AUDIT COMMITTEE
28 September 2022

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)   Data Security and Protection (DSP) Toolkit

   (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.

<div align="center">

Elizabeth Davison
Group Director of Operations

</div>

Lee Downey, Complaints & Information Governance Manager: Extension 5451

Background Papers

S17 Crime and Disorder	This report is for information to members and requires no decision. Therefore there are no issues in relation to Crime and Disorder.
Health and Well Being	This report is for information to members and requires no decision. Therefore there are no issues in relation to Health and Well Being.
Carbon Impact and Climate Change	This report is for information to members and requires no decision. Therefore there are no issues in relation to Carbon Impact and Climate Change.
Diversity	This report is for information to members and requires no decision. Therefore there are no issues in relation to Diversity.
Wards Affected	This report affects all wards equally.
Groups Affected	This report is for information to members and requires no decision. Therefore there is no impact on any particular group.
Budget and Policy Framework	This report does not recommend any changes to the Budget or Policy Framework
Key Decision	This is not a key decision.
Urgent Decision	This is not an Urgent Decision.
Council 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.

MAIN REPORT

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 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. 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.

10. 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, including with partners. Since the last report to Audit Committee a number of service area/teams have or are about to migrate to MS Teams, including the Performance and Transformation Team, Human Resources, the Civil Contingencies Unit and Highways. Preliminary work is has also begun to look at migrating Legal Services (People) and Communications Marketing to MS Teams.

11. SIGG has also approved the migration to Teams telephony which will replace Cisco Jabber ensuring a unified approach to communications across the Council.

Data Security and Protection (DSP) Toolkit

12. The DSP Toolkit is an online self-assessment tool that allows organisations to measure their performance against the National Data Guardian's 10 data security standards. All organisations that have access to NHS patient data and systems must use the toolkit to provide assurance that they are practising good data security and that personal informaiton is handled correctly.

13. The Information Management Team has published the Council's submission for 2022/23. The Council's DSP Toolkit status of Standards Met is now publicly available for service users, commissioners, partner organisations and the public at
https://www.dsptoolkit.nhs.uk/OrganisationSearch/117

ICT work plan

14. 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

15. Work on phase 2 of the Darlington Borough Council (DBC) app has started. This includes a significant upgrade of some background infrastructure so that the new features can be added, it also adds future proofing for point 18 below. This phase will include device authentication (fingerprint, facial recognition, etc) for logging in, tracking of (Verint) Report It submissions and a series of minor bug fixes that have been identified.

16. The garden waste 2023 updates have been done early this year as it was expected that the team would be busy with the Rail Heritage Quarter website when the garden waste work usually takes place.

17. Work has started on migrating darlington.gov.uk from Umbraco 7 to v10 as support ends in September 2023. This is a significant piece of work as the underlaying technology Umbraco sits on has been upgraded to the latest Microsoft platform. This means most custom code on the site will need to be rewritten in order to be compatible.

Systems and Process Team work plan

18. 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, Waste Management, Building Services, Street Cleansing, 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).

19. The team are working in Adult Social Care to align the Transformation Team programme with the system programme. The major change in Adult Social Care is the pending introduction of the Care Cap and charting progress to it, this needs to be delivered in an exceptionally tight time window with significant investment. 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. September will see the change programme for the systems in Children's Social Care start to be developed. The Education System is now part of a much wider programme that will see it wholly replaced in 2024.

20. 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.

21. 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

22. The revised table in Appendix 1 shows the position on 15 September 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 achieved.

23. In relation to the Employees Guide to Information Security, Operations Group has met the 95% completion rate target and the overall completion rate has increased to 93.91% from 91.49% since the last report to Audit Committee. This course is not applicable to non-IT users.

24. In relation to the Social Media Module, IT users in both Operations Group and People Group have met the 95% completion rate target. The Council has also met its 95% completion rate target for all IT users in relation to this module. For non-IT users, completion rates remain at 56.46%, a slight increase from 55.66% at the time of the last report. The overall completion rate is 85.42%, an increase from 83.93% at the time of the last report to Audit Committee.

25. In relation to the Data Protection Act (DPA) 2018 course, the expiration of the two year mandatory time limit for revisiting the course impacted on the completion rates, however, significant progress continues to be made in achieving the 95% completion rate target. Both the previous and current completion rates in relation to the data protection course are included in Appendix 1 for information. Completion rates increased to 88.16% from 72.16% for IT users, although there was a slight decrease in completion rates for non-IT users, 47.91% compared to 48.56% at the time of the last report. The overall completion rate is 77.59%, an increase from 65.86% at the time of the last report to Audit Committee.

26. The evidence indicates the additional functionality added to Academy10 i.e. the dashboard, notifications for outstanding modules and reminder emails are all having a positive impact on IT users completion rates. With regards to completion rates for non-IT users, this has been reported to Assistant Directors. The Council also intends to review the current DPA 2018 course for non-IT users, to ensure it is both fit for purpose and to improve compliance.

Conclusion

27. 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

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

Appendix 1

15/09/2022	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	**612**	**93.29**	**628**	**95.73**	**558**	**85.06**	**94.97**
Adult Services	173	89.64	182	94.30	163	84.46	94.29
Children's Services	237	92.58	243	94.92	199	77.73	93.57
Commissioning, Performance & Transformation	103	96.26	105	98.13	97	90.65	98.11
Educational Services	82	98.80	82	98.80	82	98.80	96.67
Public Health	16	100.00	16	100.00	16	100.00	93.33
Services Group	**316**	**90.54**	**323**	**92.55**	**302**	**86.53**	**85.14**
Community Services	240	88.24	248	91.18	229	84.19	82.13
Transport & Capital Projects	75	98.68	74	97.37	72	94.74	96.15
Operations Group	**343**	**99.42**	**344**	**99.71**	**330**	**95.65**	**100.00**
Housing & Revenues	183	98.92	184	99.46	178	96.22	100.00
Law & Governance	69	100.00	69	100.00	64	92.75	100.00
Resources	60	100.00	60	100.00	57	95.00	100.00
Strategy Performance & Communications	30	100.00	30	100.00	30	100.00	100.00
Chief Executives & Economic Growth	**54**	**88.52**	**56**	**91.80**	**54**	**88.52**	**96.61**
Darlington Partnership	3	100.00	3	100.00	3	100.00	100.00
Economic Growth	50	87.72	52	91.23	50	87.72	96.36
Total	**1325**	**93.91**	**1351**	**95.75**	**1244**	**88.16**	**93.75**

	Comp	%	Comp	%	Comp	%
None AC10 Users	N/A	N/A	284	56.46	241	47.91
Overall	**1325**	**93.91**	**1635**	**85.42**	**1485**	**77.59**