

Report of Head of Information Management and Technology

Report to Director of Environments and Housing

Date: 8th August 2014

Subject: Restructure of the Information Management and Technology Division within the Environment and Housing Directorate

Are specific electoral Wards affected? If relevant, name(s) of Ward(s):	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Are there implications for equality and diversity and cohesion and integration?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Is the decision eligible for Call-In?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Does the report contain confidential or exempt information? If relevant, Access to Information Procedure Rule number: Appendix number:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Summary of main issues

1. This report sets out the current issues presented to the Environment and Housing Directorate on Information Management, Application Support and Business Relationship Management functions, and ways in which these can be resolved.
2. This report sets out the proposed management and functional structure of Information Management and Technology (IM&T) for the Environment and Housing Directorate.

Recommendations

3. For the immediate release of the PO6 and P04 positions to allow the redesign of functions.
4. To consider the financial implications for Tier 3 and below, for the additional funding to be approved to finalise the remainder of the E & H IM&T structure, and to proceed to the consultation and implementation stage with unions and staff.

1. Purpose of this report

- 1.1 This report sets out the proposals for the management and functional structure of the IM&T and seeks approval for its implementation. The proposals will enable the service to better respond to the requirements of the service, directorate and wider Council.

2 Background information

- 2.1 The introduction of the IM&T function within LCC draws on benchmarking information gathered and recommendations from external evaluations of LCC ICT Services, advice from a range of industry analysts and various internal evidence and observations gathered from across the Council. It enables the proactive engagement between directorates and will assist in identifying issues/challenges and provide better business solutions. This review is in line with the standardisation of IM&T across LCC in all directorates.
- 2.2 The proposal brings together three disparate areas, Application Management, Business Relationship Management and Information Governance. By pulling these services into a single service area, it will enable the exploitation of the innovative use of information and technology, using the knowledge of our directorate's business requirements, and also ensuring data stores within our directorate is fully compliant with our legal and regulatory information governance requirements.

3 Main issues

- 3.2 The Information Management, Application Support and Business Relationship Management functions across the directorate are disparate and fragmented, often reliant on particular individuals and frequently delivering products without fully realising benefits or assessing the consequences of decisions on other parts of the service, ultimately resulting in a lower return on investment.
- 3.3 There is a varied approach to corporate transformation programmes across the directorate with no singular clear direction or consistent support being provided. This means that opportunities for application integration and the capitalisation of corporate programmes are not being fully taken up which may have led to unnecessary spend within the directorate.
- 3.4 The directorate is not sufficiently resourced to engage with and support the delivery of the city, Council and directorate priorities and outcomes, to enable and support Civic Enterprise, Smart Cities and Open Date initiatives, which support the budget reduction programme. The enablement of IM&T would support these outcomes.
- 3.5 Across the directorate there are a large number of unsupported applications/systems and a number of new systems which are currently under procurement or development that do not have any information or application support resource written into their respective business cases, namely Parks and Countryside and Community Safety. In addition to this, Waste Management system support has been provided by operational development staff which will shortly no longer be available to provide this function.

3.6 The delivery of Information Governance is fragmented, there are no dedicated staff within the Environment and Housing Directorate and the limited cover that is provided is currently delivered as part of operational and administration role from within different teams. At the beginning of October 2013, the ALMOs and ABCL transferred back into the Council. The staff that TUPE'D will be in scope for the IM&T review.

3.7 For some areas of the directorate we are not meeting our Freedom of Information (FOI), Subject Access Request (SAR) and Data Protection (DP) requirements on some, if not all of our systems and processes. We are currently at risk of the Information Commissioner (ICO) fines of up to £500,000 due to data breaches and missed legislative deadlines.

3.8 Proposal

3.9 The IM&T service will be built up of three component functions of expertise. Business Partner providing the engagement, IM&T Training and integration into operational services, Information Governance proactively delivering our information management and legislative requirements, and Application Management ensuring our information systems are operational and fit for purpose.

3.10 Together these three functions will be more than the sum of their parts; they will function as one service ensuring that data quality and records management form part of our systems development, that system rationalisation and return on investment are considered, and procurement and governance is at the heart of the information transformation and our modernisation agenda supporting the outcomes of the directorate.

3.11 Bringing together these fragmented functions, and investing in IM&T for Environment and Housing will transform the delivery of IM&T for the directorate, bringing financial savings by streamlining systems, processes, procurement and developments to ensure that our investment in people is realised to deliver better outcomes for frontline services, the Council and City

3.12 We will do this by creating a directorate led Service that works in synergy with our corporate partners in ICT Services, Information Governance, Legal Service and Performance Management to deliver a proactive, integrated and outcome led function that is embedded into the fabric of the directorate.

3.13 Additional funding will be required for the above proposal.

3.14 Once funding approval is granted, the Head of IM&T will work with HR, trade unions and staff to implement the new IM&T structure using the same recruitment principles applied across the wider IM&T communities. For E&H IM&T these will include all high risk temporary staff.

- Communicating and consulting with the ring fenced staff across E&H IM&T along with the trades unions;
- Maximising slotting arrangements wherever possible within the E&H IM&T;
- Unfilled posts after slotting and ring fencing will be advertised to the wider IM&T community after which any remaining posts will go to the talent pool for matching or switching opportunities before being advertised across the council

3.15 Benefits

- 3.16 The bringing together of the current Application Support Teams, Business Relationship Management Teams and taking ownership for the accountability for Information Governance with limited resources from the directorate, will deliver significant benefits as it will unify the ownership of information Management and Technology into one defined Service.
- 3.17 The creation of IM&T will lead to improvements in the way we manage our information assets, implement our governance, use technology to facilitate better outcomes working with our partners and ensure that return on investment is achieved at all levels of engagement. At the same time, IM&T will effectively link with corporate programmes, suppliers and partners to ensure that investment and opportunities to share and enable Civic Enterprise are realised.
- 3.18 IM&T will enable intelligence led contract management, the better commissioning of services and fit for purpose procurement and developments. It will allow for the cross fertilisation of skills reducing risk and releasing resource to target vulnerable information systems for improvement.
- 3.19 It will enable a holistic view of the directorates' information assets, bringing together data to allow for a city wide consolidated information view giving performance information to support strategy development and the delivery of service improvement objectives.
- 3.20 It will support the delivery of key programmes within the E & H valued in excess of £330m through:-
- Better Data Management linked to performance, providing better business Intelligence
 - Better Procurement of new and existing contracts, ensuring value for money, Information Governance and Statement of Requirements are captured and articulated at the outset
 - Better engagement with our Suppliers and Partners ensuring we always achieve the right outcomes for the City, Council and directorate at all levels

4 Corporate Considerations

IM&T is being developed across the council to enable a consistent approach for the management of Information and Technology within directorates, to work with corporate initiatives such as Smart Cities, Open Data, Civic Enterprise support the values and outcomes of the City, Council and directorate. IM&T will support the Better Business Management (BBM) principles by aligning fragmented resources to be brought together to deliver improved standardised and streamlined services.

5. Consultation and Engagement

- 5.1 The Head of IM&T has consulted Chief Officers across the directorate to ensure they fully understand the IM&T concept and allow them the opportunity to

feedback on the proposals in relation to how the staffing structure may impact on delivery of their services and joint working.

- 5.2 The Head of IM&T has shared the proposed functional structure with the Chief Officer for Strategic Housing and incorporated feedback into these proposals.
- 5.3 The Head of IM&T has met with individual staff teams to share the concept of IM&T and proposed dates for implementation.
- 5.4 Once the formal structure has been agreed with the Head of IM&T, the proposal will be shared with the trade unions, wider Heads of IM&T for feedback, linked to job families to ensure consistency across the council and any new job descriptions will be subject to job evaluation before general release.
- 5.5 Once the formal structure has been agreed with the Director of E & H, the structure, grades and assimilation proposals can be shared with staff.

6. Equality and Diversity / Cohesion and Integration

- 6.1 An Equality Impact Assessment has been undertaken in relation to the proposed structure and is attached at Appendix A. There are no adverse impacts to staff as a result of this restructure and the assimilation process proposed.

7. Council Policies and City Priorities

- 7.1 The proposed structure has been designed to maximise the ability of E & H IM&T to support the wider directorate to meet the new Leeds Vision, Council policies and City priorities.

8. Resources and value for money

- 8.1 Through engagement with E & H Chief Officers and the Head of Finance, the funding gap has now been agreed at £216,000.
- 8.2 The table below illustrates a summary of the number of staff and costs within the current and the proposed functional structure. Please note that the financial variance is five additional posts.

	Current	Proposed	Variance
Number of staff	32	37	5
Budget	£1,215,6564	£1,431,823	£216,167

- 8.3 The gap in funding of £216,000 will be achieved by additional by Service contribution being made by each service; £76,000 of the IM&T revenue budget for 2014/15 will also contribute to the funding gap identified. In future years the IM&T will look to either capitalise all ICT developments to support the budget pressure of £76,000 year on year or where possible use any revenue underspend.

9. Legal Implications, Access to Information and Call In

- 9.1 There are no significant legal implications associated with this decision.

10. Risk Management

- 10.1 In order to ensure that the IM&T has the capacity to deliver Information Management, Application Support and Business Relationship Management functions across the directorate it is essential to direct resources into this area.
- 10.2 Assimilation of staff into the new structure has been discussed with trade union colleagues and will be monitored to ensure that a fair and transparent process is followed. Support to all staff within scope will continue to be offered.
- 10.3 Failure to implement a new structure will present the following issues
- 10.4 A number of operational staff currently performing fragmented IM&T tasks within the frontline will need to continue delivering this function, putting operational delivery at risk. This includes temporary staff supporting Information Commission's Office (ICO) guidelines with no contract extension. Without the investment in this area of information governance, there will be no centrally managed FOI/SAR/DP requests, there will be a dependence on operational resource to manage systems, processes and legislation will need to continue. This has already been written out of operational job descriptions and structures in most parts of the new directorate restructure therefore, will cease to exist anywhere in the directorate leaving E&H immensely vulnerable.
- 10.5 Without additional resource and the introduction of leadership, the Business Partner function will not be able to deliver the front door for changes or embed IM&T principles, leading to missed opportunities to support wider agenda's such as Civic Enterprise agenda, Digital City, Smart Cities and development of key IMT Strategies, leaving the directorate unable to fully engage with the transformation and efficiency programmes.
- 10.6 With no additional training support, information governance will not be embedded in the directorate, systems will be implemented with no training support and the exemplar training functions provided in some areas will cease and the operational workforce will not be supported though process and application changes.
- 10.7 Without investment in application management, there will be no further opportunity to free up and reallocate application support resource, meaning that there will be insufficient resource available to support and technically support the additional systems that have been procured for Waste Management, Parks and Countryside and Community Safety. Without the realignment of this function, the current siloed approach will continue, leaving no ability to maximise the benefit of rationalisation or tackle the reduction of unsupported high risk information systems.
- 10.8 Not investing in IM&T support will limit the ability of the support function to provide the helpdesk and queue management function for IM&T, the coordination of Marketing IM&T, Communication out to stakeholders and the provision of some of the much needed local support in terms of Information Governance. This would have a significant effect on the Application Management, further reducing the capability to provide system administration for the expanding product portfolio.
- 10.9 Additionally it will not allow the division to organise its work to best effect and provide the outcomes required by the directorate.

11. Conclusions

- 11.1 With the introduction of IM&T, this is an opportunity to invest to save over the long term, by effectively bringing fragmented, unsupported and under resourced functions together, the return on investment will be more than just financial.
- 11.2 IM&T will enable better outcomes for the directorate's front line services, linked to council and city outcomes, IM&T will change the way we manage our suppliers and rationalise the number of desperate applications. With a robust Business Partner function in place, IM&T will transform future business requirements by being fully integrated and seeking opportunities to support innovation and change.
- 11.3 By default, Information Governance will be everyone's responsibility to ensure our information is safe through better governance and training, reducing the risk of data breaches, enabling secure data sharing with partners, and that data quality is at the heart of governance to support better outcomes.

12. Recommendations

- 12.1 For the immediate release of the PO6 and P04 positions to allow the redesign of functions.
- 12.2 To consider the financial implications for Tier 3 and below for the additional funding to be approved to finalise the remainder of the E & H IM&T structure, and to proceed to the consultation and implementation stage with, trade unions and staff.

13. Background documents¹

- 13.1 E&H IMT Team Structure
- 13.2 Appendix A – IM&T Impact Assessment Equality

¹ The background documents listed in this section are available to download from the Council's website, unless they contain confidential or exempt information. The list of background documents does not include published works.

