

The Highland Council

Resources Committee – 25 February 2015

Agenda Item	20
Report No	RES/24/15

Information Management Strategy & Policy Framework Annual Review

Report by Depute Chief Executive/Director of Corporate Development

Summary

This report provides Members with information on the annual review of the Information Management Strategy for 2013-2017 and a range of policies that make up the Information Management Policy Framework. It also provides an update on progress made in implementing the Information Management Strategy.

1 Background

- 1.1 The current Information Management Strategy covers the period 2013-2017 and was last presented to Committee in August 2013. With a commitment to carry out regular reviews there has therefore been a review of the strategy to ensure it is fit for purpose.
- 1.2 The Information Management Strategy is supported by a range of policies that together make up the Information Management Policy Framework. Over the last 2 years the existing policies have all been reviewed and any gaps have been filled with new policies created. Now that the Information Management Policy Framework is mature, an annual process of reviewing all policies within it has been established. This paper covers the first annual review of this framework of policies.
- 1.3 The council has a range of statutory and regulatory obligations in relation to the management of its information holdings, and in particular the management of personal data. The Information Management Strategy and Information Management Policy Framework are a necessary part of achieving compliance with the Data Protection Act, Freedom of Information (Scotland) Act and Public Records (Scotland) Act. The Council's compliance with these acts is regulated by the Information Commissioners (UK and Scotland) and the Keeper of Records of Scotland. We are also subject to assessment of our security compliance with the Public Services Network Code of Connection by the UK Cabinet Office.
- 1.4 Over the last 2 years there have been significant improvements in the Councils approach and governance of information management. This has seen the creation of more robust governance structures and improvements in

information security (both technical and staff practice). This has been made possible through the work of the Managing Information Project, Corporate Information Management Team, Records Management Service and the Information Management Governance Board. This paper provides a summary of the improvements that have been made and the approach being taken to continue this over the next year.

2 Information Management Strategy 2013-2017 Review

- 2.1 The strategy has been reviewed, and minor changes made, but the overall strategic position set out in the Information Management Strategy remains relevant and fit for purpose.
- 2.2 Updates have been made to reflect the successful creation of a Council wide Corporate Information Asset Register, and the inclusion of a risk assessment for each Information Asset. The Strategy emphasises the importance of this being maintained.
- 2.3 Section 7.3 (Structuring and Labelling of Unstructured Information) has been rewritten to clarify the difference between the Business Classification Scheme, that forms the basis of a filing system for records, and the Security Classification Scheme that allows documents to be marked as to their level of sensitivity. It also highlights that the Council's intention to support staff with using the Security Classification Scheme, through the introduction of protective marking technology to enable the marking of emails and office documents to identify their security classification. This will prompt users to consider the sensitivity of information when they receive or create information, and will guide those staff using the information in how to handle it.
- 2.4 Section 9 (Supporting Policies) has been updated to reflect the fact that all the policies that are identified in the Information Management Strategy have now been put in place. This includes the policies that make up the Information Management Policy Framework.
- 2.5 Section 10 (Strategy Implementation) has been updated to include specific reference to the role of the Information Management Governance Board (IMGB) in agreeing the information management strategic initiatives, to enable delivery in a cost effective way that prioritises the available resources to deliver maximum return on our investment in information management. In line with this, the Implementation Plan is no longer part of the Information Management Strategy and will instead be managed as a live work plan, governed by the IMGB through its monthly meeting.
- 2.6 Throughout the document, changes have been made to reflect the organisational changes to job titles, but there has been no change to governance structures as a result of this.

3 Information Management Strategy Implementation Progress and Future Plans.

- 3.1 The strategic initiatives that were previously set out in the 2009-2012 strategy were extracted and an Information Management Strategy Implementation Plan was created. This was provided to committee for information at the time of the 2013-17 strategy creation.
- 3.2 As part of the significant improvement in information management governance arrangements within the Council, an Information Management Governance Board (IMGB) was created in late 2013. Part of the role of this Board is to oversee and govern the delivery of the Information Management Strategy. This board has now been in operation for over a year and has proven invaluable in leading this work and providing a focus for the council's activity in this area. The IMGB will be leading the creation of a new Information Management Strategy Implementation Plan for 2015-16, that will focus on strategic initiatives that can be delivered in a cost effective way and that can be resourced.
- 3.3 The 2013-14 plan included an additional strategic initiative to review the Geographical Information Service and this continues to be relevant, and although some progress has been made, financial pressures have delayed progress. This is one of the initiatives that will need to be included in the new Implementation Plan.
- 3.4 The 'Policies' strategic initiative has been completed with the creation of a complete Information Management Policy Framework. This will not be included in the new Implementation Plan, although an annual review of the Information Management Policy Framework will be undertaken.
- 3.5 The 'Collaboration and Document Management System' strategic initiative has been an area that has also seen significant success through the use of the Council's SharePoint 2010 platform. This is delivering cost savings for the council by supporting more efficient business processes and document management. For example the processing of travel requests using SharePoint now requires fewer staff, and the management of HR information in SharePoint is reducing paper storage and providing appropriate access in multiple locations across the Highlands. This has been achieved through the Corporate Improvement Programme's Managing Information Project and the Corporate Information Management Team. This is an area that continues to be a priority area and continues to be at the core of the Managing Information Project. For this reason it will be part of the new Implementation Plan.
- 3.6 The 'Records Management' and 'Information Governance' strategic initiatives have also been an area of success, with major improvements to the storage of paper records and the creation of a council wide Corporate Information Asset Register, delivered through the Managing Information Project. By reviewing paper records and destroying those that are outside of required retention periods we have been able to destroy large quantities of paper. This has enabled the delivery of office rationalisation and supported compliance with the

Data Protection Act by not retaining personal information for longer than it is required. Ultimately this delivers cost savings for the council, without reducing services to our customers and supports staff in carrying out their roles in the most efficient ways. More specific strategic initiatives on Records Management are likely to be included in the new Implementation Plan, focusing on areas such as the creation of the Council's Records Management Plan and the further rationalisation of paper records stores.

- 3.7 Further work is required to fully implement the Information Security Management System and this is a strategic initiative that will need to be included in the new plan.
- 3.8 The 'Web Strategy' strategic initiative has also been completed and this will not be included in the new plan. The Council implemented a new website in 2014. The website allows payments to be taken utilising a seamless interface with the Council's corporate payment processor, Capita.
- 3.9 A new strategic initiative will be created for the protective marking technology implementation that is due to take place. This will support the introduction of a new security classification scheme that will align with the government's new scheme.

4 Information Management Policy Framework Annual Review

- 4.1 The Information Management Policy Framework consists of a range of Council policies that together provide a framework that supports the delivery of the Information Management Strategy. The framework includes the Information Management Policy; Records Management Policy, Records Retention & Disposal Policy, Information Security Policy and Data Protection Policy.
- 4.2 The policies have been updated to reflect the changes in the strategy and to recognise work that has been done to implement the information architecture. In particular this is the creation of a Corporate Information Asset Register, the introduction and use of new roles, such as Information Asset Owner and Information Asset Managers, along with training and guidance that has been issued to staff to support them.
- 4.3 The introduction of protective marking technology to support staff in the use of the Council's new Security Classification Scheme has also required changes to the policies. These emphasise the requirement for all staff to use and understand the security classification scheme. This will be accompanied by staff communications and training to support everybody in following these policy requirements.
- 4.4 The Records Management Policy has been updated with more details on the Records Management Plan requirements under the Public Records (Scotland) Act. In addition it has also been updated in line with the Information Management Strategy to clarify the difference between the Business Classification Scheme, that forms the basis of a filing system for records and

the Security Classification Scheme that allows documents to be marked as to their level of sensitivity.

- 4.5 The Data Protection Policy has been updated to emphasise that members are data controllers in their own right and therefore require individual registration with the Information Commissioners Office. These registrations are kept up to date by staff within the Chief Executive's Office.
- 4.6 The policies have also been updated throughout to reflect the organisational changes to job titles, but there had been no change to governance structures as a result of this. In addition some typographical errors and grammar have been corrected and some passages have been rewritten to make them more accessible to the reader and as consistent as possible in style and meaning across the policies.
- 4.7 There have been no material changes to the overall policy direction of any of the policies in the Information Management Policy Framework as they were broadly fit for purpose and continue to be.

6. Implications

- 6.3 **Legal & Risk:** There are no implications arising from this review. An effective Information Management Strategy and Information Management Policy Framework will support the council in its compliance activities.
- 6.4 **Resource:** The implementation of this Strategy will be delivered using existing staff resources identified within ICT Services, Records Management Team and through the Corporate Improvement Programme. Through detailed planning of the implementation additional resource requirements may be identified and brought to the Executive Leadership Team for consideration.
- 6.5 **Climate Change / Carbon Clever:** There are no implications arising from this Strategy review; however the more effective management of information and moving to electronic rather than paper based systems will support the council's commitment to becoming more Carbon Clever.
- 6.6 There are no **Equalities, Gaelic or Rural** implications arising from this review.

Recommendations

Members are asked to:-

- 1 Note the update on the strategic Initiatives
- 2 Approve the updated Information Management Strategy 2013-2017
- 3 Approve the updated Policies

Designation: Senior Information & Security Officer

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Date: 10/02/2015

Background Papers:

Information Management Strategy 2013-2017 http://ntintra1/landaintra/Members/membersinfo/bulletin/hq/bulletin_reports/resources/im-strategy-2013-2017.pdf

Information Management Policy http://ntintra1/landaintra/Members/membersinfo/bulletin/hq/bulletin_reports/resources/im-policy.pdf

Records Management Policy http://ntintra1/landaintra/Members/membersinfo/bulletin/hq/bulletin_reports/resources/records-management-policy.pdf

Records Retention & Disposal Policy http://ntintra1/landaintra/Members/membersinfo/bulletin/hq/bulletin_reports/resources/records-retention-and-disposal-policy.pdf

Information Security Policy http://ntintra1/landaintra/Members/membersinfo/bulletin/hq/bulletin_reports/resources/info-security-policy.pdf

Data Protection Policy http://ntintra1/landaintra/Members/membersinfo/bulletin/hq/bulletin_reports/resources/data-protection-policy.pdf

Attachments: None