

Devon County Council Information Strategy 2010-2015

"a good value Council"
audit commission

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Devon County Council Information Strategy 2010-2015

In 50 words:

Information is one of the authority's key assets. This strategy describes how to:

- Keep private information secure
- Hold information in the right format, in the right place, for the right length of time
- Present information in the best ways for the council and the people of Devon

Devon County Council Information Strategy 2010-2015

Executive Summary

This strategy covers three main areas:

- *Keeping private information secure*
- *Holding information in the right format, in the right place, for the right length of time*
- *Presenting information in the best ways for the council and the people of Devon*

Progress and plans

- *Keeping private information secure*

The highest priority in the Information Strategy is ensuring that the personal information held by Devon County Council, including that about the county's most vulnerable children and adults. Information security was therefore the initial focus of the Strategy, with the authority achieving compliance with the international standard (ISO27001) in December 2009. This set of policies and technical controls do not guarantee security, but do reduce the impact and likelihood of information security breaches.

Next steps

Financial pressures have meant that 'advanced compliance' with ISO27001 has not been pursued since 2009. The two main elements that remain to be extended across the organization are the protective marking of documents (those being communicated externally, such as email, in particular) as confidential, restricted and unrestricted, and the thorough management of information within the organization. The former is being applied to users of the GovConnect secure email system, and may be expanded in future. The latter is being improved with the adoption of Sharepoint for collaboration and the increasing use of TRIM, especially for personal records.

Key projects include:

- Protective marking of emails
- TRIM for personal records
- Sharepoint for collaboration

- *Holding information in the right format, in the right place, for the right length of time*

Efficient and effective use of information depends on ensuring that documents and files are named clearly in a standard way, kept in the right format in the right place, and kept for the correct length of time, which most frequently means disposing of what is no longer needed. Superfluous information is an inconvenience, slowing down the running of websites, making data harder to find and posing a demand on resources when documents have to be retrieved in response to enquiries (as under Freedom of Information legislation). Naming conventions and retention schedules already exist and are being applied to DCC documents. The authority already has good ICT applications for information handling, but as well as duplication within the filing systems, not all data are held in the right place – as an example, Livelink is a web publishing application, but one which is used to store documents without the records management that could be applied if they were held in the electronic document and records management system (TRIM).

Next steps

More 'rationalized' information holding is at the heart of the information strategy, It provides 'deeper' security as it reduces the likelihood of sensitive data being disclosed along with uncontentious material, and improves the use of information in decision making as it becomes easier to make public records available to the wider world and easier to learn lessons from the authority's information assets in 'business intelligence'. And reducing the clutter simply improves the efficiency of work. Working to this aim involves the effort to dispose of superfluous information, and moving documents from, for example, paper records of social care into TRIM. It also involves raising awareness of the issues – such as the cost of information storage on paper or electronically and the harm wrought by clutter – so that the gains made in such exercises are not lost over time.

Importantly, this element of the strategy has been developed in close co-operation with the Common Solutions Platform part of the Corporate Business Applications and Solutions Strategy. This prioritizes investment in Document and Records Management, Web technology and Business Intelligence, which provide the key applications for the management and communication of corporate information.

Key projects include:

- Creation of a library of key public data – including, for example, Freedom of Information responses – in TRIM, linked to Livelink for wider publication
- Promoting the sending of links rather than files in email to reduce duplication
- Developing Sharepoint and the LGA Knowledge Hub for collaborative working internally and externally.

- *Presenting information in the best ways for the council and the people of Devon*

Information is a key corporate asset, but is not an end in itself. Whilst the strategy recognizes that there is much work to be done putting Devon County Council's information assets into shape, this is all being done with the aim of using the data to provide the best services for the people of the county. The changes brought about in local government by the coalition government's policies, notably in responding to the financial pressures since 2008, mean that whilst the council is *doing* less, the need for information has become greater than ever. This is particularly clear in relation to commissioning.

As a 'commissioning organization', market intelligence is at the heart of the authority's activities. This means understanding demand – in particular this means the numbers and characteristics of people in different communities of place or of interest and what can be found out about their wishes from consultation; this has long been a focus of local authority statistics. In addition, Devon will also have to act as a broker of information about 'supply' – who is able to provide the services wanted at what quality and cost – and with the aspirations to a 'big society' the providers may well be in the voluntary and social enterprise sector, rather than private providers or direct provision by the state. Such information will have to be supplied for the council itself, its partners, communities and individuals, all of whom will have a role in commissioning services.

Such information will have to be characterized by flexibility, and information technology, especially on the web, is now capable of enabling the huge quantities of data being created from traditional sources and increasingly from social media to be manipulated in a huge range of ways. Open data, common standards and the ability of the web to 'mash up' data from different sources are presenting a new vision of information for customers. This notion of the 'armchair auditor' is replacing the previous performance regime based on targets.

Key projects include:

- Provision of flexible, open data about communities in Devon
- Using social media as a source of valuable insight
- Profiling services user to provide the most efficient services
- Publishing local expenditure and all expenditure over £500
- Application of 'business intelligence' technology to join up administrative systems and provide dashboards for decision makers.

Foreword

All activities undertaken by Devon County Council involve the flow of information, and rely on the right information about the county, people and performance to work well, and as the custodian of information about more than a million people, we have a duty to ensure that we hold personal details securely. This strategy will help us to understand the information we have, treat it appropriately and communicate it effectively. It will cover the period 2010-2015 and will guide the authority towards treating information as one of its most valuable assets.

Aims of the Information Strategy

The aims are presented in three phases.

Phase 1

Devon County Council has the governance structures in place to manage information and improve its handling

The information Devon County Council holds about citizens is **secure**

The key information for Devon County Council **service provision** is available to the right people

Phase 2

All information should be 'rationalized': held in the right place, without duplication, properly catalogued and available to the right people at the right time

Information is **shared** swiftly, safely and appropriately with partners

Phase 3

All information used is accessible in a form that makes it useful for customers, both citizens and public decision makers

The phasing of these aims is based on implementation, rather than importance. It recognizes the capacity to make improvements and the needs to address public concerns about data protection and to ensure that services can allocate resources effectively in the first phase; the large job of getting the authority's information in order is in phase 2; making all Devon County Council's information work hard for the public benefit is the ultimate aim of the strategy.

Position at the start of 2011

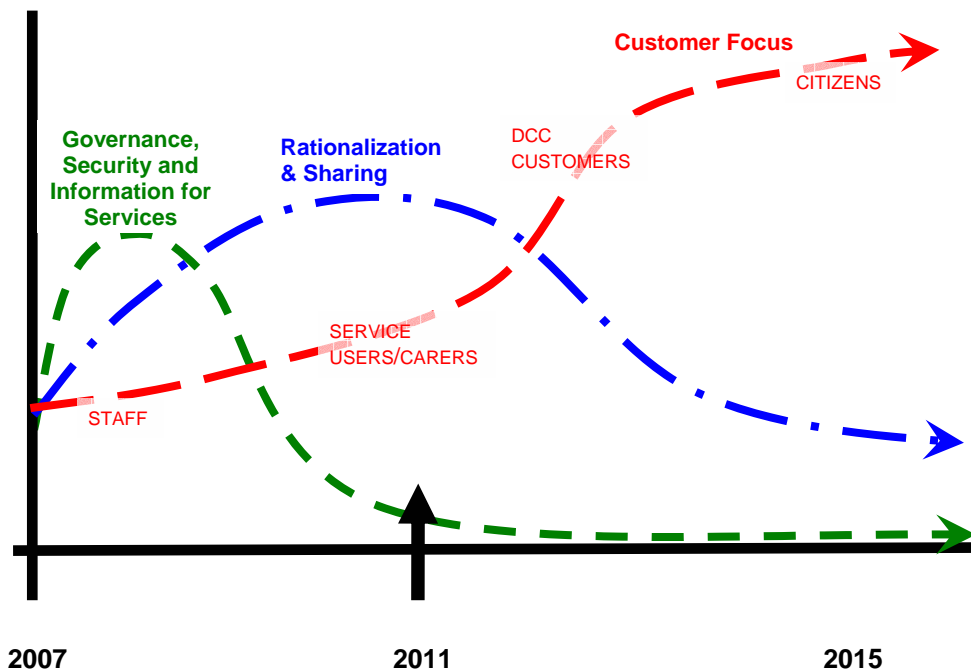


Figure 1
Indicative effort and time in the three phases

Progress

Phase I: Governance, Information Security and Information for Services

It was identified that making progress in the use of information would require a clear decision making process. Reflecting the link between information and ICT, the effectiveness of the emerging ICT governance structures and a simple desire to reduce the number of meetings, information governance was grafted onto the existing ICT Programme Review Board. Two lower level groups were also set up: the Information Strategy Forum (ISF; covering the implementation of improvements in information) and the Information Governance Forum (IGF; covering the regulation and standards of information handling). This structure was linked closely to the then six directorate structure, and will need to be reviewed in the new two 'directorate' shape of the organization. At the time of writing (February 2011), strategic information matters are being handled by 'Workstream D', the board overlooking supporting strategies in the new organization; its longer term position will need to be reviewed when the new structure has become more bedded in (during the 2011-12 financial year).

Already a priority for DCC before the loss of HM Revenue and Customs data in November 2007, information security has become ever more prominent in recent years. Devon County Council achieved compliance with the international standard of information security (ISO 27001) in December 2009, with the proviso is that 'profound' information security requires a clear, precise and accurate cataloguing of all information held in the authority, and that is dependent on much further progress under 'information rationalization' (below).

Information for services has focused strongly on providing joined up information about the 28 Devon Towns and Exeter. This has benefited from the review of the Children and Young People's Plan and the Health and Social Care Joint Strategic Needs Assessment, which have provided vehicles for the information to be used and for requirements to be discussed. The Place Survey (published 2009) provided an important additional resource on public opinion at this scale, backed up with national comparisons. The JSNA offers a model for Devon County

Council's likely future as a principally 'commissioning authority', which will be applied much more widely to service provision as a whole. However, involving local communities will require that the county council uses community boundaries that are meaningful on the ground, and will need to include other geographies (such as the Blackdown Hills and West Exe) as well as 'communities of interest' (such as people with disabilities).

Requirement for the Information Strategy

Full implementation of the Information Security project is dependent upon information rationalization, information for services needs to reflect more strongly community involvement, and the governance structures need to be assessed in the light of corporate demands ahead, but essentially Phase 1 can be considered complete.

Phase II: Rationalizing and sharing information

Rationalizing information

In summary, the rationalization and sharing phase means, 'knowing what information we hold, and treating it properly.' It is the information management at the heart of the strategy, facilitating the safekeeping, use and publication of all DCC's information. Applying consistent standards is made difficult by the diverse range of activities undertaken by a county council, often answerable to different inspection or supervision regimes.

In a more extended form, rationalization can be seen as the application of 'information architecture' – the rules that need to be applied to information of different sorts. As these are of particular importance for information held electronically, this has been developed in close cooperation with ICT's enterprise architects, and sits alongside the corporate ICT strategy. Much of the implementation sits with the Corporate Business Applications and Solutions Strategy, notably the commons solutions platform for the web, document management and business intelligence. The classifications of retention, security and criticality have all been established, and existing, nationally agreed, naming conventions are re-published internally. However, the responsibilities of information owners are only recently being enforced, and then only for the biggest or most critical datasets, so these standards are not routinely applied to the mass of information holdings. Improvements have tended to be ad hoc, taking place where there has been particular willingness to participate, as in legal services or payroll, or where a pressing need has been identified, as in child protection and adult social care. This does, of course, match the importance assigned to service user data at this stage in the strategy.

Ofsted has highlighted the importance of managing information in the case of children, especially those subject to a child protection plan. Making improvements has required a thorough audit of what information is held, a shift from the mixed use of paper and electronic records to electronic document and records management (EDRM), and a review of the information handling processes. This has represented a 'step change' in the scale of EDRM use. It has highlighted the importance of linking information to process and of involving front-line staff. An early step in the implementation plan will be applying techniques already learnt more widely in children and young people's services. In addition, *Master Data Management* has been applied to information about children on five different databases to raise quality, ensure consistency and above all to reduce the risk of vulnerable children 'falling through the net'.

The apparently imminent prospect of fundamental organizational change – at various points a unitary Devon, separation of Exeter from the rest of DCC and two unitary pattern – has held back a thorough-going overhaul of information holding in the authority. At the time of writing (February 2011) there seems no prospect of change of this sort, but equally fundamental transformation *is* taking place as a result of public sector funding cuts. These changes – with DCC being more concerned with the commissioning of services than their 'doing' – will mean that information (about types of need, availability of resources and customer satisfaction) becomes the lifeblood of the new organization. The divestment of services will make the remaining body more streamlined and the application of consistent standards both easier and more important.

Information sharing

Information sharing can be of (broadly) three forms. At the simplest level, aggregated data can be shared to help understand the policy context, as has happened for many years under the banner of the Devon Intelligence Network. At a more integrated level, disclosive, personal information can be shared between agencies. At the highest level, it is possible to join computer systems to have direct sharing of personal data. Whilst the immediate risks of failing to keep information secure are immediate and obvious, the failure to share information can be catastrophic, as illustrate by the Climbié, Baby Peter and Soham cases. Much progress has been made, notably under the aegis of the Children's Trust and the practicalities of joint working between Adult and Community Services and the Primary Care Trust. Detailed guidance on sharing has been produced on the staff intranet (['knowing when to share'](#)). There is still much work to be done in improving the overall corporate picture of sharing. This is also a matter of importance to the Devon Strategic Partnership as a whole, although development of the Resource Hub has been held back by the uncertainty of Local Government Reorganization.

Requirement for the Information Strategy

The form of the new, 'commissioning' Devon County Council is yet to become clear. On the positive side, when new structures are being built there is an opportunity to include good information standards; on the other hand, a period of disruption may lead to some ad hoc decision making.

The information standards described in the strategy are unchanged, and change is not required in this aspect. Their implementation, which is not touched on in detail in the strategy, requires new material, such as the policy on information holding in new delivery models.

Phase III: Customer focus

A key requirement of information in Devon County Council is that it should be able to support the provision and commissioning of better services, with resources allocated appropriately and reflecting the needs of the communities. As described under Phase I, the 'quick win' was to provide accessible and widely used information about Devon towns to help in resource provision. The greater challenge for Phase III is to develop a single coherent picture that takes accessible statistics and adds:

- Information from customers, such as enquiries to the Customer Service Centre, including comparisons across different channels; complaints may be a particularly valuable source
- Administrative data and business intelligence
- Information from the wider public through engagement and consultation, including listening to conversations in social media
- Performance and cost data for directly provided and commissioned services so that improvements can be made

The direction of travel diagram presented this as a process moving outwards, with a single, consistent staff directory the priority, followed by a picture of immediate service users, then 'customers' with occasional dealings with DCC and finally the public who could at some point fall into the other categories. In practice, children subject to a child protection plan (service users) were the first case where master data management was applied; the appetite for a big database of the public (in its own right) seems less than when the strategy was being developed, although similar data integration may need to be pursued as a way of ensuring data quality.

The coalition government also sees a role for customers as 'armchair auditors', and thus taking on the role of performance management for local authorities. In order to do this, information will increasingly need to be published in 'open' formats (such simple text and comma-separated-values files) so that they can be reused in a variety of ways.

In the near future the expected reductions in public sector spending are likely to mean that a thorough understanding of public demands to be placed against available resources. The authority is likely to become increasingly a commissioner and enabler rather than a direct provider of services, often in conjunction with partners such as the NHS and voluntary sector. The work already undertaken in the Children and Young People's Plan and the Joint Strategic Needs Assessment provide a valuable model for how this could work. Other smaller scale work - such as the household analysis of pot-hole complaints to the Customer Service Centre and providing work for performance clinics – demonstrate the type of activities that can support better service provision. The 2009 performance clinic on Newton Abbot – bringing together the widest possible set of information from performance and service data, expenditure, public opinion, published statistics and 'the blogosphere' – demonstrated the difficulty of assembling 'business intelligence' about communities from information sources as they currently exist: the rationalizing information element of the information strategy will be required to deliver information that can be used for this purpose with much less effort.

Requirement for the Revised Information Strategy

A clear focus on using information to improve services and public perception is dependent on a rationalized and well structured body of knowledge in the authority. It is for this reason that 'customer focus' is in the third phase of the strategy. The revised strategy will, at least, need to develop ways in which findings from engagement and public opinion, such as the Place Survey, can contribute to service improvements, and in a time of austerity, the allocation of limited resources to the best effect. It will also be important to collect knowledge from less structured engagement with the public, such as in social networking websites, to improve our understanding. Finally, the strategy will also outline ways in which demand for evidence – from members and senior decision makers – can be cultivated.

Developments and changes since the preparation of the first strategy and the 2010 review

Political

- The prospect of local government reorganization has grown and receded repeatedly over recent years, being almost removed as a prospect in 2010.
- There has been a change of administration in the county since the first strategy, and there is a clear emphasis on creating a business-like, corporate council.
- There has been the election of a new central coalition government in 2010, producing changes in the approach to the overall function of local government, local accountability and transparency. In combination, these factors have led to DCC setting out to become a more 'commissioning' authority, with much of the 'doing' (and *some* of the associated information) being divested.
- Rather than the Audit Commission being the focus of local government accountability, the emphasis now is on providing data in a transparent form for members of the public to act as 'armchair auditors'.
- Local Area Agreements and their associated national data sets have been removed. At the time of writing the government is consulting on the creation of a new single data set, intended to 'lift the burden' of reporting to government.
- Information security is no longer a matter of central inspection (by the Audit Commission) but one of local accountability.
- Changing the powers of local government has involved a drive towards 'localism', in which more decisions are intended for local communities to take. The county council has also taken on economic development responsibilities from the Regional Development Agency in similar devolution.
- The government has introduced plans for the radical overhaul of NHS structures, notably the replacement of Primary Care Trusts with consortia of GPs organized at a sub-county level.

Economic

- The economy entered recession in 2009, and the measures taken to deal with its impact have led to a severe weakening in public finances, with the coalition government making a reduction in the public deficit its priority. This strengthens the need to make information management cost effective but limits the ability to make capital investment that can provide savings in the longer term.
- With limited resources, it will be even more important to have information to set priorities, and to keep the public informed about and engaged in decisions.
- The county council has inherited economic development functions from the Regional Development Agency, and is likely to want to maintain the currency of the Local Economic Assessment required under the previous government.

Social

- Information security has become a far more prominent topic of public debate, with less trust in 'government's' worthiness to hold personal information. This has been expressed forcefully in the local press. There is also parallel public concern about a 'surveillance society'.
- The Baby Peter case has raised even further public scrutiny of children's social care, not least in the sharing, management and retrieval of information.
- The public, along with the press and political and other lobby groups have increasingly used Freedom of Information legislation to pursue enquiries, often in complaints or disputes. The burden of dealing with these enquiries makes it more important to take a strategic decision to make available information wherever possible, but also makes it harder to free the time for such work.

Technological

- Developments in computing have continued rapidly, and an increasing proportion of the population are 'digital natives'. Access to information via web technology (not only on the internet), has become commonplace, and Google has transformed public

approach to finding data. More and more information is now held 'in the cloud', which potentially raises new questions around access and security, with information on the web increasingly re-used in social networking and 'mash up' sites.

- Social networking has gone from strength to strength, with Twitter becoming a strong alternative to email.
- The corporate ICT strategy (2010-2015) has been approved, along with the Corporate Business Applications and Systems Strategy. These includes a number of principles and priorities that build on and reinforce the existing Information Strategy.
- DCC has successfully applied CDI (customer data integration, or 'master data management') technology to join up information in databases about children, raising their quality and consistency, and helping prevent children 'falling through the net' of multi-agency working
- 'Sharepoint' has been introduced (although not yet widely adopted) and the rapid expansion of TRIM for child and adult social care records has meant that there are now clear corporate applications for collaboration (Sharepoint) and records management (TRIM). This brings closer a clear distinction between the (agreed, definitive) business records and collaborative documents ('work in progress'). Keeping such information in the correct places helps the rationalization process, and the introduction of the new 'desktop' will provide opportunities to provide guidance in better information management.
- DCC has a new voice and data network, which will enable the faster flow of more information, in many different formats (such as video) around the authority

Lessons learnt from the strategy so far

In broad terms, the principles of the information strategy remain valid, and it is argued, the priorities for implementation have been largely correct. However, lessons have been learnt in implementation that will need to be applied to the new version.

- Changes can be made most effectively by viewing services from 'beginning to end'. As a counter-example, simply scanning paper records in an unstructured way may seem to make savings in physical storage, but may destroy their legal admissibility, make it harder to retrieve information and miss the opportunity to dispose of records past their retention times.
- Transition costs - in training, implementation of ICT applications, managing change, improving business processes – must not be underestimated.
- Similarly, costs need to be assigned to those who will benefit, and if the benefits are collective or corporate, then they need to be taken on corporately. Only in this way can the 'tragedy of the commons' be avoided.
- Channels of communication need, at some level, to be treated together. If collective benefits can be realized by shifting transactions from, say, telephone to the web, then both must have a stake in making the change if it is to happen.

The changes outlined here, and lessons learnt, strengthen the arguments underlying the Information Strategy and reinforce the 'extension' than significant revision presented here.

Principles

'Primacy of the Principles'

These principles of information management apply to everyone within the enterprise, and include partners as far as possible

Principles of Information Management and Use

Information should be treated and managed as a corporate asset like property, money and people and should be used to maximize benefit to the business.

Information should have clear custodianship, to maintain security, accuracy and currency, and to reduce risk, but be acknowledged as belonging to the whole council, with information management being a part of everyone's business.

Information should normally be held electronically when possible, using corporate information management solutions.

Information should be held securely to maintain trust between the County Council and public.

Raw 'data' can be joined together to produce 'information', which when disseminated can be classed 'intelligence', but this is of most value when developed into the 'knowledge' implicit in improvements to service, as when shared with communities

Data should be used to provide automatic 'situational awareness', with exceptions and dangers to be made apparent as quickly and easily as possible

Information management can be transformed by ICT, but to be truly effective it also requires a culture of learning to exist across the organization, with clear leadership from the top

Information should be made accessible within DCC and to partners and the public unless there are personal, commercial or practical reasons to keep it confidential

Information should be shared with the minimum effort: it should not need to be an extra burden on staff. Ideally, this should be of original 'working' documents rather than re-publishing information on the web. After the initial investment, this provides better information for less effort.

Public information should be made available in simple, 'open' formats so that it can be re-used and 'mashed up'.

Information should be clearly signposted and classified, including its level of sensitivity, so that it is shared in useful ways with whoever is appropriate

Information should be transformed into imaginative formats to engage more effectively with the audience: for example, dry databases can develop into pictures, graphs and animations

Information should, where possible, be tailored to the appropriate audience, including personalization where appropriate, to encourage participation

Where possible information should be 'tagged' with the location of the services to which it relates.

Users – including members, partners, service managers and the public – should be encouraged to ask demanding questions from the authority's information resources.

All elements of information quality should be subject to continuous improvement

Principles of Implementation

Enhancing the use of information is a corporate matter to be dealt with corporately, not negotiated bilaterally between Strategic Intelligence and other sections and directorates.

Priorities for implementation should be set corporately and not determined by intensity of lobbying or level of recharging.

Any stage in the process should be fully resourced, usually requiring commitment across directorates, rather than spreading resources too thinly.

Information should be managed to support new ways of working

Implementation should learn from best practice

Standards for data cataloguing, retention, deletion and security exist, and Devon County Council should continue to adopt existing national standards in order for its information to be compatible with others, as well as building on the skills and tools that already exist in the authority.

Scope and classification

In principle all information held and used by DCC could be within the scope of this strategy, but in practice limits must be set. The corporate catalogue of Devon County Council's information is in the Information Asset Register. A number of criteria can guide the scope:

Personal data take priority for EDRM	<p>Sensitivity</p> <p>There is a simple division between 'public' information and that relating to people or businesses or subject to copyright that has to be held private. No information is 'out of scope' on the basis of its security status, but for compliance purposes the more sensitive and personal data – especially for the most vulnerable members of society in the council's care - take priority.</p> <p>Projects include:</p> <ul style="list-style-type: none">▪ Classification of major information assets and ICT applications on the basis of sensitivity▪ Protective marking of emails
Critical data need to be held where they can be retrieved quickly	<p>Criticality</p> <p>Information can vary in its importance to the running of the county council. Some, such as reception telephone numbers or contact details for staff needed in emergencies, may sometimes be of vital importance. They may be needed for particular services, or be 'mission critical' to the entire authority. 'Criticality' is closely related to the speed with which any information should be recovered after a disaster, and indicates the frequency with which particular information risks need to be assessed.</p> <p>Projects include:</p> <ul style="list-style-type: none">▪ Disaster recovery plans▪ De-duplication of data to speed back-up and recovery
Joining up data can make the whole greater than the sum of the parts	<p>Subject matter</p> <p>No information is 'out of scope' on the basis of its subject matter, but where the 'internal' handling of information is retained within particular County Council functions, such as, say, financial data then it may well exist in discrete and well-managed ways that need little corporate attention, in their 'inner workings'. However, where these come into contact with information from other sources, such as financial data concerning a contract need to be linked to the terms of the contract, then the correct use of terminology so that they can be joined together is very much within the terms of this strategy. The development and strengthening of DCC's information assets - making the whole greater than the sum of its parts - relies on making these joins between existing administrative datasets.</p> <p>Projects include:</p> <ul style="list-style-type: none">▪ Integrated search technology▪ Naming conventions and standard category lists

Information is generally best held electronically	Format	<p>Some subject specific information is held in particular software systems. For example, Prism holds payroll data and Finest holds financial data. These software packages are generally designed for their specific purpose and have safeguards built in. Particular care needs to be exercised, though, when the information is taken from their specialist applications to be used elsewhere. Much information, of course, is also still held on paper. Other things being equal, information held electronically can be manipulated more easily than paper, and this is generally the preferred format. No information is excluded on the basis of its format.</p>
	Projects include:	<ul style="list-style-type: none"> ▪ Storage policy for paper records ▪ Retention schedules
Core data relate to core county council services	Closeness to the County Council	<p>Partnership is an essential part of local authority working. In general, the closer an information asset is to the core functioning of the organization then the more care and responsibility must be taken by DCC. Such information is often 'enterprise information', such as addresses, that are used many times in different services. There is a clear, but not exact, relationship to criticality. In some cases that core work may be itself very much about partnership, such as the relationship between social care and health. Information is often at its most vulnerable when being moved (in whatever format) from one organization to another. When the partnership is more hands off, such as being contracted out, DCC retains the need to make sure that contracts include clear statement of information security by the contractors.</p> <p>Information held by partner organizations for their own purposes is out of scope of this strategy. However, this strategy does address the security of DCC's information being shared with partners, and the use of partners' information under the auspices of the Devon Strategic Partnership.</p>
	Projects include:	<ul style="list-style-type: none"> ▪ Managing the scope of Freedom of Information ▪ Information sharing protocols
Some data will be divested along with the services	<i>Divested bodies</i>	<p>With much of the 'doing' by the county council set to be undertaken by divested bodies or as part of shared services, or commissioned from the private or voluntary sector, information will need to be overseen in a greater variety of ways than in a more unified organization. For this reason guidance and policy on information in new delivery models has been produced as part of this revision of the Information Strategy.</p>
	Projects include:	<ul style="list-style-type: none"> ▪ Management and security of information in divested bodies
Information should not be kept longer than necessary	Permanence	<p>A two way division of information can also be between working documents, designed to be superseded by a finished product, and agreed minutes of meetings, evaluated job descriptions or records of financial transactions</p>

that can be treated as final versions. For convenience, these two broad categories will be referred to as drafts and records. Table 1 summarizes these categories' different attributes.

*Table 1
Classification of data*

	Private	Public	<i>Need to be:</i> ↓
Drafts	Sharepoint		SHARED
Records	TRIM	TRIM-web integration	MANAGED
<i>Key attribute</i> →	SECURITY	ACCESSIBILITY	

	As a third category, much information used in DCC is ephemeral: a conversation in a corridor may be useful and constructive but is unlikely to be 'captured' and filed. However, the use of email has meant that such transitory information is captured and held indefinitely in electronic form. When no longer needed such information is best disposed of, or it is useful, recorded in an appropriate form.
	This strategy seeks to remove the clutter of the most transitory and sift working documents so that collaborative working is done most effectively, removing what is no longer needed and storing finished documents (now records) in a secure but retrievable way.
	<p>Projects include:</p> <ul style="list-style-type: none"> ▪ De-duplication of electronic document storage and website ▪ Introduction of collaboration software and extranet ▪ Integration of TRIM and Livelink; and Livelink and Sharepoint ▪ Creation of 'corporate library', containing key records

	Structure
Both structured and unstructured data can benefit from de-duplication	<p>There is a usually clear distinction to be drawn between information which takes a regular and repeated form ('structured') and that which is, essentially, a 'one off'. The former includes regularly filled in forms on the web, or that associated with standard processes such as assessments or inspections. Structured information is likely to be found in specialist, or at least customized, IT systems, such as CareFirst or Mandoforms, but there may be benefits in joining different systems together. The benefits include automated updating, or raising to the level of the highest quality, or combination to provide a more holistic view of their relationship. Unstructured information includes, for example, this document, which has been written in a standard software package (Microsoft Word) that determines its technical structure but not its contents. This strategy affects such documents in that it seeks to have them held in a secure, or retrievable, place (or both), where they can be worked on collaboratively if needed, and to reduce their unnecessary duplication.</p>
	<p>Projects include:</p> <ul style="list-style-type: none"> ▪ 'Master data management' to ensure data quality in children's databases ▪ Introduction of collaborative software and increased application of records management ▪ Use of 'workflow' to reduce duplication and speed processes

These categories are the most significant in differentiating between different ways of treating information.

Information Action: Collection

Information management begins at the point that it is 'collected' for use, whether from internal sources or brought in from outside.

Data from administrative sources, including sensitive data.

Information should be collected with the minimum of imposition on those who are using it in their day to day work, and should never be collected when the effort in doing so is greater than its value in improving services. Collecting sensitive data to provide updated contextual or performance management information should only be done in a properly anonymized and aggregated form. The frequency of collecting data will depend on the nature of the service and its variability; annual collecting will be the norm. When possible, the collection of information should be automatically derived from administrative systems. Where appropriate, administrative data should be tagged with the appropriate metadata so that they can be stored, retrieved and exchanged effectively. Such regular retrieval of information about the provision of services creates the business intelligence needed to respond to changing needs.

Data should be collected to reflect, and understand, the diversity of the county, reflecting, as appropriate, the distinction between rural and urban, gender, age and other categories such as ethnic origin, nationality, language, disability, religion or belief and sexual orientation (only where appropriate). There is existing guidance on service user diversity monitoring. We should also collect diversity data about customers and service users in order to respond to their needs. These data include information on diet and religious or cultural needs, or the need for written correspondence to be in large print.

Information should be collected by divested bodies (or similar) in the new delivery model to the same standards as by DCC directly. It will be necessary for the county council to ensure that the requirement to adhere to these standards is stated in the contracts and other documents setting up the activities on the authority's behalf.

Data from surveys and consultation

In general, for regular monitoring and performance management, administrative data are to be preferred to information that is collected from surveys because they are more distant from the provision of service and usually have higher costs in collection. However, it is sometimes necessary actively to seek out such information, especially on perceptions as measures of public satisfaction rise in importance. Such data were important under the previous government (as in the Place Survey) but have been removed as a way of judging local authorities under the coalition. However, with the prospect of a national 'wellbeing index', and the rising importance of localism, it is likely that similar information will need to be collected by survey. These data need to be tagged with the same metadata as other information so that they can be combined together. In order to provide better services, it should be available alongside information from other sources in the same format.

Performance management data.

Performance management data are needed for external reporting and for the improvement of service delivery. Performance management data should not be artificially separated from contextual or other data, but in order to lead to improved performance these data do need their own clear position: in DCC and the Devon Strategic Partnership performance management information is held in Spar.net. At the time of writing (February 2011) the picture on performance data under the coalition government is unclear. The consultations on proposals to 'reduce the burdens' of data reporting on local government have only just been completed and the outcome is unknown. The emphasis on local accountability is likely to mean that information will need to be published by the authority – almost certainly in 'open' formats' – so that it can be used by 'armchair auditors'. DCC will seek to develop indicators that are meaningful in performance terms and to the general public, and which can be collected with the minimum burden on service providers. Some information will almost certainly be needed from divested or commissioned service providers as part of contract management by DCC.

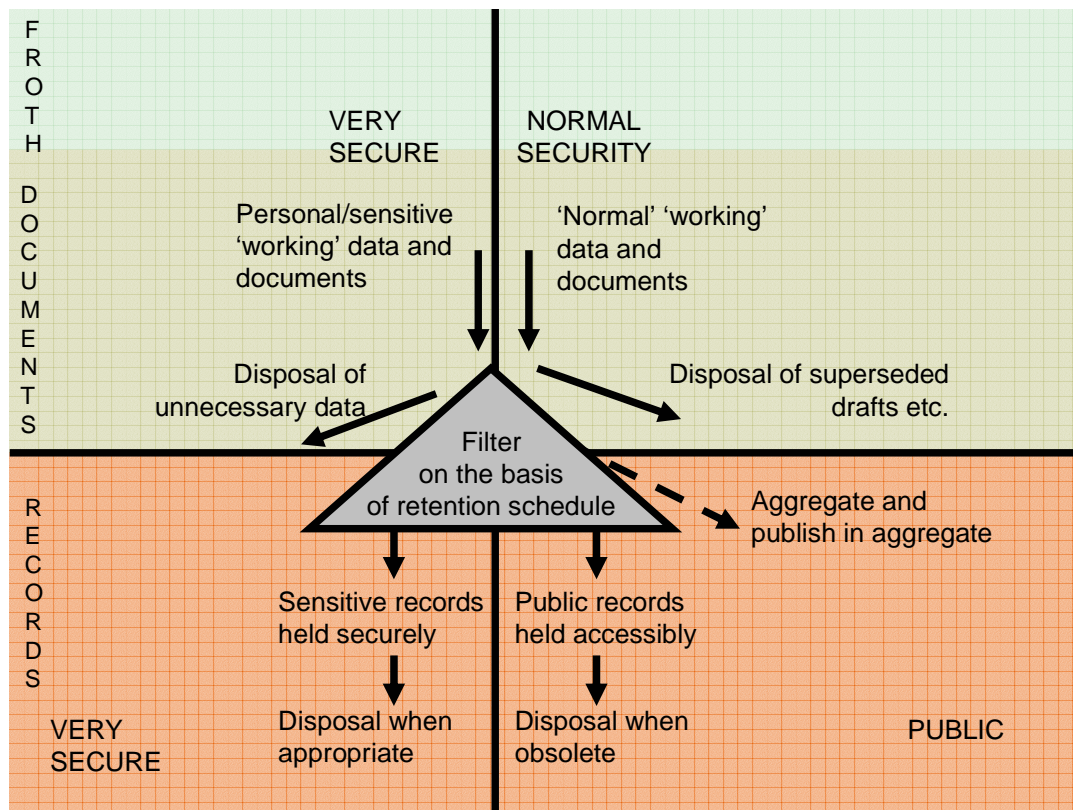
Quantitative data from outside the organization

The main sources of 'official' data are the Office for National Statistics and Ordnance Survey (as the principal supplier of digital mapping data under the Mapping Services Agreement). In addition, DCC has bought information from external sources, such as Mosaic geodemographic data, the Devon economic model and CACI income data. Partners' data may also be invaluable, such as the use of PCT patient registers as proxy measures of the population.

Information Action: Management

The diagram below shows the relationship between working documents, the 'filtering' process and then secure storage (or disposal) and communication. The three layers reflect the 'cappuccino model' of DCC's unstructured information, in which ephemera are included in the 'froth'; collaboration takes place in the 'espresso' layer and below that the 'grounds' represent the relatively small, but hugely important, element of records of decisions and transactions. For some processes, which are largely represented by structured data – such as requesting a 'blue badge' – the information has the status of a record from first contact. The aim of this model is to present, and thereby help enable secure collaborative working on draft documents and then provide the right place to put the outputs. This is covered in more depth on the section on information rationalization.

Figure2
'Filtering' data and records



Information Action: Communication

Over time, communication of information, like its collection, should become more and more an automatic part of council working and less and less a responsive service. Any 'public' information should be kept in a way that is potentially accessible to the public (overwhelmingly this will be on the web), whereas confidential – and especially personal and sensitive data – should be held securely and clearly stated as such. An agreed disposal schedule needs also to be part of this regime.

As an example, ultimately, there should be minimal effort devoted to responding to Freedom of Information requests (and general enquiries), because all such information that can be provided should be both publicly accessible and easily retrieved. In the shorter term, information should be published on the basis of public interest, assessed from enquiries and implemented in accordance with business process re-engineering.

Coalition government policy, and the wider adoption of open standards such as XML, means that there are increasing opportunities to publish data in an almost raw form (subject to data protection restrictions) so that they can be re-used. There is still a role for the county council to present information in an effective way, but there is an increasing array of tools for the analysis and presentation of this raw information on the web.

Whilst the web has many advantages for the publication of information of this kind, it cannot be forgotten that perhaps 25% of the population does not have domestic access to the internet, and meetings and the press will continue to be important means of communication.

Service based audience (Devon Towns)

DCC is responsible for providing services to the population, but does not have unlimited resources to do so. It is therefore important that information is catalogued and presented in a form that supports efficient, focused service provision. This may take a variety of forms, but a general principle is that providing data at the geography of the 28 Devon towns and Exeter, given that these are local enough to be meaningful but large enough to generate (generally) statistically significant conclusions. The towns are also, of course, often the service centres of their hinterlands. Since the first information strategy it has become apparent that a better service might be provided by less detailed, but more frequently updated, information. Whilst this is a good, 'general purpose' geography, it does not meet all requirements, and similar-sized units - secondary school catchments (such as Chulmleigh – not a Devon Town), library catchment areas or others – will also need to be created. This reinforces the need to tag information to the most precise location possible so that it can be aggregated in different ways.

Public

Responding to customer requirements

Some provision of information to the public is to direct questions, and it is right that reasonable efforts are made to answer questions. Customer questions should be recorded and monitored to guide the provision of information to the public, on the web as the most cost effective communication channel, but also to inform the contents of leaflets or at public events. This is perhaps less significant for service provision overall than monitoring the nature and effectiveness of customer contact in transactions, including complaints.

Web

The main channel for providing information to the public has, over the last 10 years, become the web. The web has its own DCC strategy, of course, but information within the scope of this strategy relates to this. The common solutions platform identified in the CBASS document brings document management, business intelligence and the web together.

Notably, the information needs to be provided at standard geographies, notably the Devon towns, in order to relate to public expectations. This includes tagging data and documents in the corporate records library with the right metadata so that the public can find information with the least effort from searchers and providers alike. Although the accessibility guidelines for websites are the responsibility of the web team, the whole authority needs to be mindful of them, and to consider how information can be communicated without discrimination. The clearest opportunity for using the web to transform the information available to the public is to make a technical link between the 'public' records in the DCC records management system and the web site.

Coalition policy sees transparency as central to accountability. As stated elsewhere, this involves increased publication of raw data in 'open' formats.

Public Engagement

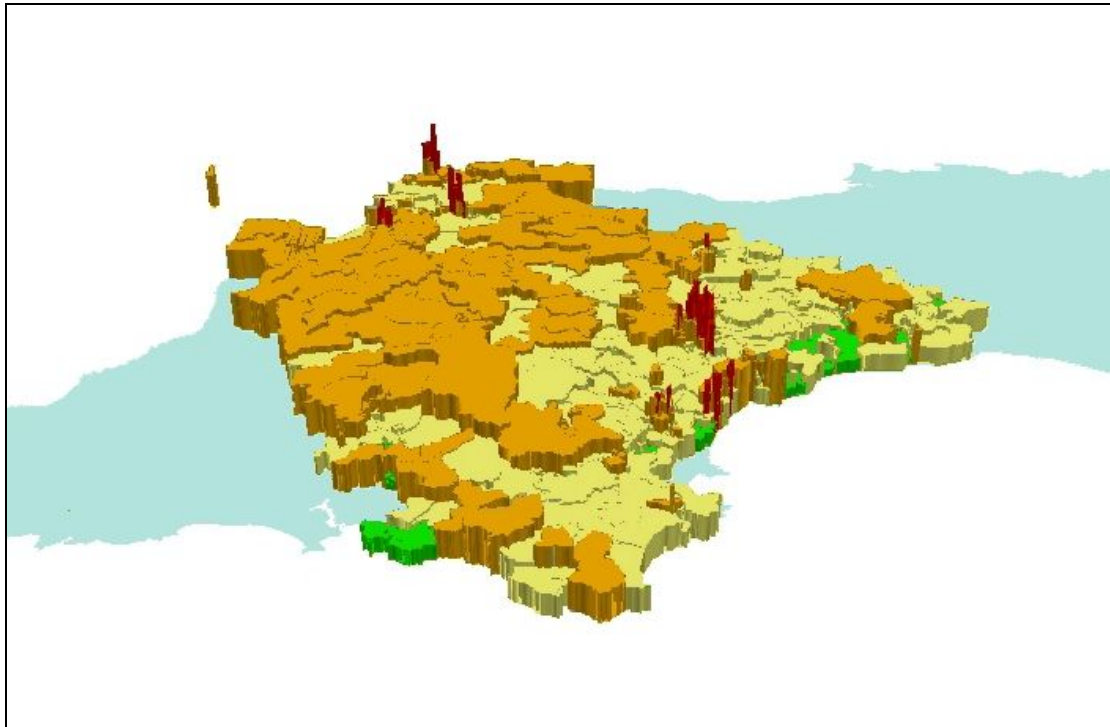
Provision of information to the public is not about simple, passive supply. Used properly, in the right context, statistics can be part of a productive dialogue between the local authority (and public sector more widely) and communities. Providing raw statistics can help stimulate discussion and help communities set priorities in context, and then supplement consultation findings with qualitative local knowledge. Such information can be combined with knowledge of local activities and action plans for genuine community engagement. Government policy increasingly stresses such engagement, and in a time when resources are limited it is of even greater importance that communities are involved in setting priorities and where appropriate, in the 'co-production' of services.

As representatives of the public, members are a particularly significant audience, and a constructive and challenging dialogue between them and the providers of statistics and evidence will be of great value.

Innovative Presentation

Maps, animation and interactivity are all increasingly easy to produce, and can, in the right circumstances, enable information to be communicated far better than more traditional, 'dry' methods of graphs and tables. The move towards more open data is encouraging IT developers to use different ways to present and combine data in ways that can make it easier to draw out the stories behind the data.

Figure 3
Deprivation in Devon shown using an 'extruded' map – the height of the columns reflects intensity



The example above is an example of moving beyond the more usual choropleth map to represent the severity of deprivation by colour and height of the prisms. This is an effective way of presenting the broad level of moderate deprivation (especially in access to services) in large areas of rural Devon, a general north-west to south-east pattern and the concentration of the highest rates in the centres of some urban areas. It also picks out small neighbourhoods, such as Townstall in Dartmouth, where there is deprivation well above the general surrounding rates, but not sufficient to move into the next highest category.

Context

Legal context

Freedom of Information Act 2000

Unless certain exemptions apply, it is an obligation for DCC to make its information available to the public under Freedom of Information legislation, and to inform the public of what there is in a 'publication scheme'. This means that DCC has a powerful motivation to be able to identify what information is public (and to make it public) and what is private, sensitive or both (and to hold it securely). In this context, 'holding' does not only refer to storage in accessible locations: it can also mean disposing of information. If information is disposed of under an agreed retention schedule then the authority cannot be censured for being unable to provide it under FOI. This can lead to significant savings of storage (paper or electronic) and on searching for information. It also reinforces the need for a clear distinction between finished documents (records) and working documents that are not in a finished form.

Ultimately, there should be 'no FOI requests'. This is because the goal is to classify all public electronic information in a form and location that is searchable across the web, or all those that are sensitive should be held in a secure form away from public gaze (although its existence will appear in the Information Asset Register). Therefore any FOI inquiry can be answered by the inquirer searching the web, or by DCC staff searching the web on the inquirer's behalf.

Data Protection Act 1998

DCC has a moral and legal duty to protect personal information of living people. It also has a moral and legal duty to reveal to individuals ('data subjects') the information that it holds on them under 'subject access requests'. This is a further motivation for the council to hold its information in regulated, catalogued and an appropriately secure form.

DCC is also obliged to maintain a Data Protection Register, available on the internet, which lists what sorts of sensitive data are held in a standard form.

Other Legislation

A number of other legislation regimes apply to the management of information

Caldicott Principles and Social Care Toolkit

These apply to the processing of 'person-identifiable' information (including the sharing of information) between the council and the health sector.

Local Government Act 1972

The county council has an implied power to share adequate, relevant and not excessive information with our partner agencies, to promote or improve the economic wellbeing, social wellbeing or environmental wellbeing of Devon.

Human Rights Act 1998

This applies to information management in that the county council must not interfere with an individual's right to a private life, home or correspondence (in line with Article 8) except as in accordance with the law and is necessary in a democratic society in the interests of national security, public safety, economic wellbeing of the country, prevention of crime and disorder, protection of health or morals or the protection of the rights and freedoms of others.

Environmental Information Regulations 2004

Under these the public has a right of access to environmental information held by the Council, subject to certain exceptions.

Re-use of Public Sector Information Regulations

This legislation allows people to apply to re-use information held by the Council. 'Re-use' means using the information for a purpose other than the purpose for which the document was originally produced.

Public Records Act 1958 & 1967

These apply mainly to archiving, but have a bearing on the retention and deletion standards adopted by the Council.

Equalities Act 2010

Race, Disability and Gender public sector equality duties require local authorities to gather information (diversity data) and analyse that information to identify areas of inequality. The 2011 Act and guidance outlines to type of information that needs to be published in an open format; this guidance focuses on information about staff.

Policy Context

As well as decisions taken by members, national policies have an effect on the activities of local government in Devon. The following is an indicative list of the most important policy areas.

Policy area

Information implications

Finance

Reducing Government's funding support by 27% for local authorities over the next four years.

Phasing out of ring-fenced Government grants except for Dedicated Schools Grant and forthcoming Public Health Grant.

Reduced funding will inevitably reduce the resources available to support change and increase pressure on all staff and services.

Performance and inspection

Abolishing the Audit Commission, regional Government Offices, Comprehensive Area Assessment, local area agreements and the national set of performance indicators.

Developing a single, reduced, list of the data requirements placed on local government by central departments

There is an increasing need to provide information to the public to use directly, and to judge performance. It may be harder to find information collected in a consistent form in order to benchmark Devon's performance against other authorities.

Service provision

Supporting new forms of provision in the public sector, including mutuals, co-operatives, joint ventures and new forms of outsourcing

The use of new 'delivery models' is likely to involve sharing information with, or transferring it to, other organizations. Contracts will need to state responsibilities clearly, and recognize that DCC's reputation can still be damaged even if legal responsibility has been transferred.

Local accountability, democracy and participation

Localism Bill's provisions to:

- Introduce a general power of competence
- Community right to buy
- Council tax referendums
- Business rates discounts
- Allocations from Community Infrastructure levy to neighbourhoods
- Community right of challenge to run local services
- Local referendums
- Abolish regional strategies
- Neighbourhood plans
- Annual statements of policy on remuneration of chief officers.
- Publication of items of expenditure

Local accountability will require greater openness with data, in formats that can easily be manipulated by members of the public. Local action will inevitably require more fine-grained information to help plan and monitor the activities undertaken.

- o over £500
- o Abolish the Standards Board regime

Training community organisers and supporting the creation of neighbourhood groups.

Health and social care

Promoting the development of integrated health and social care commissioning across the NHS, public health and voluntary sector. Taking responsibility for protecting and improving people's health and tackling health inequalities from April 2013.

Employing a Director of Public Health jointly appointed by the Council and Public Health England.

Establishing a statutory health and wellbeing board.

Commissioning local HealthWatch to strengthen patient and public voice.

New responsibilities in public health tie in well with existing data responsibilities on welfare, the environment and economy to give a more rounded picture of conditions in the county. Changes within the health sector will present great challenges in sharing data with about six GP consortia in the county area, compared with the current single PCT.

Education and schools

Majority of schools remaining, for the immediate future, as local authority maintained schools and funding routed through local authorities.

As Academy status becomes the norm, local authorities will increasingly move to a strategic commissioning and oversight role. Local authorities will have a new role as strengthened champions of choice, securing a wide range of education options for parents and families, ensuring there are sufficient high-quality school places, coordinating fair admissions, promoting social justice by supporting vulnerable children and challenging schools which fail to improve.

Schools are already independent 'data controllers', but DCC is still required to advise on information security matters and may have reputational damage from any breaches; this already complicated relationship will only become more so in the new arrangements. It is likely to increase the demand for information monitoring school performance by a range of criteria. Greater choice may make the idea of simple school catchment areas redundant.

Economy

Introducing the universal credit and housing benefit reforms.

Localising council tax benefit.

Abolishing regional development agencies.

Inviting businesses to form local enterprise partnership(s).

Bidding rounds for the Regional Growth Fund,

Reforming informal adult and community learning and review the effectiveness of basic skills training in delivering economic and social outcomes,

Facilitating the introduction of super-fast broadband in remote areas

DCC already has greater freedom in determining how it will analyse the economy of the county. The need to understand the working of the Devon economy will become greater with the greater responsibilities.

Transport

Bidding for the new Local Sustainable Transport Fund for low cost, high value interventions in local communities.
Progressing the best value local authority major schemes from the development pool.
Reviewing traffic signs policy and reforming management of roadworks.
Stopping central government funding for new fixed speed cameras and developing a framework for road safety

Local transport information will need to be included alongside other community data.

Community safety

Introducing payment by results schemes, working with local, voluntary and private sector organisations that specialise in the rehabilitation of offenders.
Replacing police authorities which directly elected Police and Crime Commissioners.

It is possible that reforms in community safety will strengthen the need for localized information about communities, to assist decision making at the local level.

National Standards

Sharing information with partners needs to be based on common standards so that we can be sure of comparing like with like, be sure that levels of security are comparable and simply to learn from good practice elsewhere.

XML schemata

Standards for cataloguing data exist outside DCC, and in order to work on the national stage and make comparisons with neighbours it is necessary to adhere to them. In particular these take the form of e-gif (e-government interoperability framework) standards, expressed in the computer language of XML (extensible mark up language, a data-related enhancement of the usual web language of HTML). XML will be used to disseminate the results of the 2011 Census, so that Devon County Council will be able to provide local data on the web not by republishing the information, but by producing a web page with the 'instructions' for collecting the data from a central repository. It is possible that this use of XML for data presentation on the web will lead to the step-change in its use that has been discussed over recent years.

ISO 27001, PCIA & GovConnect

Information security is identified as a priority for the authority, with the public reasonably expecting that their information will be held safely. The overarching standard that holds together the various requirements is that of ISO 27001. Although the other requirements placed on the authority, such as the Social Care Toolkit, GovConnect and the Payment Card Industry Association standards fit very much beneath this. Devon County Council achieved compliance with ISO 27001 in December 2009. In addition to the benefits in information security that this provides, it also obviates the short term work needed to comply with the other regimes discussed, or others that are likely to emerge.

Records Management Standards

Internationally recognised standards for the effective deployment of electronic document and records management systems are produced by the National Archives UK, Records Management Society and esd-toolkit and are adopted and adapted as necessary. This provides a robust platform for best practice and save time and effort in developing our own. These standards cover how to design and implement records keeping systems, how to label and structure records.

Devon Context

An information strategy for Devon needs to take account of existing strategies and processes within the county. Some of the most significant are shown in the list below.

Devon County Council's Strategic Plan

The Conservative administration, elected in 2009, has adopted a Strategic Plan with five priority aims:

- Support local businesses and tourism
- Improve knowledge, skills and productivity
- Improve roads, reduce congestion, and build greener infrastructure
- Less waste, more recycling and less landfill
- Responsive services which support people in need

It will be a parallel priority, therefore, to ensure that there is the knowledge and understanding of these areas needed to make the improvements necessary. The Chief Executive's directorate is set to be replaced with a more streamlined 'Office of the Chief Executive' in 2010. It is likely that this office will be charged with overseeing corporate programmes and may help in the implementation of the information elements.

Devon Way

It is important that the work of improving the collection, management and communication of information is done in a way that is consistent with the rest of the authority. The Devon Way provides a project management structures that allows projects to be undertaken with appropriate reporting and resources, and works with the information governance structures to provide an effective and coherent whole.

Supporting Strategies ('Workstream D')

Customer Channel Management Strategy

Information gleaned from direct communications with the public is often some of the most useful for the authority. The Customer Channel Management strategy seeks to make the most efficient use of the channels available to the public in dealing with the county council, whether to make a request for information, a complaint or ordering a service. Enabling a shift to the most efficient means of communication will require good knowledge of the cost and effectiveness of different channels; equally, monitoring these channels has the potential to provide some of the most valuable of all business intelligence.

ICT Strategy 2010-15; Corporate Business Applications and Solutions Strategy

Fortuitously, this revision of the Information Strategy enables it to run concurrently with the current ICT. The two have been developed in close cooperation.

The Enterprise Architecture programme, and especially the Enterprise Information Architecture programme, within ICT has increasingly provided a link between the broad principles of information management and use outlined here and the technical means to achieve them. Its continued evolution helps maintain a consistent approach between the two strategies. In particular, the Corporate Business Applications Support Strategy (CBASS), and especially the three linked areas of web development, document management and business intelligence represent much of the ICT effort in implementing the Information Strategy.

Corporate Property Asset Management Strategy (June 2011)

Part of the savings to be made in rationalizing assets is in reducing the cost of information storage. The information strategy – advocating electronic records over paper records (other things being equal) and reducing unnecessary duplication – can support this and provide guidance on storage and retention of documents on paper.

Corporate Procurement and Category Management Strategy (June 2011)

Procurement of goods and services requires that data protection and management standards are maintained, and clearly available to those involved in the tendering and contracting process.

Corporate Commissioning Framework Strategy (June 2011)

Commissioning is dependent on the availability of good quality information, to assess both need and the services of potential providers. The Joint Strategic Needs Assessment of Health and Social Care offers a model of commissioning that can be used to inform this wider approach. Other changes, not least in the health and care sector, are likely to see this way of working become more significant, and include an element of devolving decision-making about what services to commission, and how, to communities and individuals. These decisions all require good quality information about conditions in the county, people's desires and the provider market.

Corporate Performance Framework (August 2011)

Performance information can be derived from administrative systems, such as library borrowing – normally measuring 'outputs, or from measures or surveys of conditions in the county, such as workforce skills. The performance framework in recent years has been strongly prescribed by government, and largely overseen by the Audit Commission. The future regime is likely to be less prescriptive about data used for performance monitoring, but can be expected to require more data to be available in raw, open formats. This will further strengthen the need to keep the right information in the right place.

Corporate Equality Strategy (October 2011)

As in the field of performance monitoring, there will be a requirement to publish open data on equality matters to monitor diversity within the council workforce and in the provision of services. This needs to be done in such a way that it is useful for the purpose, without publishing such small numbers that data protection or statistical meaningfulness are compromised.

Corporate Communications Strategy

As already discussed, effective use of DCC's information can be used to help achieve one aim of the Corporate Communications Strategy, that of productive, direct, two-way communication with communities. This fine grained understanding can similarly help to provide the local focus identified as a priority.

Devon County Council Information Strategy Implementation 2011-2015

Implementation – 2011 to 2015

This section is intended to act as a bridge between the body of the Information Strategy, which sets out broad principles, and the detailed plans of particular projects which will bring its aims about. Whilst the body of the strategy should not be revised substantially over the period, this implementation plan needs to respond to the opportunities and challenges each year. Project plans have a generally shorter timetable; many of the projects that deliver the information strategy may sit formally under other strategies.

The three phases

Phase I: Governance and Information Security

The immediate projects in these areas have been completed. Nevertheless, the following challenges remain, largely to ensure that the benefits already realized are not lost in the organizational changes:

Decisions still have to be made	Governance Governance structures need to be assessed and adapted to the needs of the new 'commissioning' authority. Projects include: <ul style="list-style-type: none">▪ Oversight of Information Strategy implementation by Workstream D and Programme Devon
Security has to be embedded in the organization	Information security Applying 'deep security' to DCC's information holdings, by applying the principles of rationalization. In addition, the position of schools (not included directly in the project so far) needs to be considered, along with the other bodies likely to be holding and processing information on DCC's behalf in the new delivery models. The latter is covered in the guidance for information in new delivery models. Projects include: <ul style="list-style-type: none">▪ Protective marking of emails▪ Training and guidance on secure file transfer in Huddle

Phase II: Rationalizing and sharing information

Rationalization

Rationalization means keeping information in the right place, properly catalogued, without unnecessary duplication and marked for review, retention or deletion at appropriate intervals.

Rationalizing our information is key to future developments	This is the current major element of the strategy. Whilst there is more to rationalization than applying EDRM to Devon's information holding, there is no doubt that the use of EDRM allows much more effective management (and security) of information than the current network drives. Importantly the corporate EDRM system (TRIM) is now linked to the web, so that records that can be disclosed to the public can be managed and published effectively without duplication. And as the management of information becomes better, so does the quality of the data held and the ability to use administrative information as 'business intelligence'.
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Projects include:

- TRIM-Livelink integration
- Corporate Library

Rationalization is part of the Common Solutions Platform

The process of expanding EDRM, improving the way information is held and managed on the web, and deriving business intelligence from administrative data are all part of the Common Solutions Platform in the CBASS. The 'road map' at the end of this section summarizes the phasing of its implementation. It has been drawn up in conjunction with the CBASS, and is equivalent to Appendix A of that document; it does include additional text on items with only a small ICT element.

Projects include:

- De-duplication of records and documents
- Web strategy
- Business Intelligence competency centre

Information has to be catalogued before it is improved

'Information Architecture'

The most pressing need under these headings is to ensure that Devon County Council's information assets are held in the right form and used appropriately. This will require applying the right cataloguing to the data. A summary is shown in Annexe 1. This need has been identified in previous versions of the Information Strategy. It has only gained in importance with responsibility for some services, and their information, being divested, as any other bodies taking on information responsibilities – such as security and retention – need to have them explicitly stated. Clearly, applying such metadata to *all* Devon County Council's information assets is a tall order, and the process needs to be staged. It will best be undertaken as part of a corporate programme of work, and needs to be incorporated in the management of the comprehensive restructuring of the organization. The first stage is to establish a comprehensive list of the information held by the authority, and the Information Asset Register is a major step on the journey. The management of the IAR has now been brought in house, both as a cost saving and to recognize the way in which it can most effectively be used.

Projects include:

- Retention schedules
- Paper record storage policy
- Naming conventions for documents and records

An effective staff directory is essential

A major dataset which is of clear importance under these criteria, and already identified in the existing strategy, is a fully cross-referenced staff directory. This is not only a core business information asset, but an essential part of the identity management element of 'deep' information security.

Projects include:

- Authentication and identity management
- Active directory

The quality of administrative data can be raised

Structured data in applications

Much of the data held by Devon County Council is structured information about people, places or activities in - often very large - 'line of business' systems. Notable examples are CareFirst, EMS-ONE and WDM. These systems can hold records about the same people, places or events, but quite often with inconsistencies in significant identifying details making it

difficult to confirm that they are actually the same. This can lead to duplicated records, inconsistent service and an unsatisfactory customer experience. In the case of vulnerable clients this inconsistency can be dangerous. The trend in recent years towards "joined up" working, stimulated by the Climbie and Baby Peter tragedies, has led to a demand for joined up information to support this collaborative working style.

Business intelligence and master data management can drive quality improvements

The quality and accessibility of information held can be increased by using the Master Data Management approach, which establishes a "golden view", an agreed consensus for each person, place or activity across multiple systems. This can be done in the first instance by periodically comparing similar records across a number of systems and agreeing which ones should match. However this can still leave duplication across systems, if for example they all continue to separately hold addresses, with the need to control possible future inconsistencies, duplicated updates etc. To avoid this, systems can be permanently linked together and share common elements such as address or other key identifying master data - held in some central location so this vital information can be "collected once and used many times". This would also greatly aid consistent and rapid updates to capture address changes, reduce staff time updating details, and quickly respond to major updates such as bereavement. This permanent linking of systems can also support further streamlining and efficiency gains by supporting common processes across systems, for example paying a bill or managing a document, by taking these common processes out into single separate components (computer systems) which are held centrally, accessed and re-used by multiple current (and future) line of business systems when required. The line of business systems can then themselves be slimmed down to focus on business functions which are truly unique to their relevant business function. This linking of systems, also known as system integration, is increasingly common and a key part of developing an agile organisation, with dedicated integration systems readily available for example the Weblogic system owned by the County Council. This integration is likely to be driven by the need for business intelligence.

Projects include:

- Clearcore for Master Data Management
- Business Intelligence for Adult Social Care personal budgets and reablement, and corporate finance.

TRIM is now established as a corporate EDRM

Rationalizing unstructured data

Rationalizing information is *not* the same as applying Electronic Document and Records Management to previously *ad hoc* storage. One of the most important elements of an information audit is to identify what information can be disposed of entirely. In addition, if it is to be effective it should be conducted in conjunction with a review of business processes. However, the transfer of records to TRIM – identified as a 'common solution' in the information strategy - makes much of the aims of rationalization possible for unstructured data, and sets the county's information assets in a form that can be most useful for the county's citizens.

Projects include:

- Use of TRIM for social care records
- Use of TRIM for Freedom of Information disclosures, maps and traffic orders

Sharepoint can help collaboration and document

The information strategy will also be greatly assisted by the imminent introduction of Sharepoint as a collaboration tool – the middle layer in the

management 'cappuccino model'. This will assist in reducing the duplication of working documents, and form an easy 'EDRM-lite' route to create documents *ab initio* with the correct metadata, meaning that retention periods, security and the other metadata elements described above are universally applied.

Projects include:

- Implementation of Sharepoint and use in workflow

The web is for access, not holding information

The web is a further major element of information holding. Its role, however, is as a means of access (as well as transactions) rather than as a major repository. The integration of TRIM and Livelink has meant that it is possible to use TRIM for records management (with its ability to manage retention, access and security) and Livelink for publication to the web.

Projects include:

- Web strategy
- TRIM-Livelink integration

Re-using components can reduce duplication

A necessary concomitant of the approach is the integration of data and systems: maintaining a single mapping database, for instance, can only work if the database is effectively integrated with all applications using mapping data. The authority has already invested in WebLogic as a package for the standard integration of 're-usable components', and the information strategy will also benefit from its widespread use for the purpose of using information as a corporate asset. Additionally, some duplication can be identified and addressed without necessarily reviewing processes. Software such as *ActiveNavigation* can automate such a process. The technical configuration of the records management system and web is shown in the diagram below.

Projects include:

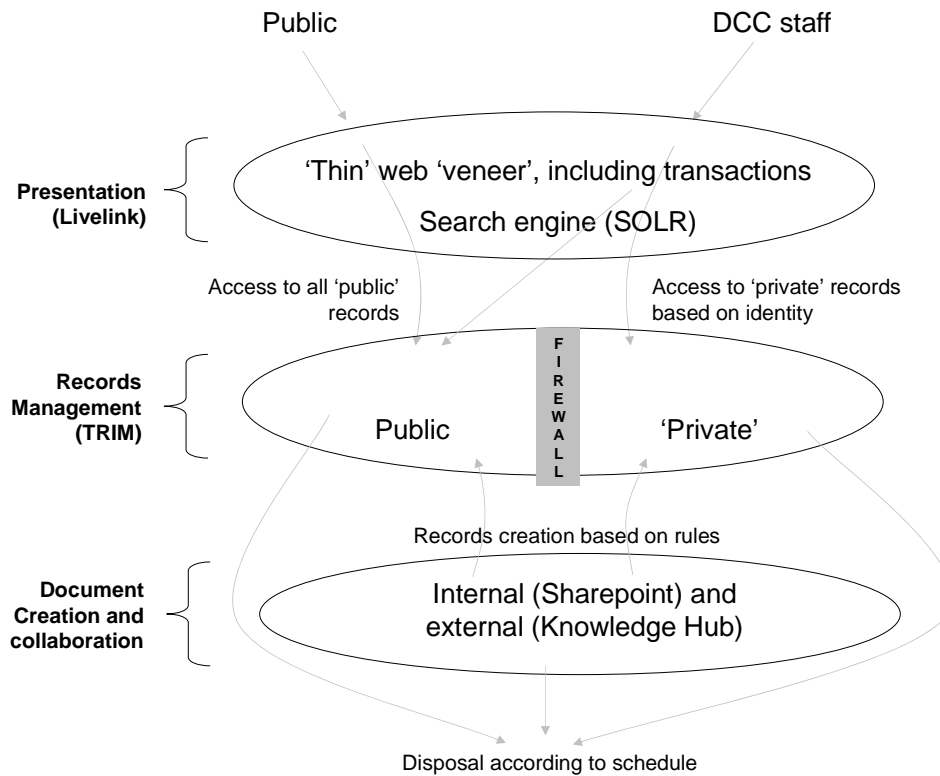
- Information and applications rationalization
- Web strategy
- 'Active navigation' or other deduplication software

Details of projects are in the CBASS programme

Timing

Whilst effective use of information and awareness of matters such as retention, storage and labelling are part of organizational culture, many of the concrete steps in its development are technological. In this case, the Commons Solutions Platform element of the Corporate Business and Solutions Strategy is central, with document management, business intelligence and the web making up the main components. The timing and phasing will therefore be developed in the CBASS programmes of work.

Figure 5
A model of document and records management for collaboration, records management and web publication.



This model is based on using specialist software to undertake specific functions, so that web publishing software (Livelink) is used for the web, but not document management, records management is within TRIM and collaboration in sharepoint, or the LGA knowledge hub). Some software may be reviewed in the CBASS process.

Sharing

Improving the sharing of information is often incremental. Excessive sharing may lead to disclosure of sensitive data or an unnecessary burden. It is also dependent on having enough joint working to make use of it if it is to be sustainable. The terms of sharing have to be considered case by case, and not achievable simply with one, generic, information sharing protocol.

The 'MASH' offers a model for the future **Sensitive or personal data**
 The major developments are likely to be based on the successful model of the Multi-Agency Sharing Hub (MASH). This 'safe haven' has enabled the sharing of information between DCC and the police, and the same approach can be extended more widely.

'Knowing when to share' is crucial The long term, and rather less specific activity, is to promote awareness of when it is appropriate to share sensitive information, and with whom, and when it is not. There is much guidance on this on the Source 'Knowing when to share' web pages, and making this sort of knowledge widely known across the organization – especially amongst practitioners dealing with 'real cases' – is an important step in having information shared to greater effect.

Projects include:

- Promotion of secure and appropriate information sharing
- Policy on the use of file sharing sites such as *Huddle*

'Open data' offers good prospects for sharing and accountability

Non-sensitive data

The sharing of non-sensitive data (which may be aggregated or anonymized sensitive data) is, in principle, a 'good thing', but one which can easily become an administrative burden if the information is not regularly used. The Devon Strategic Partnership had long suggested a 'resource hub' to share such data, but without sufficient enthusiasm amongst partners for it to be achieved; it is unlikely that anything so formal will be established in the current financial climate. The most promising field for such work appears to be 'open data'. This involves publication in simple formats so that the data are available to all on the web for re-use. This is aimed particularly at accountability. What is most important to publish in this form does need to be established in consultation with partners, and thus falls into the 'customer focus' section.

Projects include:

- Sharing data in Joint Strategic Needs Assessment of Health and Social Care, and Strategic Assessment of community safety
- Publication of data in open formats

Phase III: Customer focus

Many projects already described have definite customer benefits:

- Making Freedom of Information legislation 'redundant' for DCC because the public data are made accessible as part of the normal processes of the county council
- Presenting information in understandable forms that engage the public and encourage participation in the local government of Devon
- Making every effort to 'keep Devon's data safe', addressing a serious concern of the public at large
- Improving security and data quality
- Raising accountability by publishing 'open' performance data

The direction is clear even if the details are not

Market research and horizon scanning

In the climate of financial restraint and devolution of power the important 'customers' for local government information are localities, communities and individuals seeking to commission their own services (as well as commissioners of services within DCC), and those inside and outside the organization – the 'armchair auditors' – whose primary concern is with performance. Commissioning is at different stages of evolution for different public services and there is no comprehensive performance framework to replace the Audit Commission, so there is a degree of uncertainty about the exact form of requirements in this area. Nevertheless, some direction is emerging. This 'customer focus' is described here using the language of public service: it could equally be described as 'market research' and 'horizon scanning'.

Projects include:

- Mosaic profiles of communities

- Managing Devon Voice panel
- Population projections

A customer database no longer appears a high priority

More specifically, the first version of the Information Strategy envisioned 'Customer Focus' as including the creation, ultimately, of a customer database not unlike those maintained by supermarket loyalty cards or mail order firms, as a way of providing a better 'customer experience'. This would only be attempted after working outwards from creating a single staff database, followed by a 'single view of the child' (notably those children whose care is in the hands of the county council, and whose records appear in multiple databases), then adult service users. At the time of writing, concern about the 'surveillance society' and 'Big Brother' means that there would be as many suspicions as plaudits for such an endeavour. It is suggested here that whilst the first projects in master data management of databases of people be pursued, the final aim be reviewed carefully before implementation. In addition to the difficulty in providing the complete customer experience, this does raise a question of failing to take full advantage of the Customer Service Centre as a 'real time' monitor of public demands and concerns¹.

Projects include:

- Mosaic profiles of customers and service users to manage channel shift

Information for Localities

Although not easy, more localized information is available

Some statistics about Devon are easily available for small localities – anonymized population data from GP registers or location of roadworks, for instance – but this is often not the case. Sometimes this is because local data are inherently problematic – unemployment rates are only meaningful within fairly contained labour markets, or changes in life expectancy only make sense for large geographical units over many years, for instance. But in other cases, particularly around how well services perform in localities or how much money is spent by the county council, the data simply have not been recorded in that way. This though, is improving, with financial data now 'geo-tagged' where possible and the postcode of invoices available, although neither approach gives a complete picture. Nevertheless, the 2009 Newton Abbot performance clinic demonstrated what was, with difficulty, possible. This is the sort of information that will have to be provided to local communities to enable effective local decisions about priorities and commissioning.

Projects include:

- Local spending data
- Town and community profiles
- Local data for budget consultation and county committees

Community engagement and social media could generate much local information

Localism requires a dynamic communication between DCC as the service provider (or 'broker') and the local communities served. This is represented in the DCC statement on localism, community engagement and governance. There will undoubtedly be a need for county-wide surveys to pick up differences between localities, and whilst progress has been slow over recent years any genuine attempt to listen to communities' concerns will have to include using social media as the most cost-effective way of managing such wide-ranging conversations. There will then be a need to condense the findings into concise messages that can be directed

¹ The difficulty is created by the fact that telephone calls are immediately recorded in specific 'line of business' applications, meaning that they cannot easily be compared *between* these applications.

to the right people to act upon.

Projects include:

- Use of social media messages in budget consultation and performance clinics

Localism requires fine-grained, flexible data

Localism has been described here in geographical terms, but needs also to be considered for communities of interest, which may require quite different information. And there is not just one sub-county geography: the Devon Towns geography allows a wide range of data to be presented at a small but meaningful scale centred on the largest schools, libraries and so on, but this will not easily distinguish sparse rural areas, coastal parishes or other areas that might perceive a common interest. Publishing information at the most fine-grained level in open data formats will allow communities to 'mash up' their own information, but to ensure appropriate information is available within the authority, and to work around issues of data protection and copyright, it is likely that much of this analysis will still have to be done in-house.

Projects include:

- Open data publishing
- Profiles of non-standard geographies

Information for commissioning

Commissioning needs market intelligence on supply of and demand for services.

Effective commissioning requires good market intelligence. Measures of demand – numbers and characteristics of people, for instance – are well established as necessary for planning DCC activities. Such information will have to be made available to anyone who commissions 'public services', which could mean communities, as described in the localism section above, or families and individuals. Additionally, commissioners will need information about supply: this is included, for example, in the Community Directory. 'Supply' information has not been considered up to now as a coherent body of data, and even if the range of services provided means that ad hoc approaches are the most effective, this will need to be thought about in the current strategy. It is also a matter for the DCC Corporate Commissioning Framework Strategy.

Projects include:

- Joint Strategic Needs Assessment of Health and Social Care
- Strategic Assessment (of community safety)
- Community Directory

Information for performance

Transparency is likely to be at the heart of a new performance regime

Performance information needs to be a combination of measuring what DCC does, at what cost, what is the effect on Devon's communities and what is the public perception of those services and the authority as a whole. The performance regime overseen by the Audit Commission provided a strong and centralized set of indicators. The Corporate Performance Framework is yet to be defined, but is likely to involve far more 'customer feedback' than previously, with far less ability for DCC to decide on what it should be judged. Publishing as much open data as possible, and allowing 'armchair auditors' to be the judge is the coalition government's preference for most performance monitoring. For internal management, however, it will be beneficial to have a better picture of what our own administrative systems can tell about performance, as covered in the Business Intelligence element of the Common Solutions Platform.

Projects include:

- Performance data for communities, including local expenditure
- Business Intelligence for Adult Social Care and Corporate Finance
- Open data

Dependencies

Information flows throughout DCC's processes and cannot be isolated from other strategies. Indeed, many of the actions to implement this strategy lie principally in other areas. A summary of major dependencies is given below.

ICT CBASS	Rationalizing information will largely be implemented in the Common Solutions Platform, notably the programmes of document management and the web.
Corporate Property Asset Management Strategy	Rationalizing information – moving from paper records to electronic, and disposing of unwanted paper records – may in practice be largely driven by savings in property costs.
Localism/ Community Engagement and Governance	Information about communities is only worth collecting, and presenting effectively, if the structures are in place to use such information
Corporate Performance Framework	The details of information needed to manage performance, derived from business intelligence and other sources, will need to be developed in conjunction with the performance framework.
Workstream B (Future Delivery Models)	Deriving business intelligence, providing appropriate information for commissioning and ensuring that information security is maintained must be done in conjunction with Workstream B.
Workstream C (Organizational change and new structure)	Information within DCC must be catalogued in a flexible way, incorporating emerging structures but also able to cope with further change.

Roadmap

These timings should be taken as indicative, in the light of the dependencies described above.

Theme \ Date	In place (not exclusive)	1 st quarter 2011-12	2 nd quarter 2011-12	3 rd quarter 2011-12	4 th quarter 2011-12	Financial year 2012-13	Financial year 2013-14	Financial year 2014
Governance and security	ISO 27001; Programme Devon; Guidance on information in new delivery models; TRIM/Livelink security assured.	Confirm Workstream D and Sponsoring Group as responsible bodies; guidance in new delivery model toolkit; steering groups for document management, web and business intelligence in place	Support to new delivery models using toolkit; confirm ownership of major information assets in new structure. Review of Knowledge Hub for information sharing; scope use of PSN/MASH for improved information sharing.	Support to new deliver models using toolkit; confirm ownership of major information assets in new structure	Support to new delivery models using toolkit; confirm ownership of major information assets in new structure	Review governance in new structure		
Rationalization: Document and Records Management*	Baseline costs of information storage; Communications to promote reduction in holding; Social care records in TRIM; Retention policies in place	Agreement to paper record storage policy; Plan for roll-out of Sharepoint across DCC by March 2013.	Draft corporate library in TRIM; FOI workflow in Sharepoint. Staff directory/Active directory' adapted to new structure	Details being developed by CBASS Document and Records Management steering group		Network drives to become read only	Include document management in review of Microsoft licence	Network drives 'turned off'

Theme	Date	In place (not exclusive)	1 st quarter 2011-12	2 nd quarter 2011-12	3 rd quarter 2011-12	4 th quarter 2011-12	Financial year 2012-13	Financial year 2013-14	Financial year 2014
Rationalization: Web*		Web management group	Formalization of web management under Workstream D; Implementation of Solr search.	Draft corporate library on web; FOI responses on web	Details being developed by CBASS Web Management steering group			Include web in review of Microsoft licence	
Customer focus Business Intelligence*		ACS Business Intelligence project	Formalization of BI management board; setting of corporate priorities; Develop data models	Build packages to gather and transform data into information	Deliver cost and performance benefits	Deliver mature corporate business intelligence suite		Include business intelligence in review of Microsoft licence	
Customer focus (commissioning) Data for communities†		Devon Towns profiles, data for Joint Strategic Needs Assessment of Health and Social Care (JSNA) 2009	Strategic Assessment (community safety); Data update for JSNA	Develop 'open' version of JSNA/SA data	Develop combined Strategic Assessment in open data with 'mash up' interpretations for specific purposes; open data version of Property Assets data; assess provider data; assess need for integrated local information system		Review of Strategic Assessment for Police and Crime Commissioner; update JSNA data		

Benefits

Theme \ Date	In place (not exclusive)	1 st quarter 2011-12	2 nd quarter 2011-12	3 rd quarter 2011-12	4 th quarter 2011-12	Financial year 2012-13	Financial year 2013-14	Financial year 2014
Improved information security		Annual assurance report by SIRO and information asset owners, also to include review of effectiveness of information sharing			Annual assurance report by SIRO and information asset owners, also to include review of effectiveness of information sharing	Annual assurance report by SIRO and information asset owners, also to include review of effectiveness of information sharing	Annual assurance report by SIRO and information asset owners, also to include review of effectiveness of information sharing	Annual assurance report by SIRO and information asset owners, also to include review of effectiveness of information sharing
Measurement		<i>Percentage of resolved information security incidents in assurance report[†]; Percentage electronic data in TRIM</i>			<i>Percentage of resolved information security incidents in assurance report[†]; Percentage electronic data in TRIM</i>	<i>Percentage of resolved information security incidents in assurance report[†]; Percentage electronic data in TRIM</i>	<i>Percentage of resolved information security incidents in assurance report[†]; Percentage electronic data in TRIM</i>	
Reduced needs for information storage	Nov. 2010 audit of network drive file sizes	May 2011 – repeat audit of network drives		November 2011 – repeat audit of network drives		May and November audits of network drives	May and November audits of network drives	May and November audits of network drives
Measurement	<i>Size of m: drives; size of total network drives</i>	<i>Size of m: drives; size of total network drives</i>			<i>Size of m: drives; size of total network drives; estimate of paper storage (?)</i>	<i>Size of m: drives; size of total network drives; estimate of paper storage (?)</i>	<i>Size of m: drives; size of total network drives; estimate of paper storage (?)</i>	

Reduced cost of information storage	Nov. 2010 estimate of electronic storage costs based on file size	May 2011 – update of costs based on audit		Nov. 2011 – update of costs based on audit	Annual assurance report to include costs of paper storage and proportions of data in EDRM	May and November update of costs; Annual assurance report to include costs of paper storage and proportions of data in EDRM	May and November update of costs; Annual assurance report to include costs of paper storage and proportions of data in EDRM	May and November update of costs; Annual assurance report to include costs of paper storage and proportions of data in EDRM
<i>Measurement</i>		<i>Costs of electronic storage</i>		<i>Costs of electronic storage</i>	<i>Estimated costs of electronic and paper storage</i>	<i>Estimated costs of electronic and paper storage</i>	<i>Estimated costs of electronic and paper storage</i>	<i>Estimated costs of electronic and paper storage</i>
Improved quality of information available for decision making	Nov. 2010 audit of network drive file sizes, including proportions in EDRM					Annual assurance report to include proportions of data in TRIM/Sharepoint	Annual assurance report to include proportions of data in TRIM/Sharepoint	Annual assurance report to include proportions of data in TRIM/Sharepoint
<i>Measurement</i>	<i>Percentage electronic data in TRIM</i>				<i>Percentage electronic data in TRIM or Sharepoint</i>	<i>Percentage electronic data in TRIM or Sharepoint</i>	<i>Percentage electronic data in TRIM or Sharepoint</i>	<i>Percentage electronic data in TRIM or Sharepoint</i>
Increased accessibility of information					Annual 'commissioning' report to include review of supply and demand data availability?	Annual 'commissioning' report to include review of supply and demand data availability?	Annual 'commissioning' report to include review of supply and demand data availability?	Annual 'commissioning' report to include review of supply and demand data availability?
<i>Measurement</i>	<i>Number of data sets published in open format; hits on DCC Facts and Figures web site</i>				<i>Hits on data for commissioning/data for communities web pages? Number of data sets published in open format?</i>	<i>Hits on data for commissioning/data for communities web pages? Number of data sets published in open format?</i>	<i>Hits on data for commissioning/data for communities web pages? Number of data sets published in open format?</i>	

<p>Increased understanding of communities' needs and priorities</p> <p><i>Measurement</i></p>					<p>Annual 'commissioning' report to usage statistics on Strategic Assessments, use of data by county committees or local boards?</p> <p><i>Qualitative assessment as described above (?)</i></p>	<p>Annual 'commissioning' report to usage statistics on Strategic Assessments, use of data by county committees or local boards?</p> <p><i>Qualitative assessment as described above (?)</i></p>	<p>Annual 'commissioning' report to usage statistics on Strategic Assessments, use of data by county committees or local boards?</p> <p><i>Qualitative assessment as described above (?)</i></p>	<p>Annual 'commissioning' report to usage statistics on Strategic Assessments, use of data by county committees or local boards?</p>
<p>Citizens are more informed about outcomes in their area</p> <p><i>Measurement</i></p>					<p>Biannual 'place survey' type consultation of public; survey of members?</p> <p><i>Survey results as described above?</i></p>		<p>Biannual 'place survey' type consultation of public; survey of members?</p> <p><i>Survey results as described above?</i></p>	

*Detailed plans being developed as part of Corporate Business Applications and Solutions Strategy

† Detailed plans being developed as part of the Corporate Commissioning Strategy

‡ This may be of limited value

Resources

The time taken to deliver the strategy and its scope are dependent on the resources available. These are not fixed – allocating resources is part of the governance process – but need to be stated in outline. Resources are to be determined within the various projects that make up the implementation of the strategy, and, as stated, many of these projects sit formally under other strategies, such as Customer Access, Commissioning or the Corporate Business Applications and Solutions Strategy.

In Strategic Intelligence

The staff and resources of the Strategic Intelligence team are all available to deliver the Information Strategy. There are 15 members of the team, with expertise in compliance, data analysis, management, partnership and communication. Whilst this strategy seeks to make the work of the team progressively less responsive and more proactive, in the short and medium term approximately half the team's time is taken up in 'business as usual', including responding to requests.

In DCC

This strategy applies to the whole of DCC, and requires a corporate approach. For much of the investment required, this is demonstrated in the priority given to the Common Solutions Platform in the CBASS. This applies strongly under the priorities of the current DCC administration, which stresses a corporate approach and a business-like approach. Particularly important responsibility in delivering the strategy lies with the ICT, Organizational Development and Strategic Intelligence sections. The need to enhance governance has already been identified as a requirement in implementing this strategy and the parallel ICT strategy.

In DSP and beyond

Where possible the opportunities to share resources outside the authority should be taken. This includes building on expertise from outside, such as specialist analysis of crime in the police, sharing performance data with other partners in the Local Area Agreement or developing information security procedures. Similarly, work with the South West Observatory, The National Archive or Office for National Statistics can, at the very least, avoid re-inventing the wheel. Implementing this strategy should seek to build on these wider resources where possible; however, it would be impossible to list all possible external partners here.

Review and monitoring

The projects that sit under this strategy will all be monitored as part of the Devon Way of project management. The Strategy itself will be reviewed annually by the Information Programme Review Board. Other reviewers will be drawn from the Corporate ICT Strategy Group, Equalities Office and others as appropriate. However, this document sets out principles of working and long term aspirations, so should not, unless circumstances change dramatically, be substantially rewritten annually. This document is the first of those annual reviews, and whilst some aspects have changed considerably, such as the policy context following the 2010 general election, the thrust of the strategy is unchanged. The strategy is for the period 2010 to 2015. The beginning of writing any strategy for the subsequent period is likely to be alongside the review at the end of the 2013-2014 financial year.

Annexe 1
Information Architecture for DCC

Metadata element	Notes	Wider application
<i>Who owns it?</i>	The responsibilities of information owners are strongly promoted, and monitored, by the Audit Commission. This applies to the risks of disclosure and, significantly, the risks of failing to share appropriately	Information security
<i>Who owns the ICT application in which it is held?</i>	There are frequent overlaps between specialist ICT systems and the types of information that they hold (for example children's data and EMS-ONE). Ensuring best use – including security and sharing – often requires that they are considered together.	Applications rationalization
<i>What is it called?</i>	The Integrated Public Service Vocabulary offers a standard description of local government activities to facilitate sharing	Shared services (integrated search)
<i>What is it used for?</i>	The Local Government Service list offers a standard terminology for services, again promoting 'joining up'. This is of particular relevance in developing shared services. Knowing what services information is part of enables it to be used, where appropriate, as business intelligence to respond to changing conditions and lead to improvements	Shared services; business intelligence
<i>Permanence</i>	For finished 'records' versus 'work in progress'	FOI (work in progress is not subject)
<i>What is its security classification?</i>	Restricted, confidential etc. – of particular importance to GovConnect.	Information security
<i>What is its 'criticality'?</i>	Some information, such as telephone numbers, is critical to the authority's work in the very short term and needs to remain accessible; other information, such as historical adoption records, is at least as 'important', but if it is unavailable for a period of time may not have the same impact on services. This then gives an indication of how rapidly the information needs to be restored in an emergency	Business continuity
<i>What is its format?</i>	This could be paper or any number of electronic formats. Each will have particular requirements.	Cost containment; Application rationalization (cf ICT strategy)
<i>Where is it held?</i>	Physically, or in a particular software application, or both.	Information security; cost containment
<i>Where does the information apply to?</i>	A particularly persistent request is for the geographical tagging of cost codes.	Localism

<i>What is its 'structure'?</i>	Some information, such as filled-in forms, are structured by their nature; others, such as correspondence about a particular child, may be essentially 'unstructured'.	
<i>Who can, or should, see it?</i>	This is essentially the same as its security classification, but allows for specific people (identified by the job roles) to have access to sensitive material. This may include information, such as the minutes of council meetings, that should be made available to the public.	Data protection; Freedom of Information, Identity management (cf ICT strategy)
<i>What is its retention period?</i>	Just as some information should be retained to comply with legal requirements, some can most usefully be disposed of to reduce the burden of maintenance, retrieval and storage, as long as this is done to a proper schedule.	Data protection; Freedom of Information
<i>Legal status</i>	Some, such as the results of CRB checks, are related to statutory requirements and need to be treated with particular care.	Data protection (etc.)
<i>Multiplicity of Use</i>	Some datasets have particular importance because of their frequent use, or use in multiple applications. Addresses, staff contact details or children's names are examples of the latter. There is then a particular need to maintain their currency, accuracy and consistency as 'master data' or 'enterprise information'.	Enterprise Information Architecture (ICT strategy)
<i>Cost of maintenance</i>	This may derive from the costs of managing the space of paper records or the energy costs of electronic storage. The latter, of course, includes a significant environmental cost.	Cost containment
<i>Is it of good quality?</i>	Especially important for critical data. Quality includes timeliness, accuracy, completeness and lack of duplication. It also includes the effectiveness of its presentation	Master data management to reduce duplication and ensure consistency
<i>Level of duplication</i>	Duplication is, other things being equal, a bad thing, and identifying duplication should be the first stage in removing it. The cost of removing duplicates should be weighed against other factors such as the range of uses to which the information is put and the risks attached.	Cost containment; data quality