

OPEN

Audit and Governance Committee

27th July 2023

Information Governance Update 22/23

Report of: Alex Thompson, Director of Finance and Customer Service

Report Reference No: AG/09/23-24

Ward(s) Affected: All

Purpose of Report

- 1 This report provides an update on the Council's Information Assurance and Data Management (IADM) programme and outlines key aspects of the programme to assure the Committee that information continues to be treated and managed as a valued asset, with on-going measures to protect it in line with compliance and leverage it where possible to support enhanced service delivery and optimise business benefit.
- 2 The protection and management of information directly supports the corporate plan by means of enabling the organisation to be transparent, promoting and enabling services, underpinning the digital emergence of technologies, and overall supporting the organisations vision to support compliance and security of information whilst delivering innovative services for Residents.

Executive Summary

- 3 This report provides the Audit and Governance Committee with an update on Information Assurance and to advise on progress made with the Information Assurance Programme during 2022/2023.
- 4 The Council relies on accurate and timely information and data for service areas to make informed decisions and fulfil the aims of the organisation and needs of its residents in a cost-efficient and effective way.

- 5 This report outlines the progress made ensuring the Council matures its use of information and data through on-going compliance by delivering key projects and initiatives which are underway to enable services to streamline information, enhance and unify business processes and delivery.

RECOMMENDATIONS

The Audit and Governance Committee is recommended to note:

1. The progress made and the onward direction of the Information Assurance and Data Management programme.

Background

- 6 Information is a critical asset to many organisations, particularly so for local authorities where information is held in trust for its residents and the types of information processed are so diverse, varying in levels of sensitivity and risk. Handling of information and its assurance is essential to ensuring that the organisation can meet its strategic objectives and ethical responsibilities.

- 7 The Code of Practice issued as part of the Freedom of Information Act (2000) states that

The authority must understand, manage and use its information in a way that enables it to understand its value, in order to make effective decisions for the benefit of society.

The value of information changes over time. Information will have **immediate** value when first created, satisfying its initial purpose. After this, it may continue to have **operational** value as working information. It may then have **evidentiary** value for audit, accountability or regulatory purposes. Information may have **potential** value if it can be used to create new knowledge, improve services, or generate income. Finally, it may have permanent **historic** value.

- 8 Information Assurance (IA) is a practice that addresses all risks to information and all manner of controls including technical, physical, procedural and personnel. IA is defined as the practice of managing information related risks.
- 9 The Council has an Information Assurance and Data Management (IADM) Programme in place to support the adoption, improvement, and

alignment of IA, including the centralised management of information, whether this be through technology, process, or business change. Ultimately, ensuring the maturity and awareness of information as a strategic asset is increased across the organisation and underpinned by projects which support service delivery.

- 10 The IADM programme is leading key projects which not only underpin the safeguarding of information but also enhance the use of information which will enable the organisation to use information to its full potential where it is appropriate to do so.

Consultation and Engagement

- 11 The Programme has used the Gartner's Enterprise Information Management (EIM) Maturity assessment tool to monitor progress and to provide an assessment for future workloads to increase the organisations maturity. The programme uses this assessment tool at the end of every delivery year, so comparisons can be made, reprioritisation and focus can take place where appropriate and the programme business case can be aligned accordingly

The tool assesses maturity over seven themes:

- **Vision** – clear definition of business goals with the vision and initiatives in place to deliver against them
- **Strategy** - the level of clarity, outline and communication pertaining to the organisations attitude and approach to information and how this generates benefit
- **Metrics** - demonstration of value beyond ICT teams, level of EIM alignment and support of enterprise performance improvements
- **Governance** - frameworks and accountability for the processing of information
- **Organisation and Roles** - an established organisation and structure which is accountable for EIM, a cross section of expertise focused on attaining enterprise goals
- **Lifecycle** - the proper flow and management of information from creation to deletion
- **Infrastructure** - components, information architecture and application needs

	EIM Programme Balance	EIM Maturity Level	Overall Score	Vision	Strategy	Metrics	Governance	Org/Roles	Lifecycle	Infrastructure
2017/18 EOY	Somewhat Unbalanced	Proactive	2.52	3.03	3.64	2.13	2.43	1.90	2.34	2.20
2018/19 EOY	Somewhat Balanced	Proactive	3.01	3.29	3.61	2.82	2.95	2.97	2.74	2.67
2019/20 EOY	Somewhat Balanced	Proactive	3.18	3.25	3.65	3.26	2.96	3.06	3.05	3.05
2020/21 EOY	Somewhat Balanced	Proactive	3.30	3.26	3.81	3.38	3.02	3.11	3.28	3.24
2021/22 EOY	Somewhat Balanced	Proactive	3.35	3.37	3.71	3.59	2.97	3.20	3.35	3.26
2022/23 EOY	Somewhat Balanced	Managed	3.55	3.4	3.88	3.89	3.23	3.35	3.72	3.40

12 Over the last five years, IADM has self-assessed with the following outcomes, all scores are out of 5, and the assessment is made by aligning back to delivery, business engagement and commissioning.

Table key

Decrease from previous year
Current score

13 At the end of the financial year 22/23, using this tool the Council has achieved a maturity rating of “Managed”.

“Your organization is among the 15% of those that are clear leaders in their industry with respect to managing and leveraging information across more than two programs. These organizations take a decidedly managed approach to information management, comprising enterprise-level coordination throughout the organization, with effective people, processes, and technologies”.

14 For the first time in the programme’s delivery, the assessment shows a tangible increase in maturity level, this lends itself to the programme having worked on resolving legacy issue and having plans in place to continue to do so as well as building on this with innovative new ways of working through Master Data Management and Enterprise Content Management. Over the last year, the programme has increased it’s score across all assessment areas.

15 The direction and delivery of IADM is focused on these themes through several different channels with the aim to increase the organisations maturity levels, by doing this, the authority can be assured that information is being protected and utilised in ways which benefit both service delivery and compliance.

16 The aim of programme is to increase the maturity and move the overall assessment to a level of Highly Balanced which will ensure that information is used efficiently and consistently across the organisation. IADM is not striving for best practice for best practice’s sake, the

programme is focussing on pain points so improvements in maturity don't only lend themselves to strategic success but improve and optimise delivery.

Vision

- 17 The IADM Programme has published an Information Management Strategy (Appendix 1) which outlines this vision:
- We will be an information centric organisation
 - Information will be at the heart of all we do and is recognised to be central to service delivery
 - Information management is embedded and owned within service areas, it is seen to be a part of all roles and not just a centralised function
 - Information is safe, secure, of good quality and accessible to users so they can deliver services efficiently and accurately
- 18 With the strategy in place, the programme is now working to provide a corporate information management framework underpinned by the required technology platforms to centralise information. This will comprise of several disciplines, from knowledge management to master data management, to information governance. The programme will continue to be clear on the vision, but also work with services and technology to implement this vision. The programme will ensure that business engagement is central to adoption, and will provide clear strategy, best practice guidelines and core processes on how information should be used, processed, and managed throughout its lifecycle.

Strategy

- 19 The programme is delivering several workstreams which will impact the fundamental workings of the organisation when it comes to content, and so the programme has already published several strategies to support this including Master Data Management, Business Intelligence, and Information Management. The programme will also deliver strategies related to Enterprise Content Management and Location Management, all will support the Information Management strategy, adopting the core principles and themes.

- 20 All IADM published strategies will commit to growing an environment which enables the organisation to:
- Work flexibly, where and when it best suits the workforce, their customers and service users
 - Ensure reliable, timely and accessible information that drives informed decision making, service commissioning and business transformation
 - Enable a flexible, scalable, and secure logical information platform that enables the correct levels of assurance and governance whilst enabling the workforce
 - Centralise information that is consistent, accurate, usable, and accessible across all services
 - Standardise information across the organisation without obstructive silos pertaining to data, process, technology.

Metrics

- 21 To truly deliver valued use of information, it will be fundamental that value is demonstrated beyond ICT teams and applications. IADM has focussed on enhancing business knowledge and ownership of information and this continues to mature practices in the business areas.
- 22 Key projects under the programme will enhance information management and processing of information for the services. MDM will harmonise and synchronise data across several systems to create a common understanding of our residents and employees.
- 23 IADM is also ambitious to enhance areas such as knowledge management and profiling to support enhanced use of information and technology. The programme has recently published a one-page infographic outlining these ambitions for the future (Appendix 2).
- 24 With the implementation of significant projects such as ECM and other information management disciplines, the organisation will have the confidence that irrespective of where in the environment the information sits, it will have a standard set of controls, which meet compliance requirements. These may include retention dates and metadata (such as content type or protective marking) embedded within the information which supports or limits sharing. It will also support the assignment of protective marking to limit or support practices and behaviours.

- 25 IADM will continue to manage a business change plan with communications to leaders of the organisations, underpinned by working and steering groups which will own various parts of delivery. This will ensure IADM delivery is aligned to the real-world issues and solutions, it will also continue to raise maturity through expert knowledge outside of the core programme and Information Governance (IG) teams, and foster ownership of IG and information within business teams.

Governance

- 26 The IADM programme is ensuring that appropriate governance, practices, and processes are in place so that risks are managed and opportunities to share and use information are realised. IADM works in harmony with the Information Governance Group (IGG), supporting with business change projects where IGG note a corporate requirement.
- 27 The programme has and will continue to achieve appropriate levels of governance through a combination of information management disciplines such as Enterprise Content Management, Document and Records Management, Master Data Management and Data Quality Management.
- 28 IADM continues to define and lead the requirements for information governance across the organisation. It utilises existing governance arrangements such as IGG which supports the Senior Information Risk Owner (SIRO) who takes overall ownership of the organisation's information risk management policy, and the Data Protection Officer who is responsible for ensuring the organisation's data protection compliance.

Organisation and Roles

- 29 The programme is working within the organisation to raise the understanding of information types, irrespective of format or physicality, and where these information types should be held and why. For example, the need to understand that emails holding case or business-related content should not be stored within the email system because the information should be understood as a corporate record and held with the right case record or content system. IADM has now been able to implement email retention policies to automate this practice, having given a long period of time for users to adopt this changed behaviour. IADM has and will continue to work with colleagues and services whilst also leveraging technology to automate and streamline IM where possible.

- 30 IADM has been and will continue to place focus and importance on the “Data Steward” role which operationally works with and processes information within the business. The organisation has a well-rounded group of subject matter experts to support IM, but it will also be the Data Steward roles at the business level to adopt correct processes and behaviours, which will enhance organisational maturity.
- 31 As part of a comprehensive multiyear training approach, several mandatory e-learning modules have been produced under the umbrella of Protecting and Managing Information (PAMI) for all staff to complete. In addition, several guides have been produced to provide clear guidance on how to handle, store, share and protect information responsibly in the changing environment that we work in.
- 32 Organisational training is essential to successful adoption of compliant behaviours and enhanced maturity for operational information management. IADM will continue to deliver annual mandatory training to support on-going knowledge building and compliance.

Lifecycle

- 33 Information Management disciplines will give the organisation a set of defined processes and tools to allow the business to effectively organise and store information, and so will support the vision of managed information throughout its lifecycle. This will include managing the entry of information into systems, so content is controlled from the point of creation to deletion.
- 34 Content Management and Records Management are a central part of realising a standardised, simplified, and rationalised way in which content is held, used, stored, and destroyed across the organisation thereby ensuring its compliance across its lifecycle.
- 35 In this way the organisation will understand the information it has, where it is held through the Information Asset Register (IAR) and be assured that it’s being held for the correct period. Standardising the classification and retention of content through the ECM projects is central to this adherence to compliance.
- 36 The programme has delivered several key projects across the organisation to align the IAR retention schedules to the storage of information. The Email Retention project sets a principle of retention and storage for officers, this will be expanded to cover those officers who were previously exempt for compliance reasons and to incorporate councillors in the coming months. Communication, workshops, and training material will be produced to ensure a smooth transition to the new guidelines.

Infrastructure

- 37 The programme has been testing, configuring, and implementing various tools, applications, and infrastructure to support key areas of the programme such as MDM, ECM, Digitisation and Information Assurance. The programme will leverage technologies such as SharePoint Online which allow the organisation to mature practices such as search, storing, automate and lifecycle management.

The programme has successfully implemented a centralised Geographical Information System (GIS) which holds corporate special data which is consumed by line of business systems and will continue to align systems to the corporate information platforms. The similar approach has been achieved with location data, with centralised gazetteers and utilisation of the Unique Property Reference Number (UPRN) and Unique Street Reference Number (USRN).

Reasons for Recommendations

- 38 N/A – report for information only.

Other Options Considered

- 39 N/A – report for information only.

Implications and Comments

Monitoring Officer/Legal

- 40 The Council must comply with the General Data Protection Regulation (GDPR), the Data Protection Act 2018, the Computer Misuse Act 1990, the Freedom of Information Act 2000, and other relevant legislation in particular that relating to retention of information.
- 41 GDPR has brought in substantially higher levels of penalties for data controllers than the previous legislation, up to €20 million (£17m) or 4% of annual worldwide turnover although it is capped at €20 million for public authorities. GDPR has also introduced fines for data processors.
- 42 The Council needs to understand what data they control and what is processed on their behalf and build data protection into its day-to-day processes to ensure that it and organisations processing data on its behalf are compliant.

Section 151 Officer/Finance

- 43 Compliance with GDPR and UK data protection legislation is mandatory; penalties for the Council as a Data Controller under GDPR can be up to €20 million.

- 44 The programme has capital budget provision within the MTFS for 23/24 and 24/25 to support the outcomes of this report. The programme will continue to build the financial and business case to support onward funding if required.

Policy

- 45 There are no implications in this briefing.

Equality, Diversity and Inclusion

- 46 The programme has and continues to maintain an Equality Impact Assessment.

Human Resources

- 47 There are no implications in this briefing.

Risk Management

- 48 Issues on improper use, storage and deletion of information could arise if inappropriate actions by employees or third parties which could affect the level of inefficiency and security or cause reputation damage to the organisation.

Rural Communities

- 49 There are no implications in this briefing.

Children and Young People including Cared for Children, care leavers and Children with special educational needs and disabilities (SEND)

- 50 Management and protection of information is essential to ensure the right levels of care are given to those residents that require it in a timely manner.

Public Health

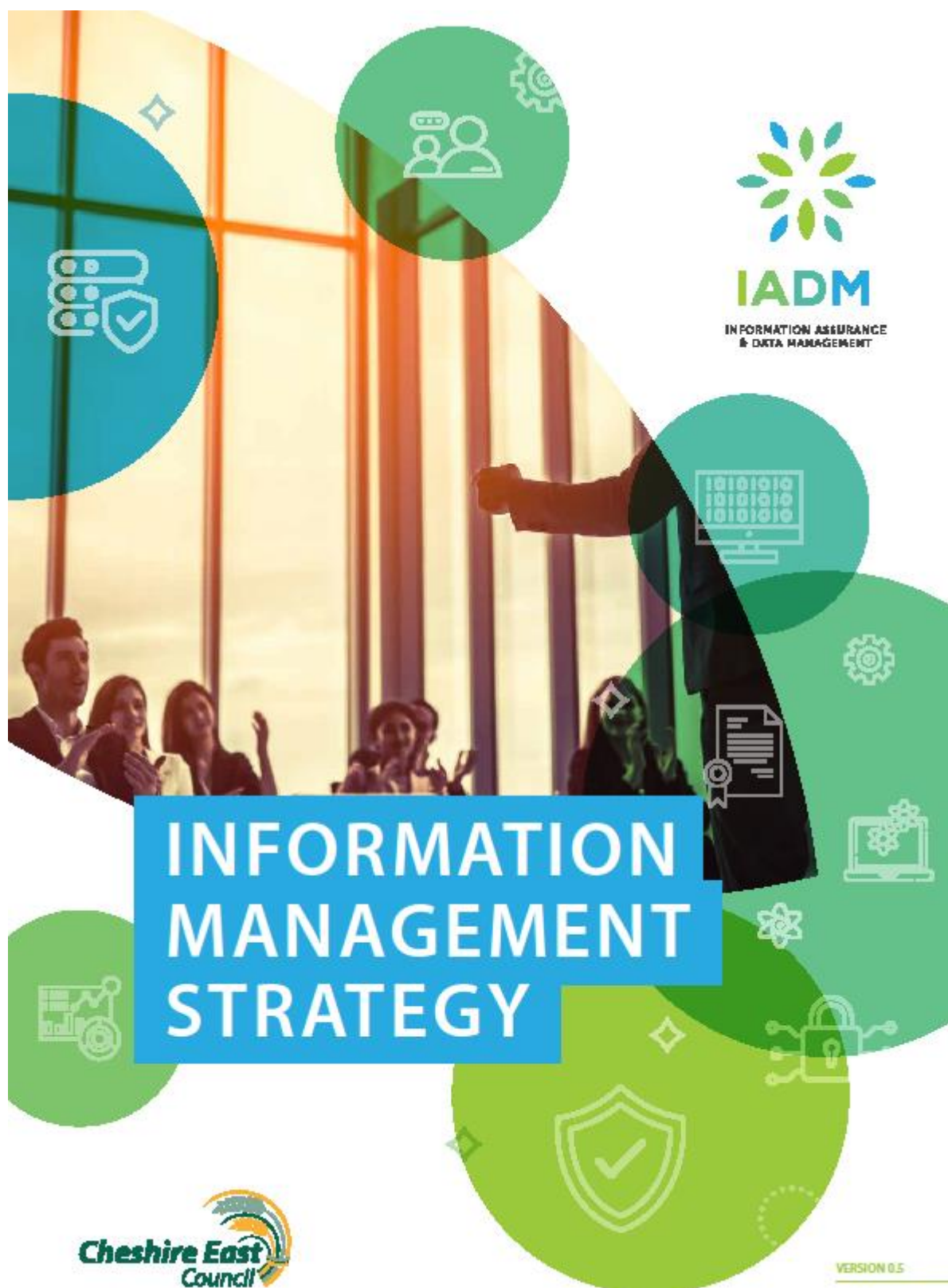
- 51 There are no implications in this briefing.

Climate Change

- 52 There are no implications in this briefing.

Access to Information	
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Appendices:	Appendix 1: Information Management Strategy Appendix 2: Infographic
Background Papers:	None



HARNESSING INFORMATION TO ENHANCE SERVICES

THE AMBITION



IADM

INFORMATION ASSURANCE
& DATA MANAGEMENT

1

KNOWLEDGE MANAGEMENT

Organising, sharing and analysing knowledge which is readily accessible

a. Knowledge management will enable us to push information to users, so it is easily accessible rather than the traditional ways of users searching for content

b. It will enable improved decision making, increasing service user satisfaction and it will promote an advanced culture of growth and innovation



74% OF ORGANISATIONS ESTIMATE THAT EFFECTIVE KNOWLEDGE MANAGEMENT DISCIPLINES INCREASE PRODUCTIVITY BY

10-40%

THE AVERAGE ORGANISATION

HAS 17 APPLICATIONS

HOUSING CUSTOMER DATA

2

ADVANCED INFORMATION

Enabling the workforce to work and collaborate dynamically by leveraging information and smart technologies

a. Creating a 360-degree view of Resident, Employee, Property and Business by using disciplines such as Master Data Management (MDM)

b. Joining information together to enable holistic and dynamic service delivery to the resident

c. Artificial Intelligence to classify information and drive processes and security such as access, availability of content and sharing

3

DEVELOP PROFILING

Understanding what we know about our Residents and using this insight to utilise opportunities and deliver enhanced services

a. Enhancing the use of information by bringing together individual elements to help us gain a comprehensive, accurate and detailed view of Residents and business

b. Profiling will enable us to introduce services based on what users may needed based on their interactions with the organisation

c. This will enable us to target access to services for hard-to-reach Residents based on what we know about them

THE AMOUNT OF DATA CREATED DOUBLES EVERY TWO YEARS



BUT...

99% OF NEW DATA

IS NEVER USED, ANALYSED OR TRANSFORMED



LACK OF A SINGLE CUSTOMER VIEW IS THE SINGLE LARGEST CUSTOMER EXPERIENCE CHALLENGE FACING BUSINESS

31% OF

HIGH PERFORMERS SAID THEY HAVE ACCESSIBLE & UNIFIED CUSTOMER DATA

4

INFORMATION MANAGEMENT FRAMEWORK

The underpinning foundation to all information management, ensuring innovation is enabled whilst safeguarding our information and maintaining robust compliance

a. Ethical and compliant processing being at the heart of all we do

b. Using information as the powerful asset that it is whilst upholding security and compliance standards

c. Leveraging information to improve services for the Resident