
INFORMATION GOVERNANCE PROGRAMME PROGRESS REPORT

SUMMARY REPORT

Purpose of the Report

1. The Systems and Information Governance Group (SIGG) is required to report six monthly to the Audit Committee on progress and planned developments of the information governance programme.

Summary

2. At present information governance is an 'above the line' risk on the corporate risk register. Delivery of our information governance programme will provide the assurance required and will reduce our information risks to an acceptable level.
3. The Council continues to make gradual progress on the implementation of the information governance programme. Recent work includes
 - (a) Submission of the HSCIC IG Toolkit for the Council
 - (b) Revised information risk assessment model
 - (c) Updated Members' Guide to Information Security
 - (d) Publication of a social media policy and guidelines
 - (e) Drafted / updated privacy notices for Children, Families and Learning, Adult Social Care and Public Health approved and published on the website
 - (f) Revised Employees' Guide to Information Security is due to be considered by the Joint Consultative Committee (JCC) in early October 2015
4. The area of highest priority in the information governance programme remains compliance for social care services with the HSCIC IG Toolkit. The original submission was rated as 'satisfactory' but we have recently been informed that supporting evidence is required to be uploaded to the submission, and until this has been completed we cannot progress the order for the N3 network connection. This task is currently ongoing with the support of managers in Children, Families and Learning and Adult Social Care.

Recommendation

5. It is recommended that progress on the implementation of the Information Governance Programme be noted.

Reasons

6. To provide the Audit Committee with a status report on the delivery of the Council's Information Governance Programme.

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Background Papers

S17 Crime and Disorder	There is no specific crime and disorder impact.
Health and Well Being	There is no specific health and well being impact.
Carbon Impact	There is no specific carbon impact.
Diversity	There is no specific diversity impact.
Wards Affected	All wards are affected equally.
Groups Affected	All groups are affected equally.
Budget and Policy Framework	This report does not recommend a change to the Council's budget or policy framework.
Key Decision	This is not a key decision.
Urgent Decision	For the purposes of the 'call-in' procedure this does not represent an urgent matter.
One Darlington: Perfectly Placed	There is no specific relevance to the strategy beyond a reflection on the Council's governance arrangements.
Efficiency	Implementation of effective information governance systems and procedures has a positive impact on efficiency.

MAIN REPORT

Background

7. Information governance remains an 'above the line' risk on the corporate risk register. This is a reflection of the improvements required to evidence that we meet all of the relevant information assurance requirements set out by government and industry standards.

Current Position

Policies and procedures

8. The Information Management Team, with support from Human Resources and Legal Services, has produced a Social Media Policy and associated guidelines. The policy and guidelines were endorsed by Joint Consultative Committee (JCC) in April 2015.
9. The policy and guidelines were rolled out through a circular to all staff, promotion in 'The Briefing' and publication on the intranet. An online awareness course is also being finalised and is due for publication before the end of the calendar year.
10. In addition the Information Management Team continues to develop the standards and corporate processes, procedures and guidelines (for example, records management guidelines and information classification standards) required to ensure that the Council meets its commitments as set out in the information governance policies approved by the Systems and Information Governance Group (SIGG) in December 2014.

Training and awareness

11. The Employees' Guide to Information Security has been reviewed by the Information Management Team and is currently being considered by the unions. Endorsement from JCC will be sought in October 2015 before being rolled out across the Council. For those staff with no access to the corporate network, the leaflet that was previously distributed to them is being reviewed for circulation.
12. The Members' Guide to Information Security was reviewed ahead of the elections in May 2015 and distributed to all elected Members as part of their induction pack.
13. Online training courses covering information security, data protection, freedom of information and social media are being developed. The courses are scheduled to be published before the end of the calendar year.

Information risk management

14. The information risk assessment process has been revised and simplified to promote greater consistency of application across service areas. This has been

piloted in Public Health with positive feedback, and is currently going through a second phase of testing with Transport and Capital Projects. Feedback from the pilots is to be reported back to SIGG in advance of the roll-out.

Information classification and handling

15. Following the completion of a successful pilot in ICT Services and Corporate Assurance the email classification and labelling system is to be rolled out in September / October 2015.
16. Communications are currently being developed to support staff and Members in applying the classification scheme.

Information sharing

17. The Complaints and Information Governance (CIG) Team is continuing to work with key public sector partners to review and implement service-level information sharing agreements where required. Current work is concentrating on reviewing arrangements for the sharing of information within the community of substance misuse services.
18. Internal information sharing agreements are also being reviewed or put in place to formalise arrangements for reciprocal information exchange in areas such as Housing and Revenues and Benefits. This work is particularly important to ensure that the Council is able to identify and support people potentially affected by Universal Credit.

Caldicott Guardian

19. Following the departure of the previous Assistant Director, Adult Social Care and restructure of People Services, the Caldicott Guardian role has been reallocated and the support function has been revised (see **Appendix A**). The new Caldicott Guardian is the Acting Assistant Director, Adult Social Care.
20. The Caldicott function maintains a log of queries and associated decisions predominantly about sharing confidential and sensitive information in social care. In recognition of the support required by staff, confidentiality guidelines have been developed, published and circulated.

Information security incidents

21. The information security incident reporting process is in place. The identification, reporting and the initial response phases of the process are working effectively. However, the timely documentation of remedial action plans and their successful implementation and sign-off by senior management, which is effectively the risk treatment part of the process, still requires improvement.

Data quality

22. Work continues to progress on improving data quality across the Council's major business systems, with a specific focus on data used by Adults and Children's Services. Current processes for collecting, cleansing and reporting data are being reviewed as part of Liquid Logic implementation. This work on improving data quality has been given increased focus following the recent adverse judgement by Ofsted on Children's Services.

Transparency

23. The Local Government Transparency Code 2014, published by the Department of Communities and Local Government, outlined the requirement on all local authorities to publish certain data within certain timescales and in certain formats. The Organisational Planning Unit continues to work with Chief Officer's Board (COB) to comply with the mandatory requirements of the Code.

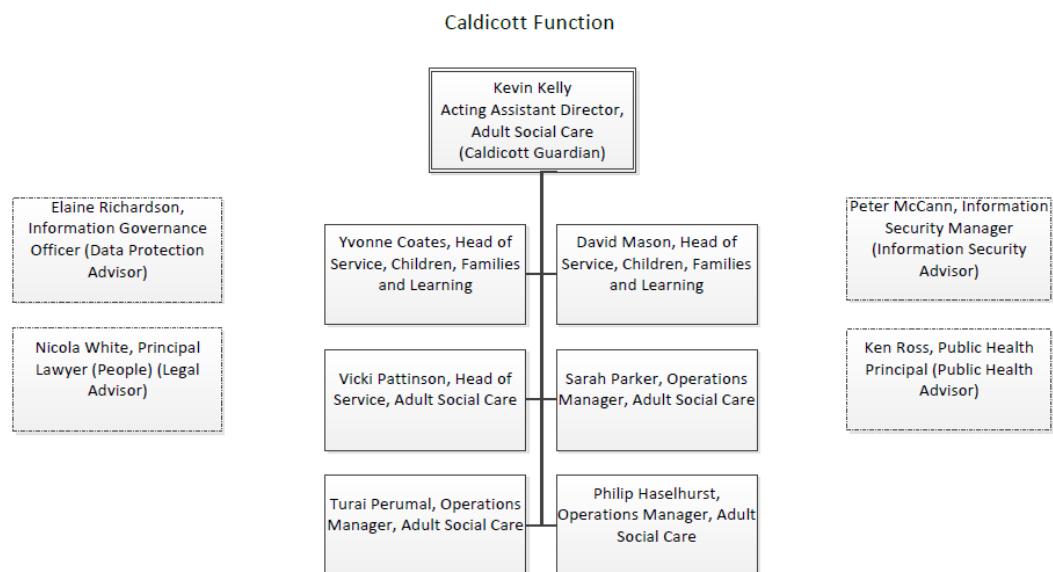
Conclusion

24. The Council's information governance programme clearly sets out key objectives, roles and responsibilities, priorities and risk treatment plans. As such we are aware of the improvements required.
25. The timely delivery of the information governance programme remains an issue of concern given the competing demands on limited resources. In the short term, failure of social care services to evidence compliance with the requirements of the HSCIC IG Toolkit may adversely affect their ability to deliver services effectively.

Outcome of consultation

26. No formal consultation was undertaken in production of this report.

Appendix A – Caldicott Function



Responsibilities of the Caldicott Function:

1. Support the Caldicott Guardian in championing confidentiality issues at a management level.
2. Provide advice and guidance to staff in relation to ethical information sharing issues, seeking advice from advisors where necessary (complex or serious issues must be considered directly by the Caldicott Guardian).
3. Assist in the delivery of the confidentiality and data protection work programme across Adult and Children's Social Care and Public Health.
4. Assist in the completion of the Confidentiality and Data Protection Assurance component of the HSCIC Information Governance Toolkit.
5. Provide reports to the Caldicott Guardian when confidentiality or data protection issues arise.
6. Deputise for the Caldicott Guardian at Systems and Information Governance Group when the Caldicott Guardian is unable to attend.