Darlington Borough Council

Corporate Information Governance Policy

January 2008

Foreword

Information Governance addresses the requirements that law, ethics and policy place upon information management and processing; holding, obtaining, recording, using and sharing of information. It is a framework that establishes good practice, promotes a culture of awareness and quality improvement in addition to ensuring that the Council complies with legislation and other relevant standards.

Darlington Borough Council will have a robust Information Governance framework and will ensure that employees are aware of its requirements which support the:
- Efficient management of services and resources
- Monitoring of Performance
- Day to day operation of the Council.

Paul Wildsmith – Director of Corporate Services
Councillor Harker –Resources Portfolio Holder

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1   Executive summary

1.1   Outcomes

The key outcome from the Corporate Information Governance Policy will be the establishment of key records and information management principles and best practice throughout the Council and delivery of efficiencies that enhance and streamline back-office operation, customer service delivery and Leading Edge. The policy addresses records and information management issues that the whole Council must tackle and to which individual service and support units must contribute. The policy takes a phased approach: the first of these phases, namely the implementation of a robust information governance programme across the Council is detailed; and the vision for the second phase is outlined, the business case for which will be developed during the first phase and form the substance of a capital bid for 2008/9.

The policy provides:
- A strategic framework of records and information management policies and protocols, standards and guidance, and
- Outlines the above framework to be embedded by developing centres of excellence across the Council, accommodating each directorate and in Leading Edge projects, delivering core officer support to provide secure and quality records and information, and establishing staff and members' awareness-raising and training sessions

The policy brings together:
- Existing information governance related policies and strategies with action plans to update them in the context of corporate information governance
- Existing good practice in the Council, such as data quality and information security

1.2   Implementation

The policy will be implemented using the following 6 strategic workstreams:
- Managing information governance - establish a robust and representative governance structure that owns and states explicitly the outputs of the policy
- Compliance - ensure ongoing compliance with information rights legislation and addressing any identified gaps
- Records management - establish legal retention, archiving and disposal schedules with the aim of obtaining compliance with the international standard for records management, ISO 15489
- Information security - aim for obtaining compliance with the international standard for security, ISO 17799
- Data quality assurance - maintain and extend our strong track record of data quality in performance management and financial datasets
- Knowledge management - develop existing knowledge bases, such as the Council intranet

The policy's success is dependent on strong partnerships within and outside the Council, for example:
- ICT Division - to establish technical, information architecture standards

- Customer Services - to develop the Council intranet
- Communications Team - to revise and establish corporate style guidelines
- Library Services -to establish manual archiving and local studies procedures
- Policy Unit – to establish a data quality strategy
- Legal Services – to ensure our revisions to information rights policies and procedures are compliant
- Human Resources - to develop knowledge management in HR processes
- Environment and planning - to ensure new Environment Information Regulations procedures are relevant and support their front-line
- Benefits - to ensure fraud is kept to a minimum with good data matching and information sharing agreements
- Stockton Borough Council, i.e. ensuring information management is built into the Stockton-Darlington Partnership
- 3rd parties, e.g. PCTs, the police and schools

In the main, the skills required are available within the Information Governance Team. However the team does not have the capacity to do all the work and is dependent on the availability of appropriate staff resources in the directorates to deliver the above. This can be achieved by integrating information governance into…

- directorate management meetings
- annual service planning
- team work plans
- PDRs
- cross-directorate centres of excellence
- Leading Edge and corporate projects

This phase of the policy aims to exploit existing resources more efficiently. The business process analysis of each policy workstream will assess exactly what skills and resources are required and address them appropriately, according to capacity and budget.

1.3   Leading Edge: Corporate Information Governance Policy links with the corporate plan
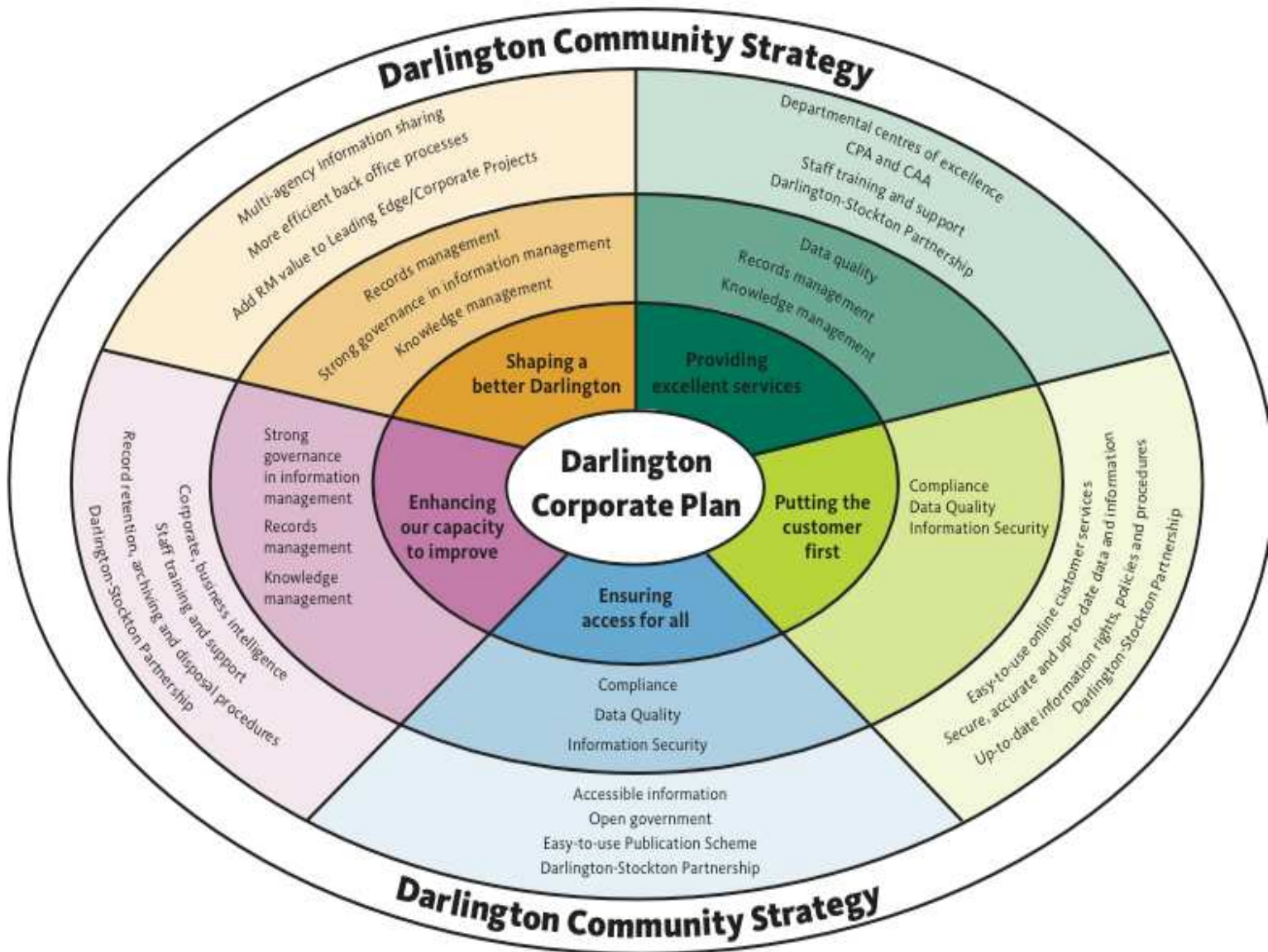
2   Introduction

Information is second only to people as a Council asset. The delivery of services to business and customers produces electronic and paper records as evidence of individual transactions. This evidence needs to be retained and maintained as records over the medium to long term to demonstrate accountability and preserve reliable access. The ongoing replacement of manual and paper-based processes with electronic processes in government administration has generated vast amounts of electronic knowledge, information and records as evidence in policy-making, casework and service delivery records, all of which needs to be managed effectively.

The Corporate Information Governance Policy serves the Council's overall priorities as defined in the Corporate Plan "Leading Edge". The key objective of the policy is to establish key records and information management principles (see section 5.2) thereby achieving efficiencies that enhance and streamline back-office operation, customer service delivery and Leading Edge. It enables and supports delivery of the following key objectives:

- Leading Edge – support the Council's programme to modernizing communications and capacity building with officers, elected members and stakeholders
- Efficiency – establish business processes, standards and guidance to minimise duplication of information, maximise efficient use of electronic and paper storage facilities, minimise unnecessary storage and maximise knowledge retention
- Customer service development – by streamlining back office processes and enabling improved access to information and services for customers, staff, members and partners
- Compliance with legislative and statutory requirements – work with partners to facilitate shared access to information within a secure framework
- Partnership working – collaborate with internal and external partners in joining up information, processes and services to improve quality and efficiency, such the Stockton-Darlington Partnership

The policy flows out from the existing Records Management Policy and would enhance the Council's improvement and efficiency agenda as outlined in Darlington's Annual Efficiencies Statement, such as savings estimated from the Admin Review and Procurement.

Not only does the policy directly impact upon local priorities but also adheres to the following national drivers:

- Information management cashable and non-cashable efficiencies as outlined in the Gershon Review, for example improving the corporate back office, particularly IT, finance and HR, through the development of shared services (Stockton-Darlington Partnership), best practice (records and information management "centres of excellence", see below) and the simplification of processes and procedures (staff time efficiencies resulting from better information management and the Admin Review).
- Comprehensive and ongoing compliance with the records management codes of practice as outlined in the Freedom of Information Act
- Transformational Government
- Legislative requirements from the Children's Act, Freedom of Information Act, Data Protection Act, etc. (see Appendix 4)

The policy provides:
- A strategic framework of records and information management policies and protocols, standards and guidance
- Outlines the above framework to be embedded by developing centres of excellence across the directorates and in Leading Edge projects, delivering core officer support to provide secure and quality records and information, and establishing staff and members' awareness-raising and training sessions

3   Scope

This policy addresses records and information management issues that the whole Council must tackle and to which individual service and support units must contribute. All services and projects will need to work together with the Corporate Information Governance Team and reformed Corporate Information Governance Group to achieve the policy's objectives and to maximise the benefits that can be achieved through the joint use of data and information.

This policy outlines the first of two distinct phases in implementation of robust information governance across the Council. The business case for the second phase will be developed in parallel with the implementation of first phase and is outlined in more detail in section 12: Next Steps.

3.1   Phase 1 – from January to December 2008
- Establish a strategic framework of policies and protocols, standards and "best practice" guidance for staff
- Establish mandatory staff training for Access to Information and Records Management as part of the Workforce Development Programme
- Establish Access to Information, Records and Knowledge Management training modules as part of the Management Development Programme
- Establish centres of excellence in records management across the Council
- Assist Leading Edge projects in maximising their efficiency targets
- Develop an evidence based business case and specification for a corporate electronic records and document/knowledge management solution in the Council

3.2   Phase 2 – September 2008 to December 2009 (a Leading Edge Project – details in section 12: Next steps)
- Submit a capital bid for the funding of a system solution to the Council's knowledge management requirements
- Agree a business case for development
- Agree a system specification
- Enforce the above strategic framework of policies and protocols, standards and "best practice" guidance across the Council by extending the established centres of excellence in records management across the whole authority using the above technical solution in conjunction with staff training
- Roll-out Darlington's corporate electronic records and document/knowledge management solution
- Implement a holistic information architecture for the above solution in partnership with Stockton Borough Council

4   Purpose

The Council receives and processes a large quantity of information as a result of delivering services. This policy will assist the Council to achieve efficiencies in internal processes by:

- Training and supporting staff to apply records and information management best practice when creating, holding and using records and information,
- Improving the accessibility and usefulness of Council information
- Enabling legitimate information exchange with the public and external partners, such as the PCTs and police
- Enabling the requirements of legislation, regulations and guidance concerning data and information to be followed
- Providing a coherent, strategic framework for records and information management across the Council, including work that has already been completed (e.g. records management policy and guidelines) or that is underway (e.g. information sharing protocols, Leading Edge projects)
- Establishing centres of excellence in records management best practice
- Preparing the organisation for further strategic development (see section 12)
- Ensuring legal and statutory compliance, e.g. FOIA, DPA
- Laying a strong foundation of best practice throughout the Council

5   Key objectives

The primary outcome of this project is to ensure the Council can demonstrate the management of records and information in a manner that:

- improves service delivery by streamlining back office support,
- meets statutory and legislative requirements,
- achieves greater efficiency and,
- facilitates the outcomes of Leading Edge, such as modernizing communications and capacity building.

5.1   Outputs

This policy is concerned with all records and information held within the Council and will address these issues by generating the following outputs:

- A Corporate Information Governance Group with a mandate to provide a governance framework to support and deliver the Corporate Information Governance Policy and workstreams throughout the Council
- Records and Information management policies and procedures – revise the existing Records Management, Freedom of Information, Data Protection and Information Security policies and procedures; draft new policies and procedures for Data Integrity and Quality, Re-use of Public Sector Information and Environmental Information Regulations thereby ensuring that the Council meets statutory and legislative requirements for records and information retention and storage, sharing and confidentiality
- Records and Information Management Protocols, Standards and Guidance, including data cleansing guidance for electronic data, paper to electronic data and paper
- Information and Data Sharing Protocols - Information sharing protocols to support all services that need to work more closely with 3rd parties and share information across the directorates

- An evidence based proposal for the next phase of the Corporate Information Governance Policy using the data and knowledge gained from developing the centres of excellence and Leading Edge projects
- Access to Information and Records Management training modules - staff training and awareness sessions to establish and support the strategic framework of records and information management policies and protocols, standards and guidance across the Council

5.2 Principles

The first phase of this policy will start to embed the following key information management principles into the Council's working practices. Full integration into working practices and systems will be fully embedded by the second phase (see section 12):

Corporate asset	Information is a corporate **asset** and therefore requires a corporate approach to its management, as with any other asset.
Secure and confidential	Information must be managed in a **secure** fashion, preventing unauthorised access and ensuring confidentiality.
Accessible and open	Information must be readily **accessible** and **open** to those who need it for operational or business reasons and systematically shared within the organisation and with partners.
Accurate and up-to-date	Information must be **accurate** and **up-to-date**
Held once	Information must be captured **once**, as close to the source as possible, and shared/reused many times
Compliance	Information must be managed in **compliance** with legislation and operation requirements.
Managed	Information must be **managed** in line with the Records Management Society's retention, archiving and disposal schedule.
Relevant	Information must be **relevant** to help improve the efficiency of the services offered by the Council.

6 Implementation

The policy will be delivered in the following ways:
- Strategic framework of policies and protocols, standards and guidance
- Develop centres of excellence in records and information management
- Assist Leading Edge projects to maximise their efficiency targets and fully utilise the implementation of technical solutions
- Establish a core support service for all staff and members in the Council

It will be implemented using 6 strategic workstreams with a task and finish group to oversee the completion of tasks in each workstream:
- Managing information governance
- Compliance
- Records management
- Information security
- Data quality assurance
- Knowledge management

6.1 Managing information governance

In order to deliver the policy, a robust and devolved governance structure needs to be put in place, such as the resurrection of the Corporate Information Governance Group. The outputs of this workstream will ensure that there is a clear audit trail of decision-making and that each output of the policy will involve the relevant officers.

6.2 Compliance

Since January 2005, the Access to Information legislation has been put to good use in the borough of Darlington. Not only Freedom of Information requests but also a growing number of subject access requests using the Data Protection Act 1998. Historically the information management resource has been fully utilised in addressing the above and has not had the opportunity to realise its corporate remit. Now is the time to take this good work to the next level and make the same progress with the Council's records and document management.

6.3 Records management

The compliance workstream highlights issues that need to be addressed with records management. Records management underpins all the other workstreams as their objectives are not achievable without good practice at a basic level.
- Records management code (Code of practice 46, FOIA)
- ISO 15489

6.4 Information security

We need to keep and guarantee that personal and confidential information is secure and shared appropriately with internal and external partners. This workstream will contribute significantly to the Council's plans to attain the international standard, ISO 17799.

6.5 Data quality assurance

Data quality and management is a core component of information governance and an important factor in our Excellent status as a Council. Existing good practice in the areas of performance management and finance need to be systematically spread across the organisation.

6.6 Knowledge management

We need to use corporate intelligence more effectively to improve the Council's performance across a range of its activities and services. Much can be achieved by developing our largest knowledge base, the intranet, and by working closely with HR to improve succession planning a knowledge/skills sharing.

7 Need for change

This policy provides a strategic framework for delivering the change necessary to improve internal business processes and, subsequently, customer service delivery. The time is right to fully realise efficiencies and ICT solutions to support the objectives of Leading Edge projects such as the Admin Review. This policy will assist these goals by providing a framework of policies and processes, drawn out of staff consultation and the application of best practice in records and information management to develop centres of excellence across the Council.

To support the Council's need to make efficiencies across the whole organisation, we need to make the following changes.

- Review and revise existing policies and procedures to keep in line with the latest statutory guidance and decision notices delivered since relevant legislation was initially passed – Freedom of Information, Data Protection, Caldicott Recommendations, Bichard Inquiry, etc.
- Start combating back office inefficiencies, such as duplicated information; save staff time, project resources, physical and electronic storage space; avoid the re-generation of records and information that is already available and relevant
- Develop protocols to enable officers and members to access and share accurate information
- Ensure sensitive and personal information is stored securely and shared appropriately
- Support collaborative working and knowledge management
- Improve communication with members, other authorities and partners
- Support learning, advancement and knowledge retention
- Prevent inconsistent standards of archiving information
- Identify and eliminate redundant processes and information
- Reduce the risk of losing information and the consequential cost of replacement
- Achieve efficiencies by running Council operations in a more business-like way and by enabling business-led solutions, technical and otherwise
- Achieve excellence in corporate assessments
- Efficiently process requests for information
- Minimize complaints to ombudsman
- Minimize adverse publicity in the community
- Extend open and transparent government throughout the Council

8   Methodology

The Council utilises the new Micro Prince2 project management framework for all change projects and this policy will adopt the planning processes and templates outlined in the framework to ensure a rigorous implementation.

- Prince 2 – each of the strategic workstreams (see above) will follow Micro Prince 2 and be included in the policy's project plan
- Each workstream will be risk assessed in order to balance planned outputs and capacity

9   Monitoring and review

The policy and its outputs will be monitored according to its implementation workstream by the Corporate Information Governance Group with a 6 monthly update report to the Audit Committee.

For the policy to remain relevant it will be reviewed 12 months after approval by the Corporate Information Governance Group.   Any fundamental amendments will be reported to Cabinet for approval.

The Records Management Code and SOCITM also recommend a number of measures of good information management that will be used to assess the success of the policy in delivering its outcomes.

10 Partnership

The policy's success is dependent on strong partnerships within and outside the Council, for example:

- ICT Division - to establish technical, information architecture standards
- Customer Services - to develop the Council intranet
- Communications Team - to revise and establish corporate style guidelines
- Library Services -to establish manual archiving and local studies procedures
- Policy Unit – to establish a data quality strategy
- Legal Services – to ensure our revisions to information rights policies and procedures are compliant
- Human Resources - to develop knowledge management in HR processes
- Environment and planning - to ensure new Environment Information Regulations procedures are relevant and support their front-line
- Benefits - to ensure fraud is kept to a minimum with good data matching and information sharing agreements
- Stockton Borough Council, i.e. ensuring information management is built into the Stockton-Darlington Partnership
- 3rd parties, e.g. PCTs, the police and schools

11 Resources

11.1 Technology

Information management is not merely about technology; it is about providing a framework of policies and processes that enable staff to work more effectively and efficiently thereby providing good customer service. However technology can and does support this framework. For example:

- Electronic Document and Record Management Systems (EDRMS)
- Collaborative and knowledge management systems (SharePoint) providing toolkits to manage taxonomies, provide repositories for unstructured information and enable the implementation of retention and disposal policies and access controls
- Structured datasets/line of business systems, e.g. CRM, CareFirst, Uniform
- Content management systems (CMS) for the intranet and Council website
- ICT infrastructure – Window's network drives, MS Outlook, Window's Properties

This policy sets out the framework within which technical solutions can be applied as appropriate and according to the diverse business needs across the Council. Information governance in partnership with ICT will determine what technology is utilised to achieve its aims but the policy determines the business case, in partnership with the business areas, for the technology that will best assist its delivery.

11.2 Staffing and skills

In the main, the skills required are available within the Information Governance Team. However the team does not have the capacity to do all the work and is dependent on the availability of appropriate staff resources in the directorates to deliver the above. This can be achieved by integrating information governance into…

- directorate management meetings
- annual service planning
- team work plans
- PDRs

- cross-directorate centres of excellence
- Leading Edge and corporate projects

12 Next steps: Leading Edge Project – Knowledge Management/Electronic Document and Records Management solution (ICT, Customer Services and CIG)

The second phase of the policy will require funding from a capital bid and be a collaborative Leading Edge project.   Phase 2 will bring together ICT, Customer Services and the Information Governance Team to implement a corporate technical solution that will address the business needs of the Council's largest internal knowledge base, the staff intranet, and provide a technical infrastructure to reinforce the information governance strategic framework established in Phase 1.   Phase 2 will take place from September 2008 to December 2009 and develop a business case, bid for funding, draft a system specification for the above technical infrastructure and, subject to approval, procure and implement it across the Council.

Information governance is the business lead in this partnership with ICT and Customer Services and will form a strong footing for any development as part of the Stockton-Darlington Partnership. The project would need to be properly planned and resourced and necessitate at least a full time Project Manager, expert in the chosen technology, (additional resources) and a Project Management Team (existing resources).

12.1 Business case (draft)

- Structurally and technically enforce the strategic framework of records and information management policies and protocols, standards and guidance using the technical solution
- Enable officers and members quick access to quality online information and services
- Support management and performance measurement – by simplifying the audit trail of decision-making; achieving FOIA, DPA and EIR request handling targets; develop and maintain accessible web services, etc.
- Prevent disconnected business areas, projects and information resulting in the duplication of work effort and inefficient use of resources
- Prevent large and growing amounts of unnecessary data taking up more electronic and physical storage space
- Accessible and relevant web solutions for all officers and members creating a controlled information environment enabling considerable volumes of data to be retrieved and managed more efficiently
- Embedded retention schedule (Records Management Code)
- Accessible and relevant content/knowledge management system solutions for all officers and members
- Corporate record and document repositories accessible to all staff and members by using classification and search taxonomies defined by the staff who will use them

12.1.1 Service Transformation: A better service for citizens and businesses, a better service for tax payers", December 2006" (Sir David Varney)

This report (commonly called the Varney Report) sets out to improve the customer experience and maximise the efficiency savings by taking a more strategic and cross directorate approach to delivering services. It supports the above vision and seeks to:

- Exploit the full potential of electronic service delivery
- Explore the scope to improve processes for handling identity (identity management and information sharing)

This second phase will enable the Council:

- To manage and share data across the public sector to make it easier for the customer to carry out their transaction across multiple services (including exploring life event based services, enhanced identity management, etc)
- To use technology as an effective tool to improve the customer experience
- To identify and drive out efficiency saving through business process improvement (with an emphasis on end-to-end approaches and first point resolution)

13 Appendices

13.1 Appendix 1: Glossary

Various descriptions will be used in this document concerning information.
This policy must be considered whenever developments are considered that include any of the following terms.

Information can take the form of documents, photographs, plans, maps, pictures, data and other artifacts held in both physical and electronic form. It is derived from study, experience, instruction, specific events or situations that has been gathered or received by communications, intelligence or news, including processed, stored or transmitted data.

A **Record** is any recorded evidence that some specific activity, transaction or business process has taken place; a record is not defined by its physical format or storage medium.

Data usually takes the form of factual or other information that can be easily organised for analysis or used to reason/make decisions. It is often represented in a form suitable for processing by computer, e.g. databases.

Information governance (IG) is covers all the components of information management (see below) including:
- Information security
- Data integrity and quality
- Access to information legislation, guidance and standards
- Knowledge management (see below)

Information management (IM) covers the following definitions:
- **Document management** (DM) refers to the capture, creation, initial use of, retention, disposal and archiving of documents. This can include Document Image Processing (DIP), which is the scanning of paper documents into electronic format.
- **Record management** (RM) refers to the systematic management of all documents that are a record of a transaction or activity and the information or data that they contain.
- **Content management** (CM) refers to the capture and publication of information typically to an internet or intranet web channel.
- **Data management** refers to structured data, typically held in databases and supporting a business application, e.g. Planning Applications database.

Knowledge management (KM) is the creation and subsequent management of an environment that encourages knowledge to be created, shared, learned, enhanced and organised to retain expertise and staff experience for the benefit of the organisation and its customers. This environment enables business intelligence to be exploited.

Business intelligence (BI) is the intrinsic knowledge held within information forms, for example the business intelligence of a customer's record potentially enables the assessment of fraudulent claims to Council services and support.

Taxonomy

Taxonomy is a technique of classification by dividing information into ordered groups or categories using agreed terms and synonyms. They help customers browse through information and enable search engines to undertake more meaningful searches, thereby retrieving relevant information. The use of synonyms ensures that commonly used language can be used rather than prescribing terms that only a few people understand.

Metadata

Metadata is descriptive information about an object, resource, record or document. It makes information "findable" and "manageable" by describing that piece of information in a structured way thus helping public customers, staff and members to locate information that's pertinent to their business. ISO 15489 defines metadata as "data describing context, content and structure of records and their management through time".

Classification

A classification scheme is a way of organising information to make the management of that information easier. Classification schemes are used in every day situations such as libraries and Windows folder plans. A classification scheme is hierarchical and classes that represent broad "functions" are sub-divided into more detailed sub-classes.

Storage

There are four main types of storage:
- Temporary storage – storage space for transient items, such as work in progress, draft papers and notes yet to be transcribed; will be cleared out on a periodic basis (existing Shared Drives and desk in-trays)
- Corporate storage – storage space for documents and records that need to form part of the business record; records that need to be stored permanently will be archived (existing Shared Drives and filing cabinets)
- Backups – information stored for data recovery and business continuity purposes (infrastructure)
- Personal storage – storage space for the individual to store items of a personal nature; quota controlled and not used for items that form part of a corporate record (existing Personal or C: Drives and desk filing drawers)

13.2 Appendix 2: Corporate Information Governance Group – terms of reference

13.2.1 Mission statement

To provide "leading edge" information governance for Darlington Borough Council through the implementation of best practice, facilitating efficient business processes, excellent customer service delivery and legislative compliance to create a knowledge management environment for all employees, members and partners.

13.2.2 Purpose

The Corporate Information Governance Group owns the information governance function of the Council and makes decisions regarding the delivery and development of information governance policies and procedures, standards and protocols. The group will manage the delivery of the Corporate Information Governance Policy and its workstreams. The group will ensure that the Council conforms to relevant legislation and applies records and information management "best practice" across the organisation, to provide a benchmark in the community.

13.2.3 Objectives

- To lead on the Corporate Information Governance Policy across the Council and ensure excellence is achieved in records and information management across the Council and maintained to the satisfaction of the external bodies and inspections
- To deliver the Corporate Information Governance Policy and its workstreams with an agreed work programme in partnership with the directorates, ensuring implementation at service and team level
- To provide the strategic, legal and policy framework for the delivery of records, information and knowledge management best practice across the Council, ensuring compliance with all relevant legislation
- To allocate financial and staffing resources to implement the policy and fulfil the group's mission statement
- To make recommendations on system solutions for the information governance requirements of the Council
- To embody and develop joint-working best practice with key partners within and outside of the Council
- To systematically communicate with the Corporate Management Team and keep senior management up-to-date with developments

13.2.4 Governance: membership, roles and responsibilities

The group will be made up of directorate representatives across the Council. Each member of the group shares the core following core objectives:

- To champion information governance and the group's activities and decisions at directorate management meetings to ensure inclusion in directorate service planning, work plans and employee appraisals
- To represent the aims of the group and communicates decisions to directors, managers and officers to ensure that records and information management are embedded in relevant strategy, service delivery and development
- To represent their directorate and keep the group informed of relevant strategy and developments across all parts of their directorate
- To attend the group meetings or ensure representation from an appropriate colleague

Role in group	Title and directorate	Lead officer/ deputy	Responsibilities
Champion	Director	Paul Wildsmith	- The Information Governance (IG) Champion and representative of the Corporate Management Team - Kept appraised of the groups activities and decisions - Owns the group as part of Council's broader strategic agenda
Member champion	Resources Portfolio Holder	Councillor Harker	- The IG Champion amongst elected members - Actively promotes IG and raise IG awareness amongst elected members
Chair	Head of Corporate Assurance		- Chairs and finalises resolutions of issues brought to the group - Owns the group as part of Council's broader strategic agenda

Information Governance lead (corporate)	Records and Information Manager		▪ Administrates and coordinates the meetings ▪ Advises the group on best practice in information governance (IG) ▪ Manages the implementation of decisions made at the group, including the Corporate Information Governance Policy ▪ Manages convergence of IG with other Council initiatives and projects ▪ Seeks advice from specialists across the Council, such as law, ICT, HR and Policy ▪ Keeps the group informed of latest relevant initiatives and guidance from the Information Commissioner's Office and the Records Management Society ▪ Liaises with other local, regional and national projects
Information Governance lead (Children's Services directorate)	Complaints and Information Governance Manager		▪ Advises the group on the practical implementation of corporate information governance in the directorates ▪ Advises the group on the information governance in integrated services
Directorate representative – Chief Executives' Office	Policy Manager		▪ Senior representative of the Chief Executive's Office ▪ Ensures group discussions and decisions are disseminated to the directorate's senior management team and ensures it is actively engaged in the corporate group's decision-making process, as appropriate ▪ Ensures that the groups plans and decisions are included in relevant directorate service plans and strategies ▪ Ensures that all relevant directorate projects have an IG component
Directorate representative – Children's Services	Assistant Director for Planning and Resources		▪ As above for Chief Executive's Office but for Children's Services

Directorate representative – Community Services	Assistant Director for Adult Services & Caldicott Guardian		▪ As above for Chief Executive's Office but for Community Services
Directorate representative – Corporate Services	Head of Corporate Assurance		▪ As above for Chief Executive's Office but for Corporate Services
Stockton-Darlington Partnership – honorary member		Nominated by Stockton Borough Council	▪ To ensure that Stockton Borough Council is engaged with information governance in Darlington Borough Council

NB: due to the cross-cutting and diverse nature of information governance and related projects, other individuals will be invited to share their experience and knowledge with the group when appropriate. This will ensure a more holistic and informed approach to information governance in Darlington Borough Council.

13.2.4.1 Housekeeping

- A formal meeting is to be held bi-monthly initially for duration of 1-2 hours. Once the corporate group and directorate integration is established, these meetings will become quarterly.
- The Records and Information Manager will be responsible for arranging meetings, taking and distributing minutes, and circulating any relevant paperwork. Meetings will be arranged using Outlook.
- Minutes will be approved by the group at the subsequent meeting and will be circulated to all members, the elected member champion and any other officer, as appropriate.
- A folder on the shared drive will store all necessary paperwork and all members of the group will have access to this drive. Members will be directed to accessing documents in this folder rather than having them circulated by email. Members will also adhere to the basic records management guidance for all documents in this folder.
- Six monthly progress reports submitted to the Audit Committee and CMT. Other papers will be submitted by exception.

13.3 Appendix 3: Summary of policy outputs

13.3.1 Cover sheet for policy

The key purpose of the Corporate Information Governance Policy is to establish key records and information management principles and best practice throughout the Council and achieve efficiencies that enhance and streamline back-office operation, customer service delivery and Leading Edge. The policy addresses records and information management issues that the whole Council must tackle and to which individual service and support units must contribute and takes a phased approach: this paper details the first of these phases; and outlines the vision of the second phase, the business case for which will be developed during the first phase and form the substance of a capital bid for 2008/9.

Output	Service area/project	Target completion date
Proposed centres of excellence	Children's Services Personnel Records (Children's Services and Corporate Services)	Spring 2008
	Council Tax/Housing Benefits Alignment (Community Services and Corporate Services)	Spring 2009
	Consultation Database (Chief Executive's Office - Policy)	Winter 2007
	Document management strategy (Corporate Services)	Winter 2008
	Planning Review (Chief Executive's Office - Regeneration)	Spring 2008
	Case File Management Review (Children's Services and Community Services)	Spring 2009
Other Leading Edge project involvement	Administration Review	Determined by each project plan
	Stockton-Darlington Partnership	
	Accommodation Review	
	Complaints Review	
	Organisational Development Strategies	
	CPA (Data Quality Strategy)	
Staff training programme	CETIS roll out of information governance policies and procedures	Summer 2008
	Employee Information pack - information governance policies and procedures	Summer 2008
	Learning and Development Directory - creation of staff awareness training module in information rights	Summer 2008
	Learning and Development Directory - creation of staff awareness training module in records management	Summer 2008
	Creation of information governance module in Member's Development Programme	Winter 2008
	Management Development Programmes - Information Governance module	Winter 2008
	Information Governance Liaison Officer (IGLO) training	Spring 2008

13.4 Appendix 4: Legislative compliance

Recent legislation has placed new obligations on local authorities. There are regulations that require us to provide information within given timescales, to make information more accessible and to protect people's rights. Information Governance legislation must be complied with throughout the Council:

- Data Protection Act 1998
- Human Rights Act 2000
- Regulation of Investigatory Powers Act 2000
- Freedom of Information Act 2000 and section 46 Code of Practice on Records Management
- Privacy and Electronic Communications Regulations 2003
- Environmental Information Regulations 2004
- Copyright and Related Rights Regulations 2004
- Re-use of Public Sector Information Regulations 2005
- Local Government Acts
- Caldicott principles