Nottinghamshire County Council

Information Strategy 2014 – 2018

Introduction

1. This strategy identifies how the effective governance and efficient management and use of information and data supports the Strategic Plan 2014 -2018. The Council has committed to get best value from our assets, make maximum use of technology and to ensure that our workforce has the right skills. This strategy also facilitates the active contribution of staff to the continuous improvement of services.

2. The Council commitments relevant to Information are set out in the Information Management and Data Quality Policy, approved by Policy Committee on 18 September 2013. These are:

    ➢ To be compliant with all relevant legislation;
    ➢ The creation and capture of accurate business information, data and records;
    ➢ To review and appropriately dispose of information, data and records that are no longer required;
    ➢ To ensure information security;
    ➢ To conform to all legal and statutory requirements;
    ➢ To ensure that all staff have been made aware of their duty of care and appropriately trained in order to deliver the commitments of this policy
    ➢ To ensure accuracy of all information, records and data held by the Council
    ➢ To collect information once and utilise it appropriately to deliver a range of services
    ➢ To only collecting information that is necessary for the delivery of services.

3. Alongside the Council's Information Management and Data Quality Policy the Council has an agreed Risk Management Strategy (November 2011). In relation to Information Governance the Council's risk appetite is to have an open attitude, measuring the risks carefully against potential benefits and options for successful delivery.

4. The Council holds and processes significant volumes of personal and sensitive information which is necessary for the efficient and effective delivery of services. It is therefore essential due to the size and diversity of the Council, that the Information Strategy is flexible and responsive to changes in risks and services delivered.

Information Governance in context

5. Information Governance provides a framework to bring together all of the requirements, standards and best practice that apply to the efficient handling of records and information, risk management and compliance.

6. The need for information governance stems from the Council's responsibility towards its citizens and customers. This is a challenge for all public sector organisations and is becoming an increasingly important issue for the Council. Access to reliable information is an essential component of meeting these responsibilities.

7. The Council is committed to preserving the confidentiality, integrity and availability of all its physical and electronic information systems and records in order to provide assurance that the organisation manages its information risks:

   ➢ So that the needs of service users and citizens and the requirements of good governance are met;
   ➢ To establish confidence that partnership arrangements involving the sharing and exchange of information are legal and secure;
   ➢ Design and implement security processes that are effective;
   ➢ Ensure confidence that services and products are provided by our suppliers and partners who manage information risks on behalf of the council in a way which is fit for purpose.

8. The need for a comprehensive information governance framework also arises from:

   ➢ Legal (legislation and common law), regulatory and contractual requirements;
   ➢ Corporate governance;
   ➢ Business and service delivery;
   ➢ Protecting the public purse;
   ➢ Business continuity requirements;

Information Management explained

9. Information management deals with the creation, storage, access, protection and lifecycle of information and data. This is now an important issue for the council as there is an increased need to focus on the overall value and accuracy of information, how it is used, stored and protected.

10. Information is central to the council and its decision making processes, it therefore needs to be accurate and accessible to those who need it at the time and place that is required. To make this happen the council needs to ensure that its information is managed to deliver:

    ➢ Secure access to information for those who need it
    ➢ Properly structured information and data storage
    ➢ Lifecycle management for both electronic and physical information, data and records
    ➢ Effective security measures both technical and procedural to ensure information and data is protected.
    ➢ Effective governance regimes for the creation and development of information systems and repositories

Information Strategy 2014 – 2018

11. The information strategy outlines our approach to managing our information assets to achieve the right balance between making information accessible to those who need it, whilst ensuring that adequate protection is in place.

12. The aim of this strategy is to ensure that the council meets its information management and security responsibilities ensuring that Nottinghamshire residents, customers, partners and suppliers have confidence that information, both personal and non-personal, is handled and

stored with due regard to its value and risk, where individuals understand the importance of using it correctly, sharing it lawfully and protecting it from improper use.

13. These requirements for security, integrity and accessibility will be met as part of service delivery and the primary means of achieving this is to follow good information handling practices.

14. Although there is an increasing emphasis on the electronic delivery of services and storage of information the Council will continue to retain a significant proportion of its information in more traditional formats which are also covered by this Strategy.

Strategic objectives

15. The Council's Information Strategy will deliver:

Skills

➢ Provide ongoing training and awareness for all staff to embed a culture of care and responsibility in the handling of all information throughout the council.

Security and ICT Systems

➢ implement and operate proportionate controls that apply best practice standards to protect information assets whilst facilitating access to them for those who are authorised to use them

➢ identify and manage information assets corporately and introduce an information risk management regime that balances risks with opportunities.

➢ work towards creating systems that effectively manage information lifecycles

Accessibility

➢ ensure that the infrastructure and processes for service delivery can provide the right information to the right people at the right time for the right purpose.

➢ implement effective information sharing arrangements with partner organisations to support service delivery

Efficiency

➢ identify and support effective practice in the management of information across all business areas, including preventing duplication of effort and enabling efficient use of resources.

➢ commit to an approach for the continuous improvement of information governance recognising the rapid changes in the way the Council operates and the introduction of new technologies along with learning from the experiences of others.

Quality

- implement efficient and effective data quality arrangements to ensure information, data and records are accurate, consistent and meets the needs of users.

Compliance

- achieve required standards to comply with legislative, regulatory and contractual obligations and relevant policies.
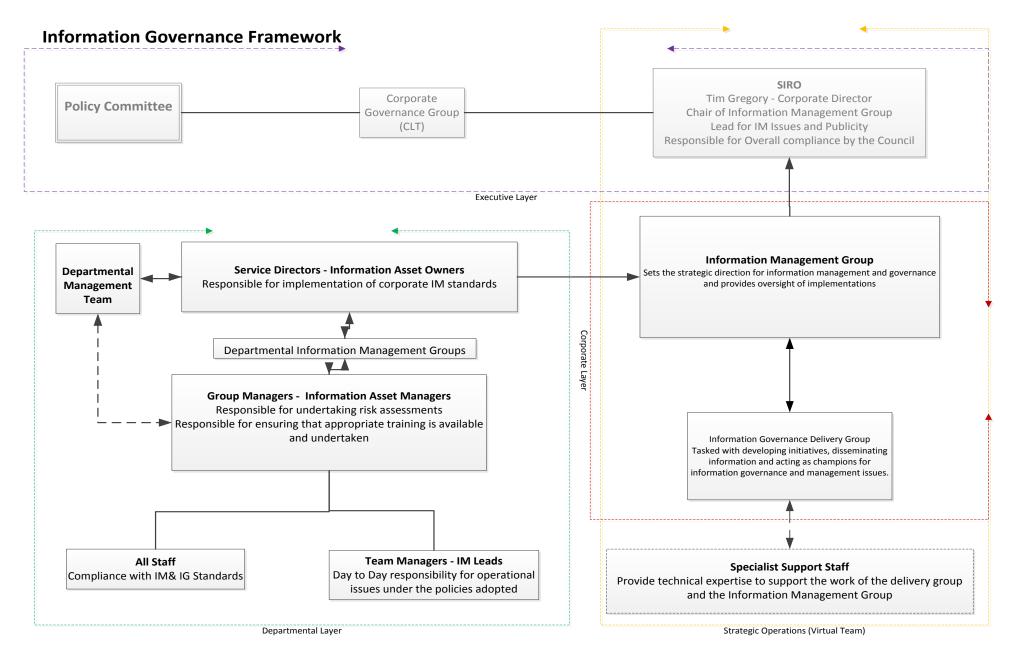
Reporting, monitoring and reviewing

16. The Council's Policy Committee has responsibility for the approval of and changes to the Information Management and Data Quality Policy and the Information Strategy. A report will be produced by the Senior Information Risk Owner (SIRO) on an annual basis to enable members to monitor progress and performance in managing information.

17. The SIRO is responsible for leading and fostering the organisational culture that values, protects and uses information for the public good. In order to achieve this, an information governance and management structure has been developed to provide management oversight and strategic direction. (See appendix A for how this structure is presently enabled). The SIRO chairs a corporate Information Management Group, comprising senior officers from the departments (including the Caldicott Guardians). This group is responsible for setting the strategic direction and provides oversight of implementations. The reporting route for the Information Management Group is through the SIRO to the Corporate Leadership Team and elected members. An Information Governance Delivery Group supports through practical work and is tasked with developing initiatives, disseminating information and acting as champions for information governance and management issues within the departments. The delivery group reports to the Information Management Group.

Implementing the Strategy

18. Implementing this Strategy will occur over the short, medium and long term. A more detailed implementation plan will be approved and monitored by the Information Management Group.

19. In the short-term (March 2015) the Council focus will be on:
- Staff training and awareness and agreeing the approach to refresher training
- Developing a regular communications approach to staff about Information Governance issues
- Desktop review of policies and procedures to ensure consistency across the Council
- Review the Information Management and Data Quality Policy 2013 and, where appropriate, update.
- Implementing the Government's Transparency Code 2014
- Reviewing and updating the Council's Publication Scheme
- Defining a clear reporting process for information governance and management through the Performance Management and Benchmarking programme

20. In the medium-term (2015 – 2016) the Council focus will be on:
- Developing the content of the Information Asset Register as a tool to inform decision making and understand risk relating to information which the Council holds
- Record retention and destruction
- Information management and data quality systems, tools and infrastructure
- Providing a good consistent quality of information and data
- Reviewing Information Sharing protocols

21. In the long-term (2017 – 2018) the Council will focus on:
- All Information Governance and Management Policies, Procedures and Guidance being reviewed and, where appropriate updated
- Developing a resource area for tools and guidance relating to Information Governance
- Ongoing awareness and training for staff whose roles involve handling sensitive personal data

22. The implementation plan will be reviewed annually and updated as appropriate.
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Appendix A

Information Governance Framework

Policy Committee

Corporate Governance Group (CLT)

SIRO
Tim Gregory - Corporate Director
Chair of Information Management Group
Lead for IM Issues and Publicity
Responsible for Overall compliance by the Council

Executive Layer

Departmental Management Team

Service Directors - Information Asset Owners
Responsible for implementation of corporate IM standards

Information Management Group
Sets the strategic direction for information management and governance and provides oversight of implementations

Departmental Information Management Groups

Group Managers - Information Asset Managers
Responsible for undertaking risk assessments
Responsible for ensuring that appropriate training is available and undertaken

Information Governance Delivery Group
Tasked with developing initiatives, disseminating information and acting as champions for information governance and management issues.

Corporate Layer

All Staff
Compliance with IM& IG Standards

Team Managers - IM Leads
Day to Day responsibility for operational issues under the policies adopted

Specialist Support Staff
Provide technical expertise to support the work of the delivery group and the Information Management Group

Departmental Layer

Strategic Operations (Virtual Team)

Information Governance Strategy 2014 – 2018 Final version 1