To the Chair and Members of the
AUDIT COMMITTEE

Data Quality and Information Management Update

Relevant Cabinet Member(s)	Wards Affected	Key Decision
		No

EXECUTIVE SUMMARY

1. The purpose of this report is to provide an update to the strategic risk identified around data quality, and also to brief the Committee with regard to information management.

EXEMPT REPORT

2. Not Applicable

RECOMMENDATIONS

3. The Audit Committee are asked to note the comments in this update report.

WHAT DOES THIS MEAN FOR THE CITIZENS OF DONCASTER?

4. Good data quality is essential to ensuring that the Council delivers cost effective and efficient services to the public. The impact and future delivery of services is based on information from many different sources and good quality data that is managed well will result in better informed decision making and reporting. Also ensuring that the Council's records are managed well provides assurance to the public that their information is adequately protected and minimises the risk of it being compromised.

BACKGROUND

Data Quality

5. A Council strategic risk around Data Quality was identified as follows:-

    "*Failure to improve Data Quality will prevent us from ensuring that data relating to key Council and Borough priorities is robust and valid. The Council continues to be at risk of making decisions using data that is not always as robust as it should be. In order to commission properly, make good decisions and ensure vulnerable people are safe, and then the quality of data within its systems must be of good quality*"

    The Data Quality Strategy 2016/17 – 2020/21 - (Appendix A) was agreed by

Cabinet on 4th October 2016. It sets out the vision for data quality for the next four years and provides specific actions that will improve data quality across the Council.

6.	The Data Quality Action Plan – (Appendix A) defines activity that will take place to improve data quality. These actions will be reviewed and refreshed as appropriate on an annual basis.

7.	We will know that quality has improved when:
	- Better ownership and chains of responsibility can be measured from the policy sign off and completion of an eLearning module;
	- Targeting support where it is needed most through the systems approach improves quality assurance and scoring;
	- Continued testing, challenge and review from the complete self-assessments indicates progress.
	- We are able to use data from multiple systems more efficiently to create new insight.

8.	Key planned activity during Quarter 3 includes:
	- Notification and completion of the Policy Sign Off by People Managers;
	- Development and launch of the revised Self-Assessment Toolkit;
	- Development and launch of the new eLearning module; and
	- Development and agreement of the Council's Data Quality Standards.

9.	The action plan will be reviewed every quarter in order to ensure that the actions we have set out are achieved and improvements in the quality of our data are realised. The action plan will be refreshed on an annual basis throughout the four year strategy. The Action Plan will be monitored and governed by the Business Intelligence Board.

Information Management

10.	Progress with regard to the physical storage of records was presented to the Committee in two previous reports, one in February 2015 and the other in January 2016. Further progress has now been made and is set out below.

11.	The contract has been awarded to a new supplier, who are now providing records management services to the Council in relation to its paper records. All the boxes that were previously stored at an external supplier at Thorne have now been transferred to this new supplier. Work is currently underway to move boxes from the Council's town centre location; this should be completed by the end of November. The remaining store at Balby has also been started with half the boxes already transferred; it will be completed by the end of March 2017.

12.	This means the Council now has one records management system for paper records with full audit facilities to track all boxes when they have been retrieved. In parallel to the transfer of boxes they are being reviewed and any past their retention date are being disposed of where it is legally possible to do so. Additionally some boxes are going to be indexed to file level which will give a complete and accurate database of their contents, which will aid retrieval of the Council's paper records.

13.	As reported previously, electronic information stored on the Council's shared drive is currently being reviewed by staff. This is being carried out both by using the technical software and also manually. Files that have not been modified for a number of years and those that are classed as redundant, obsolete and trivial are being targeted. Reports are run in the software to highlight problem areas; staff can then either use it to mark up files for deletion or manually delete files where appropriate.

14.	When the project started, the Council had over 16 million electronic files stored. Although this figure has grown, due to work carried out by the Council as part of the Digital Programme to operate digitally and therefore more efficiently; a report run in the software on file modified date shows a reduction of nearly 2 million files. Once this redundant information is reduced, a further phase will focus on how electronic information on this drive is structured and stored and will form part of the work evolving out of a new strategy for all information.

15.	Reducing electronic files no longer required is essential to ensure we do not breach legislation by storing information longer than necessary. However, it is equally, if not more important, to improve the way electronic information is managed so an accumulation of this type of information does not occur in the future. Implementing policies and rules to how electronic information is structured and named will allow for records of a similar nature to be stored and then disposed of together based on their retention period.

16.	An Information Management Strategy, which is currently being developed, will lay down the foundations to improve how the Council's information is managed. This strategy will build on and support the improvement of data quality but will also ensure that the Council's information is managed properly from creation, throughout its use to its eventual disposition.

17.	The rationale for developing such a strategy is to comply with legislation and also to improve the Council's efficiency and effectiveness. It is important that the Council knows what information is being collected and stored, where it is located, it is shared when it is right and appropriate to do so, is reused and that it is only being retained for as long as necessary. Currently there is no guidance available to staff to ensure that this takes place. Information is maintained in silos, can be poorly structured and difficult to find, and is reviewed and disposed of in an ad hoc manner when no longer required.

18.	Benefits of implementing an Information Management Strategy include:
    -	Information that is easier to find.
    -	Greater staff awareness of what information needs to be retained and when to dispose of information no longer required.
    -	Reduced duplication of information.
    -	Improved staff efficiency by re-using information and not creating it from scratch when it already exists elsewhere.
    -	Allows for improved collaboration to make the best use of skills and knowledge.
    -	Greater staff confidence when sharing information; they know what can be shared and with whom.
    -	Policy and decision making is based on accurate information.
    -	Provides assurance to the public that we hold quality information.

- Ensures we are compliant with legal requirements.
- Information related risk is reduced and therefore complaints to the Information Commissioners Office fall.
- Improved transparency.

19. The strategy will be informed by a staff consultation survey and the principles of information management developed for the public sector:

Principle 1 - **Information is a valued asset**
Principle 2 - **Information is managed**
Principle 3 - **Information is fit for purpose**
Principle 4 - **Information is standardised and linkable**
Principle 5 - **Information is reused**
Principle 6 - **Information is published**
Principle 7 - **Citizens and Businesses can access information about themselves**

OPTIONS CONSIDERED

20. Not Applicable

REASONS FOR RECOMMENDED OPTION

21. Not Applicable

IMPACT ON THE COUNCIL'S KEY OUTCOMES

22.

	Outcomes	Implications
	All people in Doncaster benefit from a thriving and resilient economy. • *Mayoral Priority: Creating Jobs and Housing* • *Mayoral Priority: Be a strong voice for our veterans* • *Mayoral Priority: Protecting Doncaster's vital services*	The establishment of consistently good quality data and improved information management supports the whole Council in delivering the key outcomes and accurate measurement of the organisations performance
	People live safe, healthy, active and independent lives. • *Mayoral Priority:* Safeguarding our Communities • *Mayoral Priority:* Bringing down the cost of living	
	People in Doncaster benefit from a high quality built and natural environment. • *Mayoral Priority: Creating Jobs and Housing*	

	• *Mayoral Priority: Safeguarding our Communities* • *Mayoral Priority: Bringing down the cost of living*	
	All families thrive. • *Mayoral Priority: Protecting Doncaster's vital services*	
	Council services are modern and value for money.	
	Working with our partners we will provide strong leadership and governance.	

RISKS AND ASSUMPTIONS

23. The level of risk and progress against agreed actions will be reviewed as part of the Council's Performance Management Framework and reported against the Data Quality Strategic Risk. Information Management risks are monitored by the Council's Senior Information Risk Owner.

LEGAL IMPLICATIONS

24. The proposals assist the council with meeting is obligations with regard to personal data under the Data Protection Act 1998 and information access under the Freedom of Information Act 2000.

FINANCIAL IMPLICATIONS

25. There are no direct financial implications relating to this report.

HUMAN RESOURCES IMPLICATIONS

26. Timely communication is needed to ensure that employees are fully aware of their responsibilities and how it effects their day to day duties. Appropriate tools, training and guidance should be provided to ensure employees understand their responsibilities and are able to carry them out effectively and efficiently. There are also implications for a small number of employees under the Transfer of Undertakings (Protection of Employment) Regulations 1981 (TUPE) as a result of awarding a new supplier the contract for the records management service.

TECHNOLOGY IMPLICATIONS

27. The Council's ICT Strategy includes 'Data Management' as a key objective, to transform the way we keep records and data, ensuring they are only held once, are easily retrievable and only held as long as they need to be.

28. As outlined in the main body of the report, a technical solution (Active Navigation) is now in place to support effective data management and work is currently underway to roll out the solution across the Council and to ensure

we are using all relevant functionality.

29. The Council's ICT Strategy also includes 'Systems Rationalisation' as a key objective, which aims to reduce the number of core and sub systems across the Council, delivering significant benefits, including:

    - Improvements in data quality
    - Reduction in duplication of data
    - Single view of data and performance to inform strategic view
    - Integrations and extract of data simpler to provide better business intelligence

30. The technology implications in relation to the implementation of the Data Quality Strategy Action Plan have been previously provided in the associated Cabinet Report.

EQUALITY IMPLICATIONS

31. Decision makers must consider the Council's duties under the Public Sector Equality Duty at s149 of the Equality Act 2010. The duty requires the Council, when exercising its functions, to have 'due regard' to the need to eliminate discrimination, harassment and victimisation and other conduct prohibited under the act, and to advance equality of opportunity and foster good relations between those who share a 'protected characteristic' and those who do not share that protected characteristic. There are no specific equality implications arising from this report. However, any activities arising from the management of information will need to be the subject of separate 'due regard' assessments.

CONSULTATION

32. During the development of the Data Quality Strategy & Action Plan consultation took place involving Senior Leadership, SIRO Group, Data Protection Officer, Internal Audit and ICT.

BACKGROUND PAPERS

33. Appendix – Data Quality Strategy and Action Plan.

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