AUDIT COMMITTEE
13 April 2021

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. The ongoing delivery of our information governance programme continues to provide the assurance required to reduce our information risks to an acceptable level.

3. Ongoing work includes:

    (a) The Microsoft Office 365 Programme.

    (b) Review of the Council's Information Asset Register (IAR) and Privacy Notices.

    (c) ICT work plan.

    (d) Web Team work plan.

    (e) Systems and Process Team work plan.

    (f) Work to achieve our target for the completion of on-line mandatory information governance training courses.

4. The area of highest priority in the information governance programme is:

    (a) The Microsoft Office 365 Programme.

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.

Elizabeth Davison
Group Director of Operations

Lee Downey, Complaints & Information Governance Manager: Extension 5451

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.
Corporate Plan	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.
Impact on Looked After Children and Care Leavers	There is no specific impact on Looked After Children and Care Leavers.

<center>**MAIN REPORT**</center>

Background

7.   Delivery of our information governance programme has provided the assurance required to reduce our information risks to an acceptable level. While that is the case it must be recognised that the data processing activities of the Council continually evolve and must be kept under review. The processes implemented by the Council include review mechanisms to ensure this takes place.

The Microsoft Office 365 Programme

8.   The Microsoft Office 365 Programme Team is comprised of the Systems Strategy and Development Manager, the Complaints and Information Governance Manager, the ICT Strategy and Performance Manager, the ICT Solutions Architects and the ICT Security and Assurance Team Leader and the End User Engagement Team and reports to SIGG. The Council has appointed a number of 365 Champions that will help and support staff through this transition to Microsoft 365.

9.   On 1 April 2022 the final stage of implementing a 14 month retention period to Council email accounts was implemented. This followed a significant amount of proprietary work, initially supporting those users who had .pst files stored in personal folders in their email accounts to move them to a more suitable location. There was a lengthy publicity campaign to ensure all existing employees affected by the change and Members had sufficient time to prepare. There were also been a number of workshops for Members. From 1 April 2021 all new starters to the organisation had this retention rule applied to their inboxes. Implementation of the retention period is an important aspect of the Council's informaiton governance programme and will help the Council ensure it complies with UK GDPR and the Data Protection Act 2018, further reduce its informaiton security risks, improve business continuity and result in some cost savings.

10.   Following the Council embracing the use of Microsoft (MS) Teams to enable employees to work effectively from home during the early stages of the pandemic, the Programme is now seeing more services within the Council being migrated to a MS Teams structure. This will build on the success of the work to date and enable officers to access all of the functionality available within MS Teams. Again this will make it easier for officers to share and collaborate on documents and improve productivity. A number of services are now fully operational through a MS Teams interface having had all files migrated into a MS Teams structure. A number of other services are currently working towards migrating their files into a MS Teams structure. In addition to the services now using MS Teams as their primary working area, there are a number of functional and project Teams being used to conduct business across the Local Authority.

Review of the Council's Information Asset Register (IAR) and Privacy Notices

11. The Council continues to review all IAR entries and Privacy Notices as services migrate to MS Teams. This process will provide the most robust record of informaiton held by the Council compiled to date.

ICT work plan

12. SIGG also oversees the Council's ICT work programme, a summary of which are contained in the ICT Strategy - Implementation Progress report to Audit Committee.

Web Team work plan

13. The Darlington Borough Council App launched in autumn 2021 with the focus around reporting street cleaning and highways maintenance issues. Other core features included, bin collection lookups, news, events, consultation and job vacancy feeds. Further features will be added over the coming months.

14. The garden waste renewal process also had a major update allowing 3rd parties to complete applications, this should help solve a number of issues when Customer Services have to complete applications for members of the public without the internet. Integration with Street Scene's new route planning software was also completed.

Systems and Process Team work plan

15. The Systems and Process Team are the custodians of the large corporate applications that administer the Council's business across Social Care, Education, Customer Services, all online payments, Planning, Anti-Social Behaviour, Building Control, Trading Standards and Licensing. The work plan covers all major upgrades to these systems (including the intensive testing regime needed to support this).

16. The team are working in Adult Social Care to align the Transformation Team programme with the system programme. In Children's Social Care work continues on several change requests but with a particular focus on Relational Practice and the work that needs to happen in the system to allow forms to be developed this way. The Education System is now part of a much wider programme that will see it wholly replaced in 2024.

17. Work continues to integrate the corporate payment engine into applications that take customer payments. This is especially relevant in services that work with IDOX (the application that deals with planning, licencing and building control). As we continue to develop this payment engine and its integration, we strengthen our Payment Card Industry compliance.

18. The development of the customer strategy is supported by the Verint work programme (Verint is the Councils CRM System) where forms are developed to allow a seamless digital

interaction for the customer and a safe and secure payment option. Services that want to offer an online form option are working with the team to develop forms and options.

Training and awareness

19. The revised table in Appendix 1 shows the position at 30 March 2022 with regard to the completion of the mandatory on-line information governance courses for IT and where applicable, non-IT users. Completion rates of over 95% for the courses remains the Council's target and represents an acceptable level of take up which must be maintained.

20. The two year mandatory completion time limit for the Data Protection 2018 course expired following the last report to Audit Committee which has impacted on the completion rates. Both the previous and current rates are included in Appendix 1 for information and good progress has been made in ensuring officers have revisited the training as required. The opportunity was also taken to rebrand the training with the Council's new corporate identify and update it to reflect the changes ushered in by Brexit.

21. The current position shows the target has been met by Operations Group in relation to the Employees Guide to Information Security and Social Media and the People Group in relation to Social Media. While the Council has not met its target in relation to any of the three modules, since the last report compliance in relation to the Social Media has improved from 69.77% to 83.93% and in relation to the Employees Guide to Information Security from 69.47% to 91.49%.

22. In order to drive up completing rates, in October the Council moved to the Traffic Light Facility in Academy 10. This dashboard enables managers to monitor real time progress against all essential modules. The facility also sends prompts in relation to outstanding modules. Since the last report reminder emails have also been introduced with people who have outstanding modules on Academy 10 receiving a reminder e-mail about this every 2 weeks until it has been completed. With regards to completion rates for non-IT users, has been chased and reported to Assistant Directors, where appropriate, on a quarterly basis. The Council has also sent out a communication via the Briefing in relation to this issue and Assistant Directors have sent out more targeted messages. Since the last report the Council has also introduced an improved easier to deliver hard copy module for the Social Media.

Conclusion

23. The Council's information governance programme continues to address emerging issues, support compliance with data protection legislation and manage the Council's information risks to an acceptable level.

Outcome of Consultation

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

Appendix 1

30/03/2022	Employees Guide to Information Security - New module launched March 2021		Social Media - New Module launched April 2020		DPA 2018 (2 Year Renewal Date Added)		DPA position as at 24.01.2022
	Comp	%	Comp	%	Comp	%	%
People Group	**605**	**92.51**	**624**	**95.41**	**461**	**70.49**	**94.97**
Adult Services	150	86.71	163	94.22	125	72.25	94.29
Children's Services	245	93.16	245	93.16	171	65.02	93.57
Commissioning, Performance & Transformation	106	98.15	107	99.07	73	67.59	98.11
Educational Services	89	94.68	94	100.00	77	81.91	96.67
Public Health	15	100.00	15	100.00	14	93.33	93.33
Services Group	**300**	**82.42**	**318**	**87.36**	**254**	**69.78**	**85.14**
Community Services	223	78.25	240	84.21	191	67.02	82.13
Transport & Capital Projects	76	97.44	77	98.72	62	79.49	96.15
Operations Group	**356**	**99.72**	**356**	**99.72**	**279**	**78.15**	**100.00**
Housing & Revenues	186	100.00	186	100.00	145	77.96	100.00
Law & Governance	73	98.65	73	98.65	56	75.68	100.00
Resources	65	100.00	65	100.00	54	83.08	100.00
Strategy Performance & Communications	31	100.00	31	100.00	23	74.19	100.00
Chief Executives & Economic Growth	**50**	**86.21**	**52**	**89.66**	**40**	**68.97**	**96.61**
Darlington Partnership	3	100.00	3	100.00	3	100.00	100.00
Economic Growth	46	85.19	48	88.89	36	66.67	96.36
Total	**1311**	**91.49**	**1350**	**94.21**	**1034**	**72.16**	**93.75**

	Comp	%	Comp	%	Comp	%
None AC10 Users	N/A	N/A	290	55.66	253	48.56

	Comp	%	Comp	%	Comp	%
Overall	**1311**	**91.49**	**1640**	**83.93**	**1287**	**65.86**