
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) Roll-out of the revised information risk assessment tool
 - (b) Re-submission of the HSCIC IG Toolkit for the Council
 - (c) Publication of revised Employees guide to information security
 - (d) Publication of mandatory on-line awareness courses for information security and social media
 - (e) Delivery of information governance briefing sessions to senior management teams
 - (f) Adoption of the information classification scheme
 - (g) Publication of information classification and handling guidelines
 - (h) Refresh of the online information governance framework
 - (i) Publication of revised records management guidelines
 - (j) Implementation of corporate email encryption system

4. The area of highest priority in the information governance programme is the completion of the information risk assessments and the timely delivery of the associated improvement action plans.
5. Following approval of the HSCIC IG Toolkit the installation of the N3 network connection will be progressed.

Recommendation

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

Reasons

7. 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

8. 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

Training and awareness

9. The Information Security Manager and Head of Corporate Assurance have attended Assistant Directors' management team meetings to provide further guidance and advice on the Information Risk Management Controls Checklist, Employees Guide to Information Security, Information Classification and Handling Guidelines, Records Management Guidelines and Information Security Governance Framework that are mentioned elsewhere in this report.
10. The Information Security Governance Framework has been developed further, is available on the intranet and staff have been encouraged to familiarise themselves with it and use it as the main access point for information on all important aspects of the information governance programme.
11. The revised Employees Guide to Information Security and Social Media Policy and Guidelines approved and published. Mandatory online training courses on each have been published and instruction issued to all staff with internet access to complete. Completion of the courses will be monitored by Assistant Directors. For those staff with no internet access the awareness leaflet has been updated and will be circulated in due course.
12. An online training course covering data protection is currently under development.

Health and social care (HSCIC) information governance toolkit

13. In response to the initial submission of the Toolkit, the Council was informed by the HSCIC that supporting evidence was required to be uploaded. This evidence has now been provided and HSCIC approval is awaited. Once approval is received installation of the N3 network, to facilitate information sharing with health, will be progressed.

Information risk management

14. Following the completion of a successful pilot in Public Health the Information Risk Assessment Controls Checklist has been rolled out to all services. The checklist is a simplified information management risk assessment tool which will be completed by Heads of Service. The checklist assists in identifying areas where controls need to be improved, and Assistant Directors are responsible for approving improvement

action plans, the delivery of which they will monitor through the performance management process.

Information classification and handling

15. The Information Classification Scheme has been adopted and associated guidance has been communicated to all staff by circular, toolbox briefing and in the weekly staff briefing.
16. More specific detailed communication has also been issued on implementation of the email classification system (Titus) and the email encryption system.

Records management guidelines

17. Records Management Guidelines have been produced aimed at Assistant Directors and anyone to whom they may delegate records management tasks. Implementation of the Guidelines is mandatory to ensure compliance with the Council's Records Management Policy. The pace of implementation will, however, depend on a service's risk profile and should be reflected in a service's Information Risk Management Controls Checklist and any associated action plan.

Information sharing

18. 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.

Caldicott Guardian

19. The Council's named Caldicott Guardian is the Acting Assistant Director, Adult Social Care and the Caldicott function maintains a log of queries and associated decisions predominantly about sharing confidential and sensitive information in social care.

Information security incidents

20. The information security incident reporting process is in place. The identification, reporting and the initial response phases of the process are working effectively. However, work continues to improve the timeliness of the documentation of remedial action plans and their successful implementation and sign-off by senior management.

Data quality

21. Work continues to progress on improving data quality across the Council's major business systems and has moved with pace on data used by Adults and Children's Services. There have been focussed data quality campaigns in relation to the replacement of the social care case management system; and in respect of

alignment with requirements around the development of the performance management framework and external inspections.

Transparency

22. 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

23. 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. However, the timely delivery of the programme remains an issue of concern given the competing demands on limited resources.

Outcome of Consultation

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