Committee(s): Digital Services Sub Committee – For information Audit and Risk Committee	Date(s): 4th November 2021 30th November 2021
Subject: Information Management Programme Progress Update and Deep Dive	Public
Report of: The Chief Operating Officer	For Information
Report author: Sean Green – IT Director	

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 several 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.

Current Position

7. 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 9-17). 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.

8. The committee should note the programme momentum is likely to be impacted by the lack of dedicated resources with funding for the programme lead previously provided from the IT revenue budget. With the current savings required from the IT revenue budget this is no longer possible.

9. **IM Awareness Campaign**: To improve staff understanding of IM, an awareness campaign was started in February 2020. The next campaign in planned for December 2021 with a refresh on information handling and protective marking. .

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 during the TOM.

11. **Information Classification/Protective Marking**: To enable and encourage basic IM good practice, a feature has been introduced in Word, Excel, PowerPoint and Outlook that lets staff tag documents and emails for information sensitivity and thus appropriate handling; the features were introduced in late 2020.

12. To date this has had a slow take up with only 0.2% of emails having had protective marking applied and 0.7% use with other MS Office documents. We will track improvements with the next communications campaign and use the LIM network to promote the appropriate use of protective marking.

13. In addition, IT are implementing an upgrade to our E5 licences in the next few months which will add intelligence into documents and files. This alerts the user if sensitive information exists in a document that they should apply protective marking.

14. **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 in place with further updates expected in December.

15. **Local Information Manager(LIM)**: 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. Networking events occur with the LIM's every quarter.

16. **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. Given the financial envelope within IT, it is unlikely that this will be able to be procured without additional project funding as it is not supported by existing budgets.

17. **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.

18. **Information Audit:** An information audit was carried out in the Summer of 2021. The findings and actions from the audit have been reviewed and will be actioned by the IT Director and the Comptroller.

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.

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.

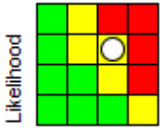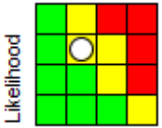We will enable staff to easily share our information by developing common standards and processes.

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/Risk Approach	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 updated An Information Management Asset register has been populated for the organisation. Plan being developed for moving unstructured data from Shared Drives to Sharepoint is being developed There is no dedicated resources to support Information Management and data analysis in the organisation. Unless resourcing is reviewed under the new TOM this situation will not change **28 Sep 2021**		6	31-May-2022 Reduce	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	Information Management Campaign successfully deployed. Work on the role of IM in the new TOM has begun with the TOM consultants.	Sean Green	28-Sep-2021	30-Mar-2022

CR29f	Ensure officers can implement the data retention policy and data discovery requirements from GDPR	Gateway paper being prepared for the Data Discovery tool.	Sean Green	28-Sep-2021	31-Dec-2021