


Information Management update

For Board approval	
For Board briefing	
For Board steer	
For Board information	

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Date: 19 February 2015

Summary

1. This paper is provided to outline the progress that has been made to date in the Evidence-Led Culture group of workstreams, and to outline the next stages.
2. Whilst these workstreams have always been considered important, it was recognised that they were not sufficiently resourced to fully meet the requirements of the organisation's information management needs. The workstreams have now been consolidated into a single, priority workstream (Information Management Strategy) and recruitment has been undertaken to ensure that significant progress can now be made. The Commission's Senior Officer - Information is the interim workstream lead.

Background

3. The Board was presented with a paper in June 2014 detailing the work which was underway in what were then defined as the Evidence-Led Culture group of workstreams. This work was guided by the principles established in the 'Roadmap to an Evidence-Led Culture' which was also presented to the Board in May 2014.
4. The Evidence-Led Culture group of workstreams consisted of:
 - Data Hub
 - Data Quality
 - Knowledge Sharing

Progress in these workstreams

5. The work carried out under these workstreams can be summarised as follows.

Data hub

6. The objective of this workstream is to create a centralised repository for easy access to information and data produced or collected by the Evidence and Analysis workstreams.
7. This has now been finalised and is due to be launched on Hive. The new section brings together a range of information and tools:
 - Products – such as HIO profiles and research
 - Reports – such as licensing MI and enquiries / complaints data as well as external reports of interest
 - Tools – including the SQL reporting tool, regulatory returns analysis tool.
8. There has also been guidance developed for colleagues to allow them to use systems more effectively (such as exporting information from Siebel) and increased visibility over all the data that we hold.

Knowledge sharing

9. The objective of this workstream is to develop the structure and means to capture, store and share knowledge across the Commission. By doing this we will capitalise on the collective knowledge held within the Commission and maximise the benefits of sharing this knowledge.
10. Over the latter part of last year and the start of this year, the focus has been on reviewing the information we hold on the M:Drive and applying the agreed retention period to this, as well as removing duplicated information and information that has no value. In the absence of a Content Management System, this is a very manual process.
11. The following areas of the M:Drive have been weeded and re-organised by workstream (where relevant):
 - Enforcement
 - Business Strategy and Information Management
 - Support Services
 - Facilities
 - Evidence & Analysis
 - GC Library
 - GC Archive
 - Intelligence (including the Memex system)
 - GC all users
 - Commission meetings
 - Advertising and marketing (workstream folder)
 - Corporate Affairs
12. We have removed over 150,000 files that had reached their retention period, were duplicates or were no longer required. There are still approximately 788,000 files contained within the M:Drive.
13. We have also reviewed and disposed of over 300 boxes of hard copy material from the Commission's archive.
14. We have started to review the Policy folder (31,000 documents and 5,000 folders at present). A third of the information contained has not been accessed in over five years. We plan to review the HR folder next.
15. We have also worked with colleagues in the AML and Complex Case workstreams in reviewing the information lifecycle in their respective areas – how they collect, store, retrieve and dispose of information. The AML workstream now has in place protocols for the collection and storage of material that is followed by all workstream members.
16. As part of the NL programme, colleagues in the Compliance area have been reviewing all of their information in order to apply the retention periods and re-organise it into a new, simplified structure.

Data quality

17. The objective of this workstream is to improve the quality of our key data in order to provide more robust evidence from which we can base our decision making upon. In turn our public policy will be well informed by expert advice.

18. A Data Quality Panel was established in mid 2014 and was in place until the end of 2014. The Panel focussed on regulatory returns initially as one of the Commission's key datasets and made a number of improvements to this, through revisions to the process (ongoing data cleansing rather than a very time consuming cleanse undertaken before the creation of the Industry Statistics).
19. The principles agreed in the Data Quality Panel have been embedded in other workstreams which rely on key datasets. A list of proposed IT developments is currently being reviewed by Programme Directors to prioritise for implementation. A number of these are driven by requirements on data quality, for example;
 - Review data lifecycle for compliance (includes enhanced compliance, HIO and complex cases etc) to enhance processes and adapt systems / introduce new systems, replacing manual aspects of the process where necessary
 - Expansion of eServices portfolio to remove paper driven processes and manual entry, allowing stakeholders to input information directly through online systems
 - Analytical review of National Lottery business processes and information lifecycles, with the aim of providing improved infrastructure across the programme

Development work

20. These workstreams are now being combined into a single workstream entitled Information Management Strategy (IMS). Bringing them into a single workstream with one lead will improve delivery, taking account of the three key aspects of people, process and technology.
21. The objective of the IMS workstream is to build on the work that has already been undertaken to improve the availability and integrity of the Commission's information throughout its lifecycle. The key objective is to be able to locate all relevant information in relation to an entity or topic easily, and with the assurance that the information is complete and of a high quality.
22. In the latter part of 2014, we undertook exercises with workstream leads and IAG to identify what the key business drivers were to deal with information management issues that they experience.
23. The key recommendation made was that our focus should be given to the following key areas (in order of priority):
 - a) **Improved records management** – addressing retention, availability, version control etc
 - b) **Efficient collaboration** – collaborative working with internal and external stakeholders
 - c) **Programme management support** – improved reporting and visibility, linking people and workstreams
 - d) **Better use of business intelligence** – better ways to present and analyse the data we hold
 - e) **Improved mobile working** – different mobile phones, the use of tablets

24. An Information Management Steering Group was established and met in November to agree terms of reference and next steps.

Improved records management

25. This is the key priority for the workstream and also the most resource intensive in terms of implementation, training and cultural shift.
26. Whilst still in the early stages, we have been discussing with one of our suppliers a product that will allow us to search within the fields and the attachments on Siebel (our core system for licensing and compliance). This was identified separately as a piece of development work due to the importance of being able to locate information within this system. The product would index the contents of Siebel and allow you to search for a term through the fields in Siebel as well as attachments and the content of these attachments (depending on their format).
27. The interface for users would not alter in any significant way.
28. During our initial discussions, it became clear that this product would also offer a range of other benefits.
29. The product is also a content management system (similar to SharePoint). We could potentially move the contents of the M:Drive and the National Lottery information from SharePoint into this system which provides access control, retention policies, intelligent searching capabilities and would also interact with Siebel.
30. This has the advantage that a search could run across both Siebel and the new system (instead of having to search both).
31. This system appears to offer the possibility of integrating with our current system and addressing a number of the issues that have been identified as priorities. A full business case is being prepared, subject to some further investigation with the supplier.

Current Issues	WebCenter Solution
Availability of Information – Time consuming, unable to search multiple systems. Limited search capabilities	Manage unstructured content in one system. Mobile Applications for remote working and easier access. Siebel integration.
Decision Making – Ability compromised due to duplication and out sync document versions	Content management capabilities – flexible security and access controls, version control for documents and ‘need to know’ controls (i.e. if you do not have access to a search result, it will tell you that it exists).
Retention – no automated system in place for electronic info, M Drive needs organising	Customisable metadata; all content would be catalogued and retention or review policies can be enforced.
Collaborative working – Currently only via email internally and externally	Mobile applications and version controls may offer a solution to this.

Efficient collaboration

32. In areas such as policy development, we are largely reliant on email. This leads to issues around version control and assimilating comments and feedback effectively when updating products. This applies to internal and external stakeholders.
33. There are a number of suppliers approved for public sector use. The platforms they offer would make the process of collaborative working easier and more robust. Users would be able to sign in to a secure working space from any computer and access and update files stored there, which would be automatically version controlled. The platforms also tend to have areas to add commentary and discussion boards.
34. The Sports Betting Integrity Forum (SBIF) has received funding from DCMS to pay for a collaborative working site for the next 12 months. This is an accredited product used by Cabinet Office and other government departments. Once this is established, we will monitor this to see how effective it is and if there would be any benefit in wider adoption.
35. We will also be considering other platforms, including the product referred to in the previous section.

Business Intelligence

36. We are looking for better ways to present and analyse the data we hold which will contribute to more effective decision making.
37. Tableau was identified as a low cost business intelligence solution for analysing and reporting on datasets we hold. This allows data to be drawn from a range of sources and visualised in a number of ways (tables, graphs, charts etc).

38. Tableau is now being used successfully in the AML and HIO workstreams, for environment scanning for business planning and has been trialled in the National Lottery Programme.
39. As an example, the AML workstream use the product to draw data from different sources including key event notifications, Licensing Authority referrals and Siebel assessments. The software pulls data from identified sources and allows it to be easily modelled and manipulated across variables. This saves huge amounts of time compared to manually extracting all of the different data and reduces the risk of mistakes as it does not have to be manually collated.
40. There may be wider adoption of this software but we also intend to consider what benefits other analytical products may offer as our content management improves.
41. The attached diagram reflects current development work on integrating business planning, risk management and business intelligence (appendix 1).

Workstream Management tool

42. A need has been identified to develop the workstream and programme infrastructure across the Commission in order to improve the process of planning, monitoring or reporting on workstreams. The Programme Management Review - Implementation Plan^[1], proposed by Director, Mark Harris in September 2014, outlined a number of ideas to improve our workstream disciplines, workstream structures, reflecting current and planned activity and programme management.
43. The current process is resource intensive as it relies on the use of static templates which are updated and collated. This fixed/rigid format does not allow the information to be manipulated easily or quickly by Programme Office due to its inaccessibility within over a hundred documents in Word and Excel formats.
44. The information is a snapshot in time and fundamentally written from a retrospective viewpoint. Therefore, it can be difficult to understand the status of any workstreams without having visibility or understanding of its progression against its plan, its risk register and any interdependencies with the rest of the business plan.
45. The introduction of a workstream management tool will offer the following benefits:
 - Promotion of best practice and consistency: The workstream management system will incorporate areas of best practice for workstream leads to consider when managing their workstreams. The additional aim would be to embed a consistent approach to workstream working and workstream management across the Commission.
 - Reduction in administration effort: Progress reporting can be gathered without the need to produce separate summary reports at the end of the month, by using the workstream management system to co-ordinate and manage workstream delivery.
 - Central repository: The workstream management system will provide a central location to store workstream information and document templates to assist workstream leads.

^[1] BPPB(14)46- Programme Management Review- Implementation Plan- September 2014

- Visibility: The workstream management system will provide a number of ways to view information and enable colleagues to see the work that is being done.
46. One of our suppliers has been helping to develop requirements and the business case for a workstream management tool.
 47. A detailed business case is being submitted to BBPB.

Improved mobile working

48. We have been considering the use of different mobile devices such as tablets, or different mobile phones to those that we currently use. **[Exempt information under section 31 of the Freedom of Information Act]**
49. Sustained, further development in this area is not considered a high priority at this moment in time so we have been focussing on the other areas identified. We recognise that this is still an important area and we will need to carefully work through the options available to ensure we maintain the security of our network and find a solution that satisfies both the requirements of our Cabinet Office accreditor and the Code of Connection for the PSN (see below).

Interdependencies

PSN transition

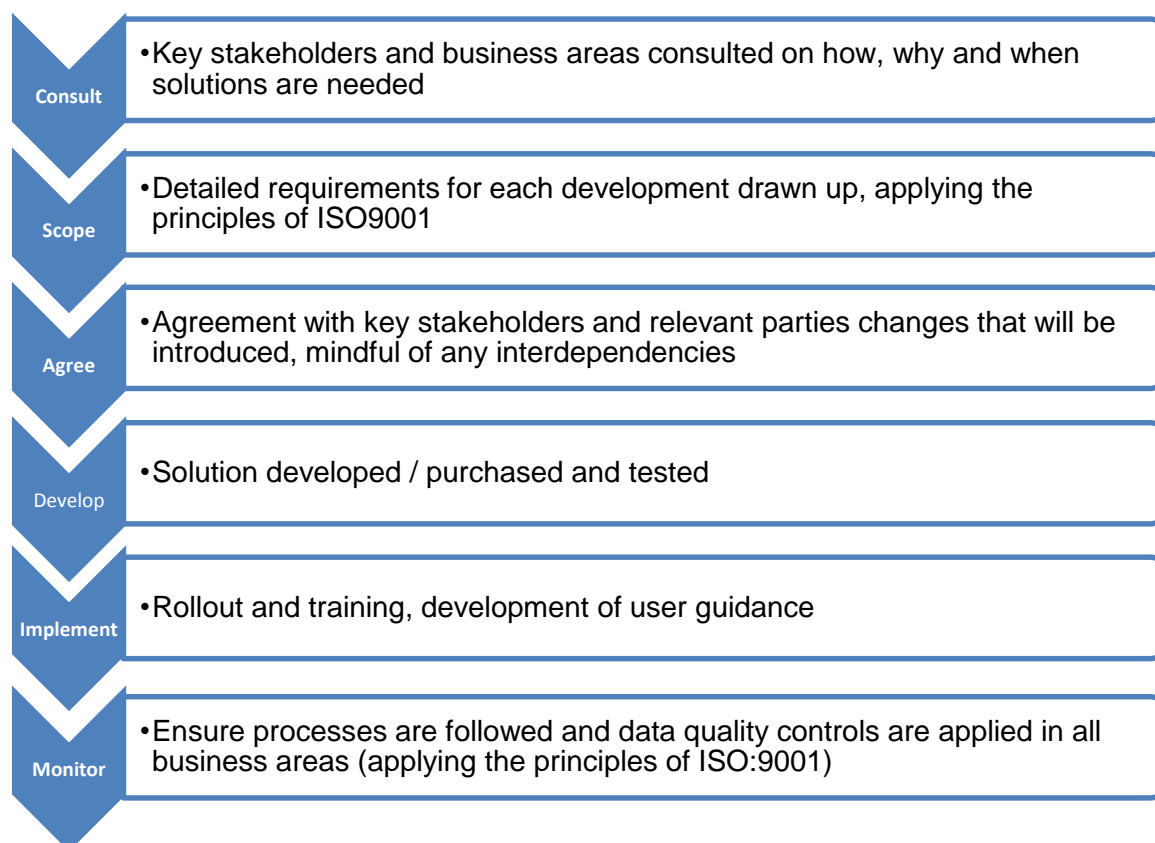
50. **[Exempt information under section 31 of the Freedom of Information Act]**
51. This network is being phased out and replaced by the Public Services Network (PSN). The transition period extends until October 2015. The transition has cost and resource implications which have been considered by BPPB as in order to join the network, we have to satisfy the requirements of Cabinet Office in terms of our governance arrangements (based largely around ISO:27001 controls) and the security of our IT infrastructure.
52. Migration to PSN will offer additional benefit to the Commission over and above that available through the PNN.
53. PSN is the trusted, shared infrastructure that connects increasing numbers of organisations delivering public services to each other and to cloud based and hosted services they can use or share.
54. PSN provides an assured network, suitable for using with information classified as Official (or Protect/IL2 in old terms). All services certified as PSN compliant are pre-accredited to ensure this and so cover the great majority of government requirements. Where information is classified as Official-Sensitive (similar to Restricted/IL3), then PSN can also meet this need with agreed levels of encryption.
55. The transition will require extensive work to be done in relation to our IT infrastructure and may require a new workstream to be established.
56. **[Exempt information under section 31 of the Freedom of Information Act]**
57. The transition has been approved by BPPB and they will sign off a detailed implementation plan once this has been completed.
58. The amount of resource required for this may impact on delivery in other areas.

Additional ICT development

- 59. The areas outlined in this paper do not encompass all aspects of the ICT delivery that is currently being planned. There are a number of business requirements that have already been identified through engagement by the ICT with different workstreams (or ad-hoc requests).
- 60. Programme Directors are reviewing the requests for ICT development to prioritise these for the next business plan. Once the software developments are agreed, they will be prioritising the IT infrastructure changes.

Next steps

- 61. In order to deliver changes, the workstream will require dedicated resource with the right skills and technical abilities.
- 62. It was recognised that the current development and IT teams were not sufficiently resourced to take a proactive, holistic approach to the business requirements of the Commission. There is a high level of demand for their skills so they are largely reactive to requirements and issues that arise. The recent recruitment exercise will address this shortfall.
- 63. Sufficiently resourced, the workstream will be able to deliver systems and developments and provide the support necessary to embed changes, as follows:



Data Quality

64. If we are to invest considerable time and money in the introduction of new systems, we need an efficient way of monitoring how they are used and ensuring that we maintain the integrity of our information.
65. Whilst good progress has been made in relation to data quality, there would be a great deal of benefit in investing additional resource in this area.
66. The ISO:9000 family of Quality Management Systems standards is the internationally recognised best practice in terms of managing quality, (just as ISO:27000 provides a framework for effectively managing information security). Adopting the principles of ISO:9000 ensures data quality is considered when new products or processes are introduced and that these are monitored and reported on.
67. The Commission has in place the governance framework for ISO:27001, which the Information Asset Group (IAG) is key to managing. The two standards are closely aligned in terms of the governance so IAG could potentially assume greater responsibility for data quality by performing the management review (as it currently does for information security).
68. A paper is being submitted to IAG to consider these proposals.

Recommendations

69. We would however be grateful for any feedback the Board has on the contents of this paper.