

**REPORT OF THE SERVICE DIRECTOR FOR CUSTOMERS, GOVERNANCE
& EMPLOYEES****INFORMATION GOVERNANCE IMPROVEMENT PROGRAMME: PROGRESS
UPDATE****Purpose of the Report**

1. To inform Governance and Ethics Committee of progress in delivering the Council's Information Governance Improvement Programme (IGIP).

Information and AdviceBackground Information

2. The Council's Information Governance Improvement Programme (IGIP) was approved by Policy Committee in June 2017. The programme was necessitated by a significant change in data protection law which was enacted in May 2018. This strengthened the rights and control that individuals have over collection and use of their personal data and, in so doing, increased the information governance and data protection obligations on the Council (and other data controlling / processing organisations).
3. The new law introduces significantly higher, 'disuasive' fines for personal data breaches and failure to evidence compliance with the law, as well as compensation for material and non-material damages suffered by individuals as a result of data mismanagement and breaches.
4. Collecting and processing personal data of service users, employees and others is core to business, there is not a part of the Council's operations that IGIP does not touch. The programme is therefore multifaceted and broad in scope and so, to make it achievable, a phased and risk based approach has been used to prioritise tasks.
5. The Programme has two complementary and sequential phases. Phase One focuses on compliance with the new data protection law, whilst Phase Two focuses upon a Council-wide approach to document management. An additional driver for the second phase was issues associated with the retrieval of records needed to inform the Inquiry into Child Sexual Abuse (IICSA) as well as the findings of previous audit reports which commented on the Council's approach to document management.

6. At its meeting in December 2017, Governance and Ethics Committee agreed that it wanted a progress update on the IGIP on a six monthly basis, this report being the most recent such periodic update.

Phase One of the Programme

7. A report to Governance and Ethics Committee in June 2018 contained an assessment of progress in achieving planned changes and improvements on Phase One of the Programme and outlined next steps.
8. The most significant development since then has been the appointment of an Information Governance Team in August 2018 to provide the Council with additional expertise and capacity in this specialist area. The Team operates a business partner approach with each department having a nominated Information Governance Advisor. The Team also supports the work of the Data Protection Officer (DPO) in providing the Council with advice on compliance with the law.
9. Since its commencement, the Team has focused its efforts on working with departments to undertake Data Protection Impact Assessments (DPIAs) (assessments which aim to increase data protection and security by reducing information risk within projects and business systems and processes). Under the new law, DPIAs are mandatory in certain circumstances and there are a significant number to be undertaken across the Council. This will need to be a focus of the Team's work for the foreseeable future.
10. The IGIP has put in place many policies, procedures, processes, training and other measures to strengthen the Council's approach to information governance. There remains more to be done but, now that the Team is in place, work on maintaining and improving compliance with the law will transition from the Programme to the Team and become part of business as usual.
11. However, it is important that there is continued visibility of the Council's IG efforts. This would complement a requirement under the new law for the Council to evidence that appropriate data protection and security measures are being taken.
12. With this in mind, Information Governance Group considered whether the governance arrangements which currently work successfully for health and safety, could also apply to the IG agenda. This, and other efficiency measures, would include:
 - approval by, and monitoring of an annual Information Governance Action Plan by Governance and Ethics Committee;
 - Information Governance Group becoming Information Governance Board and adopting a new terms of reference
 - The creation of a Sub-Group of Information Governance Board to approve those standards and procedures which are more technical in nature or limited in reach across the Council.
13. Information Governance Group was supportive of this approach. Therefore, an Information Governance Action Plan will be brought for approval in March 2019, with a quarterly performance update against that plan thereafter. This would mean that future progress

update reports on the Information Governance Improvement Programme would focus solely on Phase Two, document management.

14. Over the past three months, Internal Audit has been carrying out an audit on the completion of actions arising from previous information governance audits and on the IGIP (particularly on progress reported to Governance and Ethics Committee in June 2018). The formal audit report is to be issued imminently and will comprise the following key observations:
 - There has been sufficient work to ensure the completeness of Phase One of the Programme and progress on all significant aspects of it were accurately reported to Committee in June 2018.
 - Whilst there has been some slippage, in part due to an increased scope as issues were identified during implementation, progress on the Programme is considered satisfactory.
 - The most significant area requiring attention is the implementation of four actions recommended in previous audit reports, although it is acknowledged that most of these are in hand or are planned as part of Phase Two of the Programme.
 - A further recommendation is to revisit the information governance audit undertaken by Essex County Council in October / November 2018 to ensure all recommended actions have been undertaken.
15. Members of Governance Ethics Committee will be updated on the outcome of this audit as part of the normal audit process.

Phase Two of the Programme

16. With an Information Governance Team in place and assuming responsibility for taking forward the improvements put in place by the IGIP, the Programme Team is now turning its attention to Phase Two. A partner organisation, QbitKloud, has been engaged to provide specialist expertise as, designing and putting in place a defined document management approach and system for a large and complex organisation like the Council, is a significant undertaking and likely to bring considerable challenges..
17. QbitKloud are a Microsoft Gold partner company specialising in supporting organisations to exploit opportunities afforded by Sharepoint. SharePoint is a key Microsoft product which provides tools for securely sharing documents and data within and across organisations and enables collaborative working. It comes with functionality that could greatly improve the Council's control and governance of information (e.g. security classification of documents etc). Because the Council's is already in a partnership with Microsoft as part of the migration to the Cloud and is adopting Office 365 (of which Sharepoint is a part), Sharepoint potentially offers the Council's a readily available and cost effective document management system solution.
18. In November QbitKloud started a three month discovery and design exercise to inform the Council's approach to document management using Sharepoint. This exercise will deliver:
 - A diagnostic of the Council's current information landscape (document volumes; flow; currency; ownership; duplication; structure, repositories etc.)
 - business requirements for the future document management approach / system

- a high level design for the future document management approach / system
- Recommendations which will inform the development of a business case and enable decisions to be made on next steps based on proposed costs / benefits / timelines.

19. The business requirements will be informed by stakeholder input balanced by constraining factors such as technology capabilities, timelines and cost to arrive at an acceptable, organisation-wide approach. There are a number of staff workshops planned over the duration of the company's engagement to understand current working practices and requirements. Consideration is also being given as to how elected members may best contribute to the design given their discrete role and needs. It is imperative that stakeholders are engaged and bought into the case for change from the outset as the successful implementation of any document management system will require everyone who uses it to change their working practices.
20. A document management system is integral to enabling the Council to be comply with data protection law in a cost effective way (e.g. automated rather than manual application of document retention periods etc.). It will also enable greater business productivity as documents are more easily searched for and retrieved (estimates suggest that non-manual workers can waste around 20% of their time searching for documents¹). Finally, a document management system will enable the Council to preserve its records for the appropriate amount of time and use information to improve its organisational memory and decision making now, and for generations to come.

Other Options Considered

21. This report advises on progress in delivering the Information Governance Improvement Programme at the request of Governance and Ethics Committee.

Reason/s for Recommendation/s

22. Governance and Ethics Committee has asked for periodic updates reporting progress in delivering improvements in information governance across the Council.

Statutory and Policy Implications

23. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

- 1) That members agree to receive a follow up/update report in the next 6 months on the Information Governance Improvement Programme and that this be included in the work programme.

¹ [Various Survey Statistics: Workers Spend Too Much Time Searching for Information](#)

- 2) That an Information Governance Action Plan be brought for approval in March 2019, with a quarterly performance update against that plan thereafter and that this be included in the work programme.

Marjorie Toward

Service Director for Customers, Governance and Employees

For any enquiries about this report please contact: Caroline Agnew

Constitutional Comments [SLB 29/11/18]

15. Governance and Ethics Committee is the appropriate body to consider the content of this report.

Financial Comments [SES 29/11/18]

16. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Establishing and Implementing an Information Governance Improvement Programme – Policy Committee (June 2017)
- Information Governance Improvement Programme Update – Governance and Ethics Committee (December 2017)
- Information Governance Improvement Programme Progress Update – Governance and Ethics Committee (June 2018)

Electoral Division(s) and Member(s) Affected

All