**AUDIT COMMITTEE**
**26 April 2023**

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### INFORMATION GOVERNANCE PROGRAMME PROGRESS REPORT

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### 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)  ICT work plan.

    (c)  Web Team work plan.

    (d)  Systems and Process Team work plan.

    (e)  Information Governance 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 | 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 the following service area/teams have or are about to migrate to MS Teams, Young People's Engagement & Justice Service and Communications and Marketing.

11.   SIGG has also approved the migration to Teams telephony, to replace Cisco Jabber ensuring a unified approach to communications across the Council. As of 27 March, 798 users were setup with Teams Telephony.  The following services are yet to migrate:

- Services - Library and Museum
- Services - Healthy Darlington
- Services - Hippodrome
- Services - Leisure
- All - Directors and PAs
- Operations - Housing and Customer Services

We are at a variety of stages with these batches of users.  Those services which need to retain physical handsets will receive them in the coming weeks.  Customer services will be migrated last, following further testing on the interface between Netcall and Team Telephony.

**ICT work plan**

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

**Web Team work plan**

13. The Safeguarding Partnership website has been upgraded from Umbraco 7 to 10 which includes migrating from .Net Framework to .Net Core. This was done as a proof of concept before the full-scale migration/rebuild of darlington.gov.uk took place. This site is now in UAT with the service area.

14. Several new filtering features have been added to the Hippodrome website as well as the introduction of several new components from the box office API, including memberships which allow the Hippodrome to take registrations and payments for memberships over the website.

15. Work continues on migrating darlington.gov.uk to a modern (supported) version of Umbraco and .Net, this project is expected to run until early autumn and will take the most the team's capacity during this period.

16. The Enjoy Darlington website has been upgraded to the latest v8 version of Umbraco and several new features have been added as well as it being given a fresh layout. This is now with the service area for UAT.

17. A short project is currently underway to apply updates to Data Engine ready for 2023 Q1 reporting. This should also help it become a reliable data source for Power BI and the Trustmark app.

**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 a new program of works will be drawn up. The major change which was due in Adult Social Care was the introduction of the Care Cap, this has since been delayed for 2 years and is due to happen October 2025. Children's Social Care work continues on several change requests but with a particular focus on Fostering and Kinship Care. September 2022 saw the change programme for the systems in Children's Social Care start to be developed with the first modules going live in August 2023. 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. Additional Services have recently come on

board with an online form offering which includes Highways and Street Scene and we continue to work with those that want to offer an online form option.

**Information Governance Team Work Plan**

22. The Council's Complaints and Information Governance Team/The Data Protection Officer continues to provide advice to officers on a range of data protection and information rights matters and ensure information rights requests are handled in accordance with UK General Data Protection Regulations (GDPR); The Data Protection Act 2018; The Freedom of Information Act 2000; and The Environmental Information Regulations 2014.

23. Since the last report to Audit Committee the team has advised on over 10 contracts, 11 data protection impact assessments (DPIAs) and 21 data sharing agreements.

**Training and awareness**

24. The revised table in Appendix 1 shows the position on 11 April 2023 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% remains the Council's target and represents an acceptable level of take up which must be achieved.

25. The Employee's Guide to Information Security module was updated in March 2021, when a two year renewal period was added. The expiry of the two year renewal period in March 2023, is reflected in the completion rates reported in Appendix 1. The position as at 12 December 2022 has been added to the table for reference. Overall the completion rate currently stands at 73%. This course is not applicable to non-IT users.

26. 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 is slightly below its 95% completion rate target for all IT users in relation to this module at 94%. For non-IT users, completion rates have increased from 57% to 69% since the last report. The overall completion rate is 88%, an increase from 85% at the time of the last report to Audit Committee.

27. In relation to the Data Protection Act (DPA) 2018 course, the expiration of the two year mandatory time limit for revisiting the course previously impacted on the completion rates, however, progress continues to be made in achieving the 95% completion rate target. Completion rates are at 86% for IT users, down from 88% at the time of the last report. However, completion rates are up to 57% for non-IT users, from 48% at the time of the last report. The overall completion rate is 79%, an increase from 78% at the time of the last report to Audit Committee.

28. While the expiry of the two year renewal periods has resulted in a reduction in completion rates in some areas, overall the additional functionality added to Academy10 i.e. the dashboard, notifications for outstanding modules and reminder emails are still having a positive impact on IT users completion rates. With regards to completion rates for non-IT users, since the last report simplified tool box talk style modules have been implemented for Social Media and Data Protection. These modules have been designed for Managers to be able to deliver the sessions faster, while still imparting all of the key information with reinforced learning at the end of the sessions. It is hoped these interventions will help improve numbers by the time of the next report. Building Services have recently moved to Academy10 and the Hippodrome are also looking to do so.

**Conclusion**

29. 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**

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

Appendix 1

| 11/04/2023 | % Completion Rate | | | |
|---|---|---|---|---|
| | Employees Guide to Information Security - Position as at 12/12/2022 | Employees Guide to Information Security - position as at 11/04/2023 | Social Media Version 3 - New in 2020 | Data Protection 2018 |
| **People Group Total** | 95 | 73 | 95 | 85 |
| Adult Social Care AC10 | 95 | 73 | 98 | 83 |
| Adults Social Care Hard Copy | N/A | N/A | 67 | 67 |
| **Adult Social Care Total** | 95 | 71 | 96 | 82 |
| **Children's Services Total** | 93 | 82 | 94 | 83 |
| **Commissioning, Performance & Transformation** | 98 | 55 | 99 | 90 |
| Educational Services AC10 | 98 | 70 | 99 | 94 |
| Educational Services Hard Copy | N/A | N/A | 83 | 84 |
| **Educational Services Total** | 98 | 70 | 92 | 90 |
| **Public Health** | 95 | 76 | 100 | 81 |
| **Services Group Total** | 94 | 66 | 75 | 64 |
| Community Services AC10 | 92 | 61 | 79 | 71 |
| Community Services Hard Copy | N/A | N/A | 67 | 46 |
| **Community Services Total** | 92 | 61 | 73 | 59 |
| Highways & Capital Projects AC10 | 100 | 87 | 100 | 99 |
| Highways & Capital Projects Hard Copy | N/A | N/A | 67 | 79 |
| **Highways & Capital Projects Total** | 100 | 87 | 85 | 89 |
| **Operations Group Total** | 99 | 80 | 99 | 97 |
| **Housing & Revenues** | 100 | 89 | 99 | 98 |
| Law & Governance AC10 | 100 | 74 | 100 | 95 |
| Law & Governance Hard Copy | N/A | N/A | 100 | 100 |
| **Law & Governance Total** | 100 | 74 | 100 | 96 |
| **Resources** | 98 | 59 | 98 | 94 |
| **Strategy Performance & Communications** | 100 | 83 | 100 | 97 |
| **Chief Executives & Economic Growth Total** | 92 | 71 | 94 | 90 |
| **Darlington Partnership** | 100 | 100 | 100 | 100 |
| **Economic Growth** | 91 | 69 | 93 | 88 |
| **Council Total** | 96 | 73 | 88 | 79 |
| **Academy 10 Total** | 96 | 73 | 94 | 86 |
| **Hard Copy Total** | N/A | N/A | 69 | 57 |