



Information Management Strategy 2018-21

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1 Argyll and Bute – Our Information Management Strategy

1.1 Document Purpose

The purpose of this document is to establish a strategic framework for information management across Argyll and Bute Council (the Council). It is aligned with other corporate Council strategies to deliver positive outcomes for its staff and customers with an emphasis on compliance and good practice.

This document covers the following elements:

- *Information Management Overview*
- *Our Vision*
- *Our Principles*
- *Corporate Priorities*
- *Key Programmes*
- *Governance*
- *Resourcing*
- *Action Plan*

1.2 Introduction

This Information Management Strategy builds on a review of the IM Strategy established for 2014 to 2018, recognising that the emerging priorities for the Council have been subject to changes over that time.

The strategic outcomes are largely unchanged from the original strategy and reflected in “Our Principles”, however, as a Council we face a changing landscape in terms of how we manage and process information. New data protection legislation, came into force in May 2018, placing more stringent requirements upon organisations in terms of how personal data is handled, and the Public Records (Scotland Act) 2011 requires public authorities to agree and adhere to a records management plan

This document outlines the approach that the Council will take to the deployment and development of improved processes, procedure and technologies for better management of our information. It defines our vision, key principles and overall direction of travel for Information Management across the Council.

What Is Information?

For the purpose of this document Information is defined as any printed or electronically held document or structured data stored in databases within the Council and any associated third party organisations.

This includes:

- *Any printed or handwritten document including correspondence received by the Council;*
- *Any electronically held document, including media images, email, office documents, social media, audio and video information (often referred to as unstructured information);*
- *Any information held in a database or similar repository such as customer relationship management information, asset management information or finance information (often referred to as structured information); and*
- *Informal or tacit information held by individuals in notes of meetings, diaries, site visit notes, knowledge banks.*

This deliberately broad and wide ranging definition has the implication that any information, in whatever shape or form, needs to be managed with the appropriate level of care and attention.

Information is essential to all staff, at all levels, and across all services of the Council in order that they can carry out their day to day duties. The Council needs, within its regulatory obligations, to safely manage and secure the information created or managed, but it also needs to dispose of information that is no longer needed and holds little value to the Council. Moving forward we must develop a culture that understands there is a balance between the costs of maintaining the information held, versus the value of that information to the Council and the services that it delivers.

Definition of “Information Management”

Information Management *describes the means by which an organisation “efficiently governs, plans, controls, collects, creates, evaluates, organises, stores, analyses, disseminates, maintains, and disposes of its information, and through which it ensures that the value of that information is identified and exploited to the fullest extent.”*

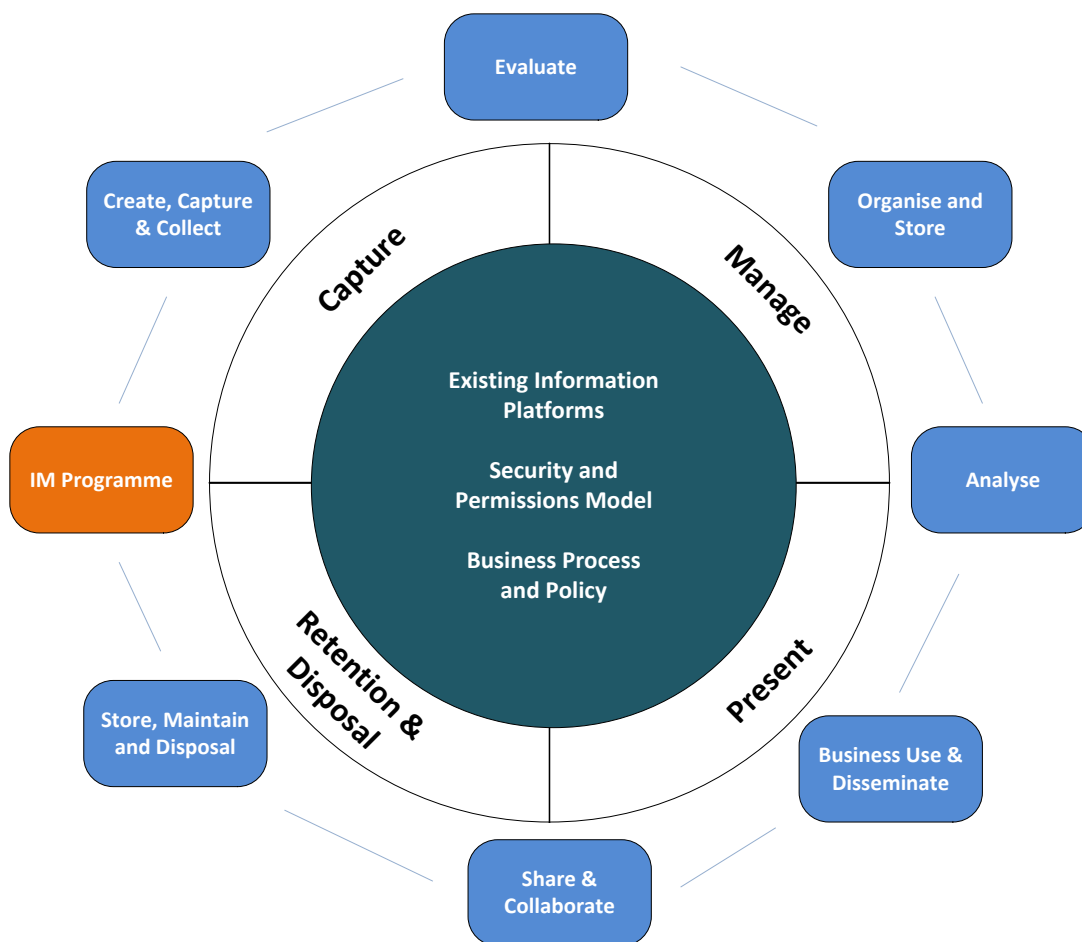
Information Management is not an ICT issue. It incorporates many elements including the nature of the information, the technology used to manage the information, the people (both skills and behaviour) used to work with the information - and the governance applied to the information including management and leadership.

An Information Management Programme has been developed to give guidance to staff within the Council that focuses on embedding a culture of better management of information that becomes part of our normal day to day operation. Information is available on the hub ([Managing Records and Information](#)). This guidance is being updated in line with data protection legislation changes from 25th May 2018.

Information Lifecycle

Through this Information Management Strategy the Council recognises that Information is an asset to the Council and that the Council needs to manage information through its lifecycle – no different from managing any other asset. Like any other asset, information has a value to the Council, its staff, customers, communities, partners and third-party suppliers. The Council needs to manage the creation, collection and use of information in a cost effective manner, but more importantly if managed effectively the information has the capability to aid effective decision making and support the efficient delivery of the services provided.

Diagram 1: The Information Management Lifecycle



3 Business Context

To maximise the potential benefit from our information we need to manage it effectively, re-use it where we can, share it appropriately and ensure that it is adequately protected

The Council continues to face increasing external scrutiny relating to the various Legal (and sometimes conflicting) obligations that are placed on the Council including the FOI, the enhanced Data Protection legislation in the form of the General Data Protection Regulations (GDPR) and PRSA - Public Records (Scotland) Act 2011.

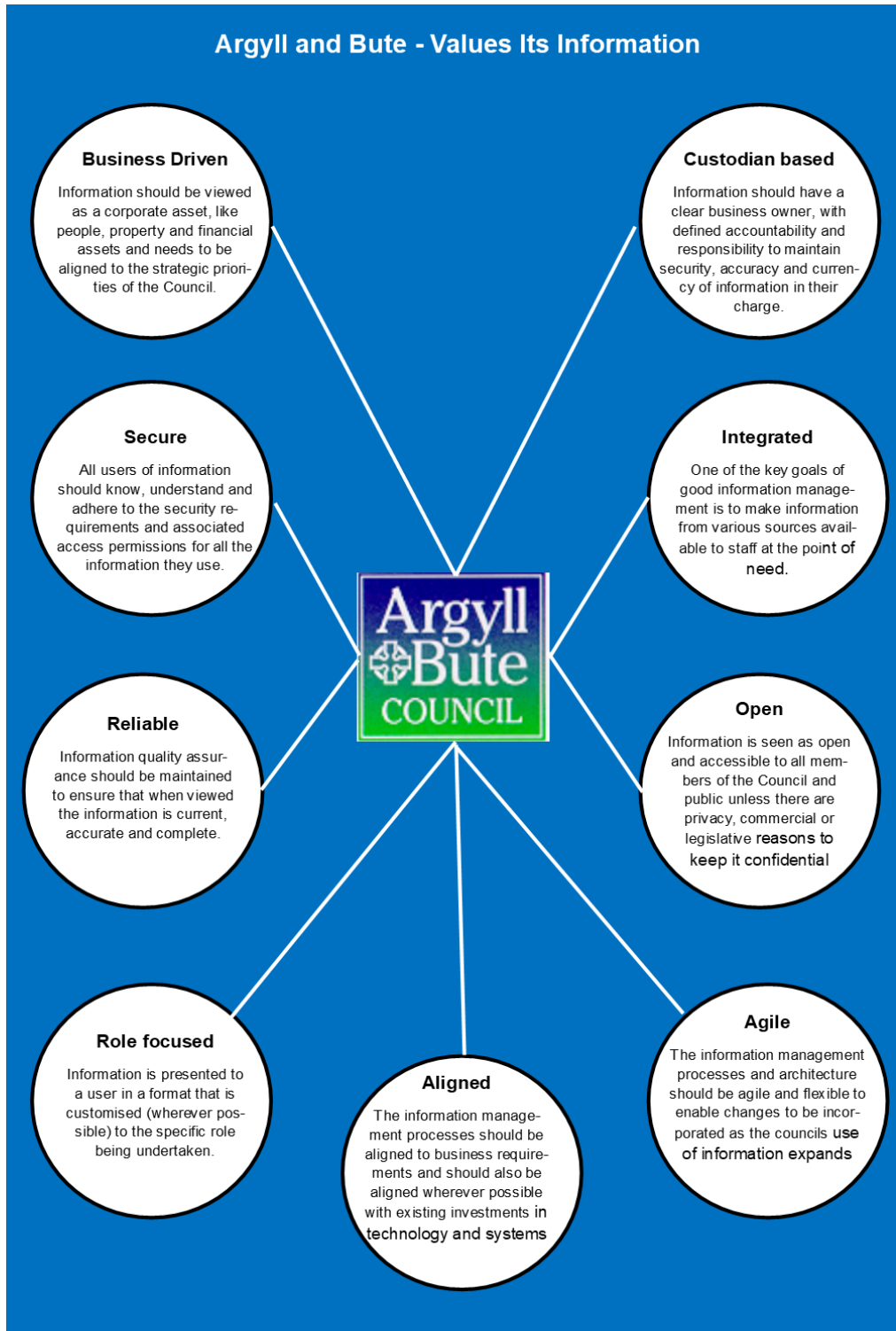
GDPR will be in force in the UK on 25 May 2018. It will affect all organisations processing the personal data of individuals in the EU in relation to offering goods or services and significant penalties can be imposed on organisations and individuals in breach of the new law, with fines of up to €20 million or 4% of annual worldwide turnover, whichever is greater.

Both the GDPR and PRSA legislation requires the Council to evidence the existence of retention and disposal schedules at an operational level (as opposed to policy level commitments to good retention and disposal practice).

Throughout the public sector, information sharing and cross agency working is creating opportunities to streamline services and drive operational efficiencies. Good information management practices will best place the council to engage in collaborative working and take advantage of potential efficiencies.

4 Our Vision

The Council's information vision is to create an environment where everyone, including associated partner organisations values information and supports the manner in which the Council governs, manages and uses information.



This Information Management Strategy will be delivered against a set of principles:

1. Create a culture which values information and treats it accordingly

Accurate information is essential for all of our employees, every day, and at all levels so that we can all do our jobs individually or collectively as services of the Council. It needs to be accurate, available and accessible. We need all to be able to recognise its relevance and value.

2. Improve access to information through technology, process and tools,

Customers and staff should be able to access information through a number of channels i.e. Face to face, online, phone or email. Access to information will be delivered as “digital first” and customers who can use digital media will be enabled and encouraged to self-serve. Those who are unable to self-serve will be assisted to access services so they are not disadvantaged.

3. Ensure best use of information by developing opportunities for sharing and re-use

Throughout the public sector, information sharing and cross agency working is creating opportunities to streamline services and drive operational efficiencies. Good information management practices will best place the council to engage in collaborative working and take advantage of potential efficiencies.

4. Hold information once and securely

This means we will collect, maintain and secure customer details once. This information will be used to update all our main systems. So not only will data be secure but it will not have to be provided many times. Risk and security controls should be balanced according to business objectives – security controls should be proportionate to risk. In addition, security should be user transparent and not cause users undue extra effort.

5. Use data well

We will share the right data within the Council, our partners and with customers, in accordance with data protection legislation. We will use data analytics to make the right decisions and open up our data where we can to provide customers, communities and businesses access to what we hold.

6. Comply with information management legislation, policies, standards, codes of practice and other guidance.

We have in place policies, procedures and guidance for staff to encourage good working practices and compliance with legislation.

7. Develop our workforce to manage information appropriately.

We will support our workforce to maintain and develop their skills to understand the value of our information, manage and respect it accordingly.

The Information Management Strategy supports council objectives by providing staff access to comprehensive and reliable information, at the point of need, where everyone, understands the importance of handling it correctly, sharing it appropriately and protecting it from improper use.

6.1 Alignment with the Council's Corporate Plan

The new Corporate Plan 2018 – 21 states the Councils aim for “*Getting It Right*” – ensuring “*our support services assist front line services to make sure that we get it right for our communities and citizens*”, in particular supporting the delivery of our priorities by:

- *Ensuring our structure and systems make our council high performing;*
- *Developing our positive organisational culture and remaining an employer of choice;*
- *Ensuring our workforce have the skills knowledge and behaviours to support our vision now and in the future;*
- *Engaging, consulting and working with our customers, communities and partners’ and*
- *Providing excellent customer service and communication.*

Adoption of a corporate IM strategy can help to achieve these aims through:

- Creating a culture which values information and treats it accordingly;
- Improving access to information through technology, processes and tools:
 - Improving the efficiency of business processes through the delivery of workflow and business process automation;
 - Training staff in the better use of information, with policies and processes in place for sharing information both within and outside of the council where appropriate;
 - Improving the use of information by storing information in a coherent and easily searchable manner (based on relevance and need), that is accessible to all staff from any location; and
 - Generating high quality management information that can be used to facilitate the improvement in business processes.
- Ensuring best use of information by developing opportunities for sharing and re-use:
 - Controlling the growth in information storage costs by storing information once and removing redundant, obsolete and trivial information; and
- Ensuring compliance with information management legislation, policies, standards, codes of practice and other guidance.

6.2 Envisaged Benefits

There are a number of outcomes that benefit the council, staff and customers:

Corporate Benefits

- Identification and understanding of the Council Information Assets will contribute greatly to the creation of clearly defined and understood policy and guidance Retention and Disposal;
- Supports broader decision making and policy making;
- The Council will be better positioned to demonstrate compliance with regulations such as Public Records (Scotland) Act 2011 and GDPR 2018;
- Enables the council to provide a more effective service to its customers with greater transparency around the information it holds;
- Increases its efficiency by enabling it to get the most out of the information it holds, avoiding duplication and promoting re-use where appropriate;
- Reduces levels of information-related risk and helps to ensure that council information is protected and secure;
- Preserves its public reputation and enables it to meet public expectation of how it will manage their information;
- Builds trust in the quality of its information both for staff and the public;
- Preserves for the public record decisions being made now which will become our history in the future;
- Increases its efficiency by enabling it to get the most out of the information it holds, avoiding duplication and promoting re-use where appropriate; and
- Reduces levels of information-related risk and ensures that council information is protected and secure.

Benefits for Staff

Improving the way services manage their information brings a number of benefits both to the individual and the services within which they operate. Good information management provides staff with the following benefits:

- Improved searching, retrieving and use of information through the introduction of a more consistent structure for storing information resulting in being able to find information quickly and easily;
- Access to better quality and more reliable information;
- Better access to the right information as a result of de-duplication of information and version control;

- Raised awareness of responsibilities for information handling leading to staff being better equipped to comply with policy and legislation;
- Use of email archiving, search and classification better understood;
- Working more efficiently, making best use of existing information resources - re-using information and not reinventing the wheel;
- Better equipped to work collaboratively - making best use of skills and knowledge;
- Greater certainty and understanding of what to keep, how it should be kept and what to dispose of ;
 - Knowing what to share and with whom;
 - Reassurance that everyone is complying with responsibilities under legal requirements.

Benefits for Customers

- Information is captured once and not repeatedly;
- Information is more accurate, reliable and accessible;
- Assurance that information relating to them is protected and handled appropriately;
- That when they give consent to share information, that consistent standards will be applied;
- The council is more responsive, informed and able to deal with customer queries and transactions quicker.

7 Key Programmes

There are a number of Key Programmes required to help deliver effective Information Management and achieve the outcomes that matter to the Council, its partners and customers. The Key Programmes provide the cornerstone for an Information Management Improvement Action Plan for 2018 through to 2021:

- Governance, Compliance & Assurance;
- Information Asset Culture; and
- Enabling Systems & Technologies.

6.3 Governance, Compliance and Assurance

Role of the Information Management (IM) Steering Board

The overall aim and role of the IM Steering Board is to set the strategic direction for Information Management for the Council. The IM Steering Board will oversee the implementation of the associated action plan that provides a road map for implementing the Information Management Programme and delivery of the Information Management Strategy.

IM Steering Board Member Responsibilities

- Provide input and direction for the implementation and ongoing review and governance of the Information Management Strategy and Programme;
- Provide representation from business, HR and technical areas within the Council, supported by specialists on a regular and 'as needed basis'; and
- This Board meets quarterly.

Responsibilities of the Strategic Management Team (SMT)

The SMT is responsible for understanding the implications, importance and obligations for effective Information Management for the organisation as a whole and not on current organisational structures and methods, thereby creating an environment where IM initiatives can be successfully implemented. SMT also has responsibility for supporting key IM activities with the right level of funds and resources. Information Management should always be a consideration of the Strategic Management Team when considering new policies and procedure.

Responsibilities of Members

Members have a responsibility to approve the IM strategy for the Council.

Audit and Scrutiny Committee

The Audit and Scrutiny Committee provide an assurance role for the IM Strategy and implementation of the associated plan.

6.4 Information Asset Culture

Information is essential to all staff, at all levels, and across all services of the Council in order that they can carry out their day to day duties.

The management of our Information Asset Register (IAR) will be embedded within our working practices – by ensuring all staff know what they are, how to use them, and implement retention policies.

The Council needs, within its regulatory obligations, to safely manage and secure the information it owns, but it also needs to dispose of information that is no longer needed and holds little value to the Council.

Encouraging a culture that understands there is a balance between the costs of maintaining the information held, versus the value of that information to the Council and the services that it delivers. Effective Records Management is key with the overall programme for better Information Management.

The previous Information Management Strategy (2014 – 18) enabled the creation of our Information Asset Registers (IARs). Every service across the Council now has an IAR, and these were further developed to assist with preparation for the General Data Protection Regulation (GDPR), and are effectively our “Register of Processing” (a necessity under GDPR).

The next step is to embed these IARs within our working practices – by ensuring all staff know what they are, how to use them, and retention policies are implemented.

6.5 Enabling Systems and Technologies

Improve Access to Information through Technology, Process and Tools

Microsoft SharePoint is a component of the MS Office Professional suite of applications and is widely used within the Council with well over 100 sites. An exercise to migrate MS SharePoint 2007 sites to MS SharePoint 2010 has been recently completed. The longer term plan is to establish a framework for a new MS SharePoint 2016 environment which will incorporate predefined templates depending on the nature and purpose of the site.

This will allow the pre-population of metadata and rules to help better categorise, organise and manage unstructured content in a consistent way across the Council.

8 Resourcing

Information Management is an integral feature of the day to day functions and duties of all staff. Information Management should be appropriately highlighted within our Core Competencies.

Records Management Team

Future budgetary pressures are expected over the strategy period given the Council's overall financial outlook. It will be very challenging to remove further cost without reducing the ability of the ICT service to continue to support business improvement activity across the Council at the current level.

The attached action plan is based on current resources. If these change, then a revision of the action plan may also be required. It should also be noted that some of the planned actions are dependent on business case justification. If the business cases do not show a positive return, then these actions will be dropped at that point. Where a positive return is demonstrated, then the savings will be needed to fund the cost of the new developments.

9 IM Improvement Action Plan

Programme 1 – GOVERNANCE, COMPLIANCE & ASSURANCE							
Action	Description	Planned Outcome	Owner	Start	End	Relevance - Other Programmes	
						2	3
Change the Governance Structure for IM to more appropriately reflect the current IM structure within the Council.	Establish a new IM Steering Group to oversee the progress of the IM action Plan.	<ul style="list-style-type: none"> New IM Steering Group established New IM Working Group established 	Iain Jackson	June 2018	-	✓	✓
Corporate Governance for establishing the corporate taxonomy/ standard metadata.	<p>Creation of a Corporate Taxonomy and guidance around the use of folksonomies/ metadata (for use within the new version of MS SharePoint 2016 See Programme 3 below).</p> <p>(Heads of Service are responsible for ensuring staff apply the corporate taxonomy in their use of MS SharePoint 2016.)</p>	Administrators and users of SharePoint apply the corporate taxonomy in the organisation and describing of SharePoint information.	Iain Jackson/ all Heads of Service	Aug 2018	March 2019	✓	✓
Conduct a quality check of the IARs	<p>Each Service shall hold a complete, accurate and consistent record of all information assets.</p> <p>Carry out an audit/ quality check of the current IARs to assess the classification of information, quality and risk levels assigned.</p>	<p>Annual updates/ approvals for all IARS completed.</p> <p>Deviations from SCARRS standard entries reviewed and approved.</p> <p>Report on the quality of the IARS following the annual</p>	<p>All Heads of Service</p> <p>Iain Jackson</p>	ongoing	Annual 30 th April 2019	✓	✓

		review of IARs.	Iain Jackson				
Regular performance Monitoring for FOI and Data Subject Access Requests.	Ensure performance targets for these areas are met on a quarterly basis.	Compliance with both FOI and GDPR legislative requirements.	Iain Jackson	ongoing	Quarterly from 1 April 2018		
Assurance for the implementation of retention and disposal of records in accordance with the Council's Records Management Plan.	All actions completed as set out in the Records Management Plan (RMP).	Assurance that information management processes are being applied in accordance with RMP.	Iain Jackson	ongoing	Annual 30 th April 2019		

Programme 2 – INFORMATION ASSET CULTURE							
Action	Description	Planned Outcome	Owner	Start	End	Relevance - Other Programmes	
						1	3
Embed the use of IARs across the organisation	Equip staff with the knowledge of what to use the IARs for and put processes in place to assist with the implementation of retention policies.	<ul style="list-style-type: none"> All services must ensure that staff know what the IARs are for and how to use them All services must ensure that retention and disposal is carried out in accordance with the IAR 	Heads of Service / Iain Jackson	ongoing	Annual 30 th April 2019	✓	✓
Implement an Awareness Training Programme for IM across the organisation	Introduce an appropriate programme and a set of training materials to ensure all staff are aware of their responsibilities around the management of information.	<p>Staff understand what is required of them in terms of improved IM</p> <p>Mandatory Records management training module for LEON almost ready</p>	Jane Fowler/ Iain Jackson	April 2018	July 2018	✓	✓

	Review Core Competencies for staff with specific reference to Information and Records Management						
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Programme 3 – ENABLING TECHNOLOGIES							
Action	Description	Planned Outcome	Owner	Start	End	Relevance - Other Programmes	
						1	2
Complete a MS SharePoint 2016 corporate environment.	<ul style="list-style-type: none"> • Creation of a MS SharePoint (MSSP) 2016 corporate framework to be created which reflects the Councils agreed Taxonomy and metadata. • Revisit the benefits of acquiring additional records management technologies, based on an improved, better organized MSSP corporate environment. 	<p>A MS SP environment that enables a greater level of consistency in the way that non structured data is stored and described. Improved records management capability;</p> <p>Revised business case for supporting Records Management Technologies.</p>	Katrina Duncan	June 2018	June 2019	✓	✓
				Sep 2018	Jan 2019	✓	✓
Migration of all 2010 MS SharePoint to SharePoint 2016.	<ul style="list-style-type: none"> • The mapping and transformation of existing MS SharePoint 2010 sites to new MS SharePoint 2016 framework environment. 	A greater level of consistency in the way that non structured data is stored and described. Improved records management capability.	Katrina Duncan	January 2019	June 2020	✓	✓
Assess existing systems for hosting unstructured data to determine whether compliance with GDPR	Review capacity of network drives to provide an audit trail, business classification filing structure, retention and disposal of documents.	Provide a recommendation to IM based on compliance effectiveness.	Governance Team along with Network Driver Owners/ Service Leads	Nov 2018	April 2019	✓	✓

Programme 3 – ENABLING TECHNOLOGIES							
Action	Description	Planned Outcome	Owner	Start	End	Relevance - Other Programmes	
						1	2
and PRSA can be achieved							
Review of GDPR high priority business systems to ensure compliance with IM Strategy.	Review products and develop roadmaps of 3 rd party software to ensure we are best supported through existing contracts and software for IM best practice and compliance.	Identify opportunities and implement 3 rd party software improvements that support the Council in achieving better information management in accordance with our records management principles ensuring compliance with legislation.	ICT CLOs and Service Leads	August 2018	February 2019	✓	✓
Optimise the use of the Civica corporate Document Management System Disposals functionality for improving Information Management and Records Management	Determine and implement an improvements action plan of improvements for optimizing the use and effectiveness of this existing resource.	Richer disposals functionality implemented to ensure both records and documents can be identified and removed in accordance with retention policies.	IM Steering Board	June 2018	June 2019	✓	✓
Develop an improved method of hosting the IARs	Replacement of flat, non-functional, spreadsheets for hosting IARS (Record of processing) with a small database application. This will allow all staff basic access and assist with implementation of retention policies.	A more user-friendly method of accessing the IARs and determining what should happen to a record. Improved visibility of compliance and associated actions.	Katrina Duncan	May 2018	Nov 2018	✓	✓