
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) revised information risk checklist and associated guidance to incorporate the additional requirements of the General Data Protection Regulations (GDPR)
 - (b) revised information asset register structure and associated guidance
 - (c) streamlined incident management process
 - (d) appointment of the Director of Children and Adults Services as Caldicott Guardian together with a review of the Caldicott support function
 - (e) face-to-face information security awareness sessions with Children and Adults Services managers and staff
 - (f) improved intranet presence for information governance processes, procedures and guidelines
 - (g) continued adoption of the corporate secure information sharing and collaboration system across services
4. The areas of highest priority in the information governance programme are
 - (a) the completion of the revised information risk assessments and the timely delivery of the associated improvement action plans

- (b) effectively communicating and embedding the revised incident management process across all services, and
 - (c) completion of the mandatory on-line awareness courses by all staff with access to the Council's network
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.

Paul Wildsmith
Director of Neighbourhood Services and Resources

Brian James, Head of Corporate Assurance : Extension 5408
 Peter McCann, Information Security Manager : Extension 156494

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 table in **Appendix 1** shows the current position with regard to the completion of the mandatory on-line information governance courses.
10. Significant progress has been made specifically in relation to the completion of the data protection course. Allowing for staff absences our 'working' target for completion is 95% which is reasonable and sustainable. Reminders have been issued as appropriate for a final push to get us to this position.

Health and social care (HSCIC) information governance toolkit

11. HSCIC have completed the initial assessment of our submission and are currently engaged with our Public Health Team to clarify a number of points raised. Once these have been satisfactorily addressed and our submission is approved the installation of the N3 connection will be progressed.

Information risk management

12. Our previous information risk assessment checklist and associated guidance reflected information management best practice and the requirements of the Data Protection Act 1998. The General Data Protection Regulations (GDPR) which are due to come into force in May 2018 have additional requirements that we need to address.
13. The information risk checklist and associated guidance has therefore been updated to cover these additional requirements. The Information Governance Team are currently scheduling meetings with Assistant Directors and their management teams to brief them on the changes and confirm timescales for the completion of the risk assessments.

Information sharing

14. 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. Agreements for safeguarding and the Multi-Agency Safeguarding Hub (MASH) have recently been reviewed and amended to reflect changes in business processes.

15. Work is also underway to implement an information sharing agreement enabling health and social care data to be provided to Durham University for statistical analysis and predictive modelling as part of the Healthy New Towns programme.

Information security incident management

16. In response to feedback and process review the information security incident management process has been streamlined. In addition, investigating officers are to be designated and trained to build up a pool of expertise and experience in this area.
17. These changes should improve the consistency in the way investigations are handled, and the timeliness of the delivery of improvement plans.

Data quality

18. The Liquid Logic system has now been implemented for Children's and performance clinics are placing a greater emphasis on data quality to ensure robust management of data quality improvement.
19. Liquid Logic for Adults is due to go live in June 2017. Work currently is focused on data quality improvements to facilitate a successful migration. Once live the same model of data quality management used in Children's will be applied to Adults.

Caldicott Guardian

20. The Director of Children and Adults Services has been appointed as the Council's Caldicott Guardian. She is supported by a revised Caldicott Function, which comprises the Assistant Directors from Children and Adults Social Care and specialist advisers from Legal Services, the Complaints and Information Governance Team, Information Security Management Team and Public Health.
21. At the request of the Caldicott Guardian, face-to-face awareness sessions have been delivered at Adult and Children's Social Care team meetings and to the Department's Leadership Forum promoting the importance of compliance with the Council's information governance policies, procedures, processes and guidelines.
22. In addition, key documents providing staff with guidance on confidentiality and data protection have been updated in anticipation of introduction of the GDPR.

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.

APPENDIX 1

As at 3rd March 2017	Info Sec 2015		Social Media		DPA		Users
	Comp	%age	Comp	%age	Comp	%age	
Neighbourhood Services & Resources	478	98.96	476	98.55	469	97.10	483
Community Services	111	100.00	111	100.00	111	100.00	111
Communications	10	100.00	10	100.00	10	100.00	10
D'ton P'ship & Creative D'ton	3	100.00	3	100.00	3	100.00	3
Finance & Human Resource Management	83	100.00	82	98.80	81	97.59	83
Housing and Building Services	170	98.27	171	98.84	168	97.11	173
Law & Governance	101	98.06	99	96.12	96	93.20	103
Economic Growth	160	94.12	155	91.18	157	92.35	170
Economic Initiative	28	82.35	25	73.53	27	79.41	34
Capital Projects, Transport and Highways	65	100.00	65	100.00	65	100.00	65
Regulatory Services	67	94.37	65	91.55	65	91.55	71
Children & Adult's Services	489	90.06	482	88.77	437	80.48	543
Public Health	4	100.00	4	100.00	4	100.00	4
Children's and Educational Services	245	84.78	238	82.35	191	66.09	289
Adult Services	128	93.43	129	94.16	131	95.62	137
Strategy and Commissioning / Transformation	112	99.12	111	98.23	111	98.23	113
Totals	1127	94.23	1113	93.06	1063	88.88	1196