



Appendix A: ICT and Information Management Strategy

2014 – 2019

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1.0 Purpose

This document describes the direction of travel for ICT and information management at City and County of Swansea (CCS) over the next five years. It sets out the current environment, ICT objectives and priorities, and next steps.

The strategy process has followed best practice guidance supported by templates, research, and advice from Gartner Inc. Workshops have been undertaken with key stakeholders to gain input to this document, which has also been informed by:

- § Internally: The Corporate Improvement Plan, Sustainable Swansea – Fit for the Future, Schools ICT Strategy, Medium Term Financial Plan, service business plans, and associated Directorate programmes, e.g. Poverty Strategy.
- § Externally: Partnerships and One Swansea plan, digital by default¹, local government in the digital age², Delivering a Digital Wales³, and partner ICT / information strategies (e.g. Neath Port Talbot, Swansea University).

The goals of the strategy are to ensure that:

- § ICT investments are determined corporately by Council strategy and the Schools ICT Strategy
- § **Information management** principles and governance underpin all operations and decisions
- § ICT services reflect business / service **demand**, i.e. what should ICT work on and in what order?
- § The ICT functions **supply** quality services, i.e. how should ICT deliver its primary responsibility

The Council has not agreed an updated ICT strategy for many years particularly not an approach which included information management. This document outlines an initial direction of travel, and will be updated in December, in order to incorporate the future ICT Operating Model and reflect the Cap Gemini exit arrangements. The strategy will then be reviewed annually and delivered through a three year planning cycle.

¹ Government Digital Strategy, Cabinet Office, (Dec 2013)

<https://www.gov.uk/government/publications/government-digital-strategy>

² Transforming Local Public Services – Using technology and digital tools and approaches, LGA, (Jun 2014)

<http://www.local.gov.uk/documents/10180/11553/Transforming+public+services+using+technology+and+digital+approaches/ab9af2bd-9b68-4473-ac17-bbdf2adec05>

³ Welsh Government, Delivering a Digital Wales

<http://wales.gov.uk/topics/businessandconomy/digitalwales/?lang=en>

2.0 Context of 2014 ICT Position

An ICT outsourcing framework agreement has been in place since 2005 which comes to an end in December 2015. Feedback via customer surveys and the strategy workshops indicates a high level of satisfaction with network and desktop support through the contract. However there has been an increasing level of dissatisfaction with the lack of ICT development possible within that agreement. This has resulted in Services pursuing their own ICT procurements and developments in order to move forward and meet their responsibilities / obligations. Therefore the Council now has many different silo systems in operation – some of which are not known to the ICT department, information is not joined-up around the needs of customers, and in some cases systems are duplicated.

In the past two months a new Information and Business Change service has been created and a new management team appointed. A transition programme has begun for the in-sourcing of ICT Services by January 2016. The Exit Plan for this will be completed by the end of October. However the Head of Service is currently re-structuring to enable some ICT development and innovation immediately, to support the corporate transformation programme and growing needs of services and schools.

CCS uses an Oracle platform for its major back office systems, which is due for upgrade in 2016. Strategic options are being reviewed and will be incorporated into the implementation plan, budget and business plan.

Many schools have voiced dissatisfaction with the lack of development, poor resilience, and connection speeds. A review is underway of the Schools Service Level Agreement (SLA) and an improvement programme is in design to address the issues through the autumn term.

Services and Members have also expressed dissatisfaction in the flexibility and resilience of ICT, and the urgent need for more mobile working. The Council has invested £3m to upgrade areas of infrastructure and introduce WiFi, these developments are just coming on stream now.

In addition ICT governance arrangements require review and development to ensure:

- § ICT priorities reflect the needs of CCS and schools (demand), and are planned, implemented, managed, and monitored corporately not just by ICT
- § Effective use of financial and human resources



- § Robust information management
- § Robust ICT management (supply) including security.

3.0 Demand – The needs of the business / services

3.1 Business Context

Situated in the middle of the South Wales coast, Swansea is the second largest city in Wales and the regional centre for South West Wales and the Swansea Bay City Region. The population of the City & County reached 240,300 by 2013, an increase of 14,000 (+6%) over the previous ten years. In line with elsewhere, population growth has been higher in the upper age groups; increasing by 19% (+4,400 people) amongst those aged 60-69 (coinciding with the post-war baby-boom), with further significant growth in people aged 85 and over (+1,200 or 25%). The latest Welsh Government population projections suggest these trends will continue, with Swansea's population projected to edge towards 270,000 by 2036. As a consequence of these demographic trends, together with the Council's policy aspirations, the **Local Development Plan (LDP) Preferred Strategy** states a need to provide for about 17,000 new dwellings and 14,000 new jobs over the plan period to 2025.

The Council faces **significant challenges and radical change** to how services will be delivered and accessed in the future, including the shape and future of local government in Wales as a result of the report from the Commission on Public Service Governance and Delivery⁴. Unprecedented levels of budgetary constraints, the need to deliver more for less, the need for closer collaboration from different agencies to deliver better public services, and new legislation requirements are all aspects which need to be considered.

There are also great advances in technology fuelling an enhanced 24/7 personalised customer experience in other sectors and this challenges the current models of delivery. The **technology development cycle is becoming increasingly shorter**, raising customer expectation of the art of the possible using technology. In addition **social media** is rapidly becoming the main way that people communicate, with some public and third sector organisations deploying **crowdsourcing** as a key strand of their customer insight, consultation, disaster recovery, and engagement work.

There is an evolution of the **Smart City**, urban areas where sectors cooperate to achieve sustainable outcomes through the analysis of contextual real-time

⁴ Commission on Public Service Governance and Delivery, Summary Report (Jan 2014)
<http://wales.gov.uk/docs/dpsp/publications/psgd/140120-psgd-summary-report-en.pdf>

information, shared among sector-specific information and operational technology systems.

In Great Britain **84% of households are now using the internet** in 2014 and 92% own some form of mobile device. **Over 40% of people aged 65 or older use the internet on a daily basis** and this is set to increase as the population changes over the next 10-20 years⁵. At a more local level, **77% of households in Swansea had internet access in 2013-2014, the 8th highest of the 22 authorities in Wales** – just above the Welsh average of 75%⁶.

A Society of IT Managers (SocITM) study in 2012 estimated that the ‘**cost of contact**’ for face to face transactions averages £8.62, by telephone £2.83 and online £0.15. Equally **moving services online is more economic for the public and businesses**. Government estimates suggest, one hour spent interacting with government by other channels costs the average citizen £14.70⁷.

CCS is meeting these challenges in two ways: through the **Policy Commitments in the Corporate Improvement Plan**; and via the corporate transformation programme **Sustainable Swansea – Fit for the Future**. The ICT and Information Management Strategy will continually evolve in response to these priorities; informed by service plans and the medium term financial plan (see Figure 1). Partnership working will be a critical success factor to delivering efficient, effective, joined-up services. Key partnerships are identified through service plans and will inform ICT strategy implementation.

Sustainable Swansea – Fit for the Future has four key strands. ICT and business change projects form a key part of each strand:

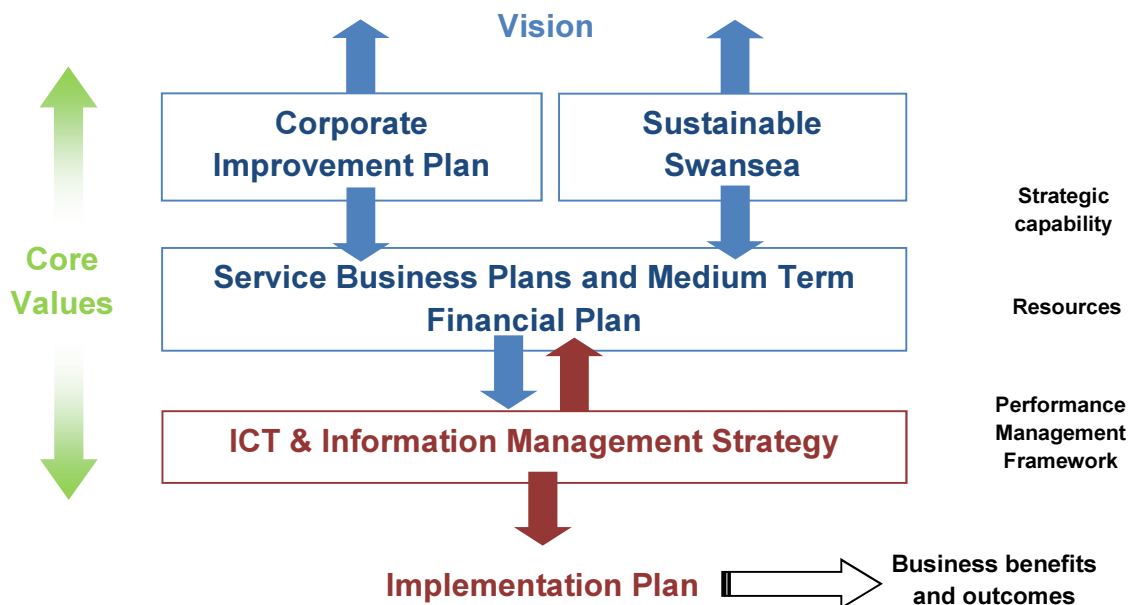
- § **Efficiency** – Reducing waste in the current system, automating support processes where possible
- § **Prevention** – Early intervention and managing demand, using technology to help people make the best of their own resources, help the Council get upstream of issues, and to enable social change
- § **New models of delivery** – Changing the way services are delivered including self-service
- § **Stopping services** – Using technology to signpost people to information, advice, guidance, and partners

⁵ Office of National Statistics, Internet Access Households and Individuals 2014 (Aug 2014)
http://www.ons.gov.uk/ons/dcp171778_373584.pdf

⁶ National Survey for Wales, 2013-14 results, Welsh Government (June 2014)
<http://wales.gov.uk/statistics-and-research/national-survey/?lang=en>

⁷ Digital Efficiency Report, Cabinet Office (Nov 2012)
<https://www.gov.uk/government/publications/digital-efficiency-report/digital-efficiency-report>

Figure 1:



Despite the lack of applications development since 2005, there has been a drive for innovation from services, e.g. the legal portal accessed by local solicitors and barristers, and which may now be taken Wales-wide due to its success; in addition automation of processes in Revenues and Benefits has significantly increased self-service in that area.

Sustainable Swansea aims to build on this growing culture of innovation corporately, but needs to be supported by robust, resilient technology solutions within a business change framework.

3.2 Business Success

Effective, efficient, and innovative delivery will improve outcomes for the citizens of Swansea. For many local authorities in England, **customer insight** has been a critical success factor to improving outcomes, engagement, income and savings, e.g. East Riding of Yorkshire Council used customer insight to:

- § Address specific issues around anti-social behaviour and identified where savings could be made
- § Re-design systems to increase free school meals and reduce child poverty

Darlington Borough Council used insight to gather information on families with multiple needs and take a whole Council response. London Borough of

Croydon was able to improve access to Council services for children and families as well as improving safety through street services. In addition both Portsmouth and Woking significantly increased traded income through innovative new services that met an identified community need.⁸

For CCS, customer insight and access to joined-up information will be key to effective prioritisation, decision-making, and citizen engagement.

This will drive and inform the priorities for IT investment and development and provide focus for business change projects.

4.0 Strategic Objectives and Priorities

The ICT and business change contribution draws on the business context outlined at section 3 and is built around **five strategic objectives**:

1. Maximise the direct impact ICT and business change has made to the delivery of Council services, support for schools, and outcomes for the public
2. Create cost transparency for the ICT and business change services provided, with the specific aim of demonstrating value for money and reducing ICT running costs
3. Support decision-making and service improvement based on customer insight and robust joined-up information management
4. Develop a partnership approach, both internally with colleagues across CCS, and externally with schools and other partners across sectors to drive ICT enabled services, business change and efficiencies
5. Create a workforce with competencies in ICT innovation, improvement, and business change.

These will be supported through a number of **principles**:

- § **A culture of 'Everyone's IT'**: ICT ownership and innovation within services and schools, governed by collective agreement of the way forward, while ensuring a corporate approach
- § **Leverage**: Wherever possible leveraging external partnerships for shared services, improvement and efficiencies
- § **A culture of continuous improvement**: Organisational capability should reflect a culture of continuous improvement supported by technology
- § **Digital First**: Digital by default, while being mindful of inclusion and changing demand for Council services

⁸ Local Government Association Knowledge Hub

Priorities over the next three years:

1. ***In-house management of the ICT Service:*** Develop an operating model, which is fit for the future while ensuring continuity, and incorporates the other nine priorities. Start developments now in the transition, without waiting for December 2015. This includes delivering robust **resilience, disaster recovery and business continuity arrangements**
2. ***Flexible, agile, and mobile working:*** Roll out mobile working and move to cloud computing to deliver improved disaster recovery, increased storage, and reduce the current burden of upgrades. Become responsive to changes in services and the external environment by delivering within faster development cycles
3. ***Information Management:*** Deliver a joined-up corporate approach to information management that effectively support CCS decision-making. This includes information sharing to improve service delivery
4. ***Balancing standards, security, and business needs:*** Implement best practice data security protocols and standards, balanced against the needs of services and the public
5. ***Alignment:*** Deliver a corporate approach to information management with systems joined-up around the customer. Avoid duplication of functionality by consolidating 3rd party systems, and ensure any integration is cost effective and sustainable
6. ***Transformation:*** Support lead officers to deliver the Policy Commitments and Sustainable Swansea outcomes and deliverables, prioritising self-service areas and income over the next twelve months
7. ***Partnership:*** Work in partnership with colleagues across the Council and schools to ensure ICT and business change proactively supports services and leads in achieving their objectives. Develop key strategic external partnerships that will maximise outcomes, efficiency, and information sharing, e.g. Developing an attractive regional business model that partners will want to buy into
8. ***A hybrid model of buy and open source build:*** Consolidate the number of 3rd party systems, and in parallel build small, cost effective, open source solutions and web applications. This would enable a corporate view of customers, properties, and resources, therefore maximising information and increasing customer insight
9. ***Innovation:*** Recognise new ICT trends and communicate these across the Council, schools, and regional clusters, e.g. Smart Cities, Swansea broadband
10. ***Develop and invest in staff:*** Develop not only ICT staff skills and competencies, but also those of ICT and business change champions to drive the culture of Everyone's IT.

4.1 Future ICT Operating Model

The Information and Business Change section is in the process of developing a new operating model for ICT services post December 2015. This forms part of the exit planning process, which is due to complete by the end of October.

The anticipated ICT portfolio of services will include:

- § Infrastructure Services
- § ICT Innovation Services
- § Operational Support Services
- § Client Services
- § ICT Security, Compliance & Risk Services
- § ICT Procurement & Contract Management Services
- § Regional Collaborative Services
- § ICT Project Services
- § ICT Self Service.

The ICT delivery model focuses on: how customers will access ICT services, the team structure and skills needed for the new model, current and predicted future demand - particularly as Sustainable Swansea begins to deliver intended outcomes, and finally a list of key IT champions out in Directorates.

The future operating model, enterprise architecture, and service catalogue will be incorporated into this strategy once approved as part of the Exit Plan. Benefits and intended outcomes of the new operating model will also be identified.

4.2 Organisation and Resourcing

ICT aims to provide CCS and schools with a business focused service. To provide this level of service ICT will:

- § Engage formally and informally with ICT champions to understand the expectations, in business terms, of how ICT must efficiently and effectively support them
- § Focus on delivery of ICT services that support and enable successful business operations
- § Monitor, measure and manage the ICT service, in business terms
- § Work with suppliers to deliver reliable and cost effective services, based on business requirements
- § Deliver in partnership, sharing resources and information where appropriate
- § Invest in the ICT team to ensure they are appropriately equipped with leading best practices (e.g. Microsoft Certification, IT Service Management, Project Management) to deliver the agreed ICT services.

4.3 Information Management

A key factor in ensuring the investment in ICT delivers business value is to ensure an effective information management strategy is implemented. Therefore a corporate strategy for information will be developed, defining a common information structure to share across Council services and external partners.

Master Data Management will be a major component in achieving this. Processes, procedures and tools for handling master data will be defined and implemented, eventually enabling a single view of the customer and customer profiles. Business Intelligence and performance management solutions will be used operationally and strategically. Information for management will be provided through portal-based dashboard services, making the data easy to understand, breakdown and analyse.

The Information Strategy journey will start with understanding the Council's information assets, where they reside, how they are used and, importantly, which service, function and/or application owns them. The goal is to be able to utilise the information and data within (and beyond) the Council to improve services to customers. This will involve efficient and effective use of data assets, including the principle of capturing information once only.

A Data Warehouse will provide the Council with an enterprise wide repository of data and information, which can be managed and maintained to assure the highest levels of integrity and consistency while stored on a secure and trusted platform and not negatively impacting other operational systems.

5.0 ICT Control

The principle of 'Everyone's IT' aims to deliver the business and schools with flexibility while ensuring a joined-up, consistent approach. ICT controls facilitate this through a framework of guiding principles and robust corporate ICT governance processes.

5.1 Principles

The following proposed guiding principles will be used to determine the development of any future ICT solution:

- § Functionality – it is adaptable to future business needs
- § Scalability – can be rolled out quickly and cost effectively
- § Maintainability – stable, reliable, upgradeable, cost effective and the skills are easily available
- § Interoperability – integrates with CCS, schools and partner systems
- § Affordability – IT investment and benefits can be realised
- § Resilience and reliability – Always available, high speed

- § Capable of incorporating innovation and new developments.

5.2 Proposed Governance

ICT governance is defined as: “The process that ensures the effective and efficient use of IT in enabling an organisation to achieve its goals”. The proposed ICT governance model at Figure 2 will ensure:

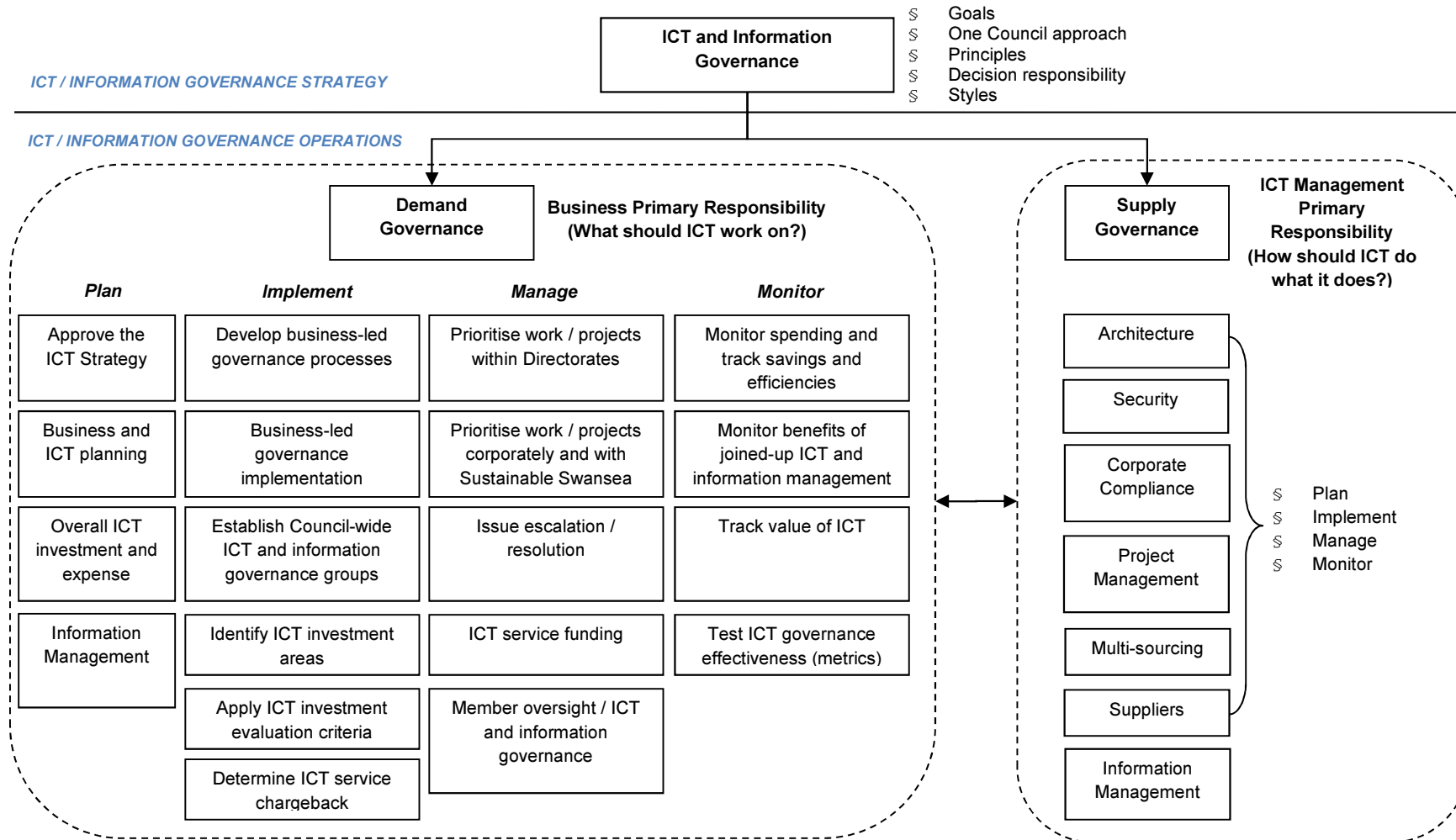
- § The correct prioritisation of business application developments
- § Robust information management
- § ICT investment is aligned with business needs
- § Buy-in at all levels and collective decision-making, not just seen as the responsibility of ICT
- § ICT Compliance with policies and standards. This will include external standards which are increasingly important, e.g. Public Service Network (PSN) compliance, IT Information Library standards (ITIL), ISO 27001.

5.3 Performance Metrics

Performance metrics will be developed which reflect:

- § Progress towards achieving the five strategic objectives identified in section 4, this includes:
 - Business outcomes: the direct impact ICT and business change has made for services and leads against the Policy Commitments, Sustainable Swansea, service plans, and the medium term financial plan
 - Financial metrics around value for money and demonstrating a reduction in running costs
 - Progress on deliverables which demonstrate improved information management and use of customer insight
 - Monitoring planned outcomes, deliverables, and feedback from a partnership approach, both internally and externally
 - Measuring workforce development around ICT and information management
- § Performance around the new ICT Service post December 2015, some of which are already effectively used within the Cap Gemini contract
- § Performance against the schools SLA including customer satisfaction
- § Key performance indicators which feed into the corporate dashboard and monitor the Council’s priorities

Figure2: Proposed Governance Model



6.0 Financial Resources

The budget for the service will be presented as part of the next iteration of this strategy in December, in order to incorporate transition costs agreed in the Exit Plan. The aims around managing financial resources moving forward are to:

- § Reduce the running costs of ICT corporately
- § Capture, manage, and plan corporate ICT spend
- § Plan ICT investment for the next 3-5 years based on: Council priorities; the needs of the business and services; and informed by robust information, data, and customer insight
- § Follow the ICT governance process to ensure ICT spend is agreed corporately, not only by the ICT service.

7.0 Next Steps

1. Engage Members in further development of this strategy, development of the new operating model, and exit plans. This includes establishing a Member Reference Group and engaging Scrutiny.
2. Present this interim direction of travel to Cabinet 21st October 2014
3. September – December deliver the following in parallel:
 - a. Develop the 3-5 year implementation plan from the objectives and priorities outlined at section 4 (begin quick wins immediately)
 - b. Complete the future ICT Operating Model
 - c. Agree the Exit Plan and transition costs to an in-house managed service
 - d. Establish the ICT governance arrangements and corporately agree the priorities for ICT investment
 - e. Develop the information management strategy
 - f. Define the operating budget
4. Present the updated strategy and plans to December 2014 Executive Board



8.0 Appendices

8.1 Appendix 1: Risk Register

Risk	Impact (L/M/H)	Probability (L/M/H)	Mitigating Actions
Lack of corporate approach to ICT investment could mean running costs do not reduce	H	L	<ul style="list-style-type: none"> § ICT governance arrangements will ensure priorities are agreed corporately § Develop metrics to monitor on a monthly basis
Lack of confidence in ICT due to past experiences could mean services are reluctant to engage	H	M	<ul style="list-style-type: none"> § Identify ICT champions early § Deliver quick wins to build confidence
Requests for financial investment in ICT could not be seen as a priority at this time	H	L	<ul style="list-style-type: none"> § Match ICT investment to business, service, schools and public outcomes / improvements
The transition period to an in-house managed service could impact direction of travel	H	L	<ul style="list-style-type: none"> § Robust exit planning process and aligned with the proposed direction of travel
Capabilities around ICT for the future will take time to develop, therefore benefits to the business and services could impact targets	M	M	<ul style="list-style-type: none"> § Develop skills and begin developments immediately, not waiting until Cap Gemini transfer in December 2015
Developing / addressing too many areas at once	H	M	<ul style="list-style-type: none"> § Programme and resource planning alongside the business to ensure priorities are corporately agreed and understood