Committee(s):	Date(s):
Digital Services Sub Committee – For information Audit and Risk Committee	11th September 2020 3rd November 2020
Subject: Information Management Programme Progress Update and Deep Dive	**Public**
Report of: Chamberlain's	**For Information**
Report author: Sean Green	

Summary

This report provides a brief update on the progress being made by the Information Management Programme in helping to realise the Information Management Strategy agreed by the Corporation in 2019. The programme brings together a number of projects, therefore this report presents progress project by project before identifying common themes and trends.

Recommendation(s)

It is recommended that Members note the progress update contained in this report and continue to support delivery of the programme in principle, standing ready to intervene practically when requested.

Main Report

Background

1. The Information Management Programme was set up in January 2020 to help implement the Information Management Strategy agreed and adopted by the Corporation and Police in 2019.

2. Key principles from the IM Strategy that were agreed are detailed in Appendix 1.

3. The programme is particularly focused on mitigating the corporate risk CR29 relating to information management (see Appendix 2):

    CR29 Information Management - Risk Owner is the Town Clerk. This risk relates to the City Corporation's IM Strategy (2018-2023) not being fully and effectively implemented. The potential impacts of this include not being able to use relevant information to draw insights and intelligence and support good decision-making; vulnerability to personal data and other information rights breaches and non-compliance with possible ICO fines or other legal action; and a waste of resources storing information beyond usefulness.

4. The programme's approach to Implementing the strategy and mitigating the risk is based on sufficiently improving the understanding of the benefits and principles of proper information management across the Corporation and Police and providing the means for staff to effectively and efficiently put that understanding into practice through improved skills and tools.

5. Various tactical projects had already been identified as necessary in the information management arena; the programme is intended to bring these projects together in a strategically coherent way to better identify and manage their dependencies and synergies and thus better realise their strategic benefits.

6. The programme is governed through the Information Management Board, which is chaired by the Comptroller & City Solicitor and includes senior representatives from the Corporate Strategy team, IT Division and Police alongside senior others from C&CS.

7. The Programme has a series of Metrics that could start being reported from November 2020. The first set of metrics will be concerning protective marking, freedom of information requests and quality of information assets.

Current Position

8. The Information Management Programme continues to improve the understanding and the means of information management (IM) across the City of London, starting with the projects listed below (paragraphs 9-16). It should be noted that in some cases, the programme is seeking only to get ongoing processes defined and started rather than completed, therefore in such cases, activity will continue after the programme ends. All dates are in 2020 unless otherwise specified.

9. **IM Awareness Campaign**: To improve staff understanding of IM, an awareness campaign was started in February 2020; it was then suspended to make room for COVID-19 communications and is now expected to restart in October in an updated form.

10. **IM Policies & Roles**: To set staff expectations of their roles in IM, the IM policy framework has been strengthened and negotiations are under way with HR to clarify IM responsibilities in relevant job descriptions; IM improvements to JDs is expected to be a gradual process, being undertaken as and when a JD requires an update for some other reason; this approach is expected to be agreed with HR by October.

11. **Information Classification/Protective Marking**: To enable and encourage basic IM good practice, a feature is being introduced in Word, Excel, PowerPoint and Outlook that lets staff tag documents and emails for information sensitivity and thus appropriate handling; the feature's introduction was interrupted by the COVID-19 driven switch to home working, which precluded changing core software until staff had got used to their new situation, but it has now restarted;

the new feature is expected to be available for staff to use by October.

12. **Information Assets Register**: To enable and encourage proper management of City of London information assets and the development of new, value-adding uses for them, we are working with all departments to identify, describe and track all such assets via a corporately-shared Information Assets Registry; noting that the register will continually evolve as assets and what we wish to know about them change, the first version is expected to be in place in October.

13. **Local Information Manager**: To help facilitate and embed the benefits of the projects outlined in paragraphs 7-10 above, the role of Local Information Manager has been created within each department; this does not mean creating new posts but rather asking staff in existing posts to take on the role's additional responsibilities; different departments have determined that different posts are the best home for these responsibilities and the staff in those posts are being supported in taking on the new role; staff are expected to be established in the role by December.

14. **Migration from Shared Drives to SharePoint**: To help better manage documents as commonly used repositories of information, all relevant shared documents are being migrated from shared drives to SharePoint, where they can be made available for collaboration while remaining secure, and eventually have retention and other compliance rules applied to them; full scoping of this work and securing of approval/funding for it are still ongoing; the work will almost certainly require procurement of consultancy services and/or migration tools.

15. **Information Retention Management**: To help comply with record retention policies and reduce information clutter, a tool and associated processes are being implemented to analyse the information content of databases in the context of retention policies, thus identifying information to be deleted or archived, and then to take the relevant action effectively and efficiently; work on this is in its early days with Microsoft tools being compared with software from other vendors.

16. **IM Dashboard**: To keep key stakeholders informed of progress in improving IM across the organisation, a web-based, self-service dashboard is being developed that will take feeds of data from various sources that directly or as proxies measure such progress in the form of changing behaviours; the style and contents of the dashboard is expected to change over time to reflect changing areas of focus; the first version of the dashboard is expected to be ready at the end of October.

17. The programme expects to support the Corporation's COVID-19 recovery plan where relevant, especially as the value of information used well and opportunities for improvement in this area were amongst the learnings of the COVID-19 crisis.

18. Beyond that, the successful response to the COVID-19 crisis, involving major changes to systems and processes implemented quickly and flexibly, might have the positive impact of demonstrating to staff and management that a similar degree of change to implement proper information management is now feasible.

Corporate & Strategic Implications

19. The IM programme is in place to mitigate the IM Corporate risk CR29 and support the following Corporate Priorities.

- We are digitally and physically well-connected and responsive.
- We inspire enterprise, excellence, creativity and collaboration.

Summary

20. 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.

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

22. Metrics will be reported to this Committee going forward to evidence the maturity of the organisation in the use and management of information for better decision making and outcomes.

Appendices

- Appendix 1 – IM Principles
- Appendix 2 – IM Risk

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Appendix 1 – IM Principles

Information acquired by any part of the City Corporation becomes an asset for all 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 – CR29 IM Risk

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR29 Information Management 08-Apr-2019 John Barradell	**Cause:** Lack of officer commitment and investment of the right resources into organisational information management systems and culture. **Event:** The City Corporation's IM Strategy (2018-2023) is not fully and effectively implemented **Effect:** • Not being able to use relevant information to draw insights and intelligence and support good decision-making • Vulnerability to personal data and other information rights breaches and non-compliance with possible ICO fines or other legal action • Waste of resources storing information beyond usefulness		12	• New business intelligence dashboards continue to be developed for improved decision making by the Corporate Strategy and Performance team • An Information Management Awareness campaign has been completed. Second campaign is planned for October • Work has begun to review relevant staff roles that should have an information management competency added • Gateway paper has been drafted • Local Information Manager Role has been launched into the organisation. Individuals have been identified and training will commence in July • The Technical Pilot for protective marking was completed prior to COVID. Ready for launch at appropriate time **27 Aug 2020**		6	31-Jan-2021	 Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR29a	Ensure that CoL has the necessary awareness, tools and, skills to manage information effectively	Launch of protective marking, IM training and communication will be in October 2020 - campaign date changed due to a more important corporate communications priority - This has been delayed due to COVID and will be reviewed in the coming months	Sean Green	27-Aug-2020	31-Oct-2020
CR29b	Start the culture change by Integrating good information management practice into the Leadership and Management stand of the City of London Learning Academy	• Work began in December 2019 between HR, IT and the Corporate Strategy and Performance teams to identify the key skills required for good information management. HR can then develop the training to support this. • HR to review where in HR policies and procedures this can be integrated. HR to Work with the senior leadership team to develop a plan and then	Chrissie Morgan	27-Aug-2020	31-Oct-2020

		deliver key messages and communications on the importance, relevance and benefits of good information management. The IM campaign will launch the messages. • The Local Information Manager role was launched in July, training will follow throughout the next month,			
CR29f	Ensure officers can implement the data retention policy and data discovery requirements from GDPR	• Put in place a new Data retention and discovery tool set to ensure we only retain and archive information in line with the agreed policy and retention schedule. • Plan to use readily available MS tools and pilot the move of shared drives to MS Teams • Business case for capital investment in automated MS tools has been submitted for funding in 2020. – Protective marking tool to be launched in October 2020 • With COVID decided to delay roll out of Protective Marking to October 20 - delayed due to COVID • We will kick of project for Data Discovery tool to support the implementation of Data Retention policy and our Data Protection 'right to be forgotten' responsibility - Project Manager onboarded and discovery work is underway	Sean Green	27-Aug-2020	31-Dec-2020