analyst network to reinforce the change, develop and share skills, collaborate and innovate.

IM Outcome 4: CoL has sufficient checks, balances and oversight to ensure the successful implementation of this strategy.

CP Outcome 5: Businesses are trusted and socially and environmentally responsible.

The focus of activities in this outcome centre around compliance, assurance and monitoring. The programme needs to have effective governance and oversight mechanisms in place if we are to positively land the change required and reinforce it to make sure continual improvements are made.

Activities:

Activity Number	Activity
4.01	Ongoing programme of consolidating applications and reducing the fragmentation of our data and information.
4.02	Programme of identifying legacy systems which require renewal and upgrades, assessing options for integration with existing systems or procurement of new solutions.
4.03	Identification of organically grown spreadsheets and databases within services – and develop a programme of incorporation in to main applications. Ad hoc systems to be disposed of.
4.04	Development of an ongoing mechanism to catalogue and manage our information asset, identifying data owners and applying security classifications where relevant. Provide a mechanism to search through the asset.
4.05	Ensure that procurement is informed, and where necessary enforced by the IT and Information Management strategies – ensuring compliance with general direction, data standards, security and sharing protocols.
4.06	The Information Management Board will develop a CoL wide register of all Information Sharing Agreements and Protocols, identifying owners and review dates; and oversee the development of any new sharing mechanisms.
4.07	Develop a standard approach to the development of information sharing protocols and agreements between CoL and external partners.

4.08	Develop a mechanism to review what information and datasets can be openly (publicly) published over and above the existing requirements of the Transparency Code.
4.09	Create a Digital Services Steering Board to prioritise and oversee the development of the analytical capability, ensuring that benefits are realised, compliance, and coherence of all related strategies and policies; as well as the implementation of the Information Management Strategy.
4.10	Inform wider procurement - ensure that our contractors comply with our standards, policies and strategies; and ensure that we have direct access to performance and activity data and information about that provision – clauses in contracts (including exit provision).