

AUDIT COMMITTEE
27 September 2023

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) 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.

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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, Mapping and Assessing Personal Progress (MAPP) Panel, Human Resources and the Civil Contingencies Unit.
11. Following SIGG approving the migration to Teams telephony, to replace Cisco Jabber, ensuring a unified approach to communications across the Council, the vast majority of users have now been successfully migrated.

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. Work continues on migrating darlington.gov.uk to a modern (supported) version of Umbraco and .Net, this project is expected to run until spring/summer 2024, development on this will now slow due to resources being needed on the Rail Heritage Quarter (RHQ) website.
14. Development is now underway for the Darlington Xtra website, to help promote working in social care for Darlington Borough Council. This is expected to go live in October 2023.

15. Development has now start on the Darlington Rail Heritage Quarter website. This will require the majority of the Web Team's development resource to meet the January 2024 go live deadline.

Systems and Process Team work plan

16. 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).
17. 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, however, this has since been delayed for two years and is now due to be introduced in October 2025. Children's Social Care work continues on several change requests, 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. Stage one of the Education system is now live alongside two out of four portals – Admissions and Establishment. School admission applications opened the week commencing 11 September, with 500 applications received in the first week. Stage two will start early 2024 and will see the implementation of the Early Years system.
18. The development of the Customer Strategy is supported by the Verint work programme (Verint is the Council's 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. Verint will be undergoing a major upgrade in the coming months.

Information Governance Team Work Plan

19. 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.
20. Since the last report to Audit Committee the team has advised on six contracts, as well as updates to the procurement selection questionnaire to bring it in line with the Government's new Standard Selection Questionnaire for awarding contracts. The team has also advised on eight data protection impact assessments (DPIAs), 29 data sharing agreements, as well as a data transfer agreement and a Local Authority collaboration agreement.

Training and awareness

21. The revised table in Appendix 1 shows the position on 14 September 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.

22. 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 84%, an increase from 73% reported to April's Audit Committee. This course is not applicable to non-IT users.
23. 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 met its 95% completion rate target for all IT users in relation to this module. For non-IT users, completion rates are 68%. The overall completion rate is 89%, an increase from 88% at the time of the last report to Audit Committee.
24. 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 87% for IT users, up from 86% at the time of the last report. Completion rates are up to 73% for non-IT users, from 57% at the time of the last report. The overall completion rate now stands at 84%, an increase from 79% reported to April's Audit Committee.
25. 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 (the Council's on-line training platform) 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, the simplified tool box talk style modules are still being used for Social Media and Data Protection, have helped increase completion rates. 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 continue to help improve numbers further by the time of the next report. Building Services and a number of staff from the Hippodrome have now moved on to Academy10.

Conclusion

26. 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

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

	% Completion Rate			
14/09/2023	Employees Guide to Information Security - Position as at 12/12/2022	Employees Guide to Information Security - position as at 14/09/2023	Social Media Version 3 - New in 2020	Data Protection 2018
People Group Total	95	85	96	85
Adult Social Care	95	87	98	86
Children's Services	93	85	94	83
Commissioning, Performance & Transformation	98	78	97	90
Educational Services AC10	98	90	99	95
Educational Services Hard Copy	N/A	N/A	83	84
Educational Services Total	98	90	92	90
Public Health	95	85	100	85
Services Group Total	94	82	78	76
Community Services AC10	92	82	93	84
Community Services Hard Copy	N/A	N/A	65	68
Community Services Total	92	61	73	59
Highways & Capital Projects AC10	100	83	86	83
Highways & Capital Projects Hard Copy	N/A	N/A	67	79
Highways & Capital Projects Total	100	83	79	81
Operations Group Total	99	84	95	92
Housing & Revenues	100	83	92	90
Law & Governance	100	79	97	96
Resources	98	97	100	97
Strategy Performance & Communications	100	81	100	97
Chief Executives & Economic Growth Total	92	83	94	88
Darlington Partnership	100	100	100	100
Economic Growth	91	82	95	88
Council Total	96	84	89	84
Academy 10 Total	96	84	95	87
Hard Copy Total	N/A	N/A	68	73