



INFORMATION GOVERNANCE

HIGH LEVEL STRATEGY

APRIL 2011 – MARCH 2021

Introduction

The information held by the City of York Council (CYC) is a key asset. Without accurate and reliable information CYC will not be able to deliver high quality services to the public. It therefore follows that this asset must be:

- up to date and accurate;
- available to those who need to access that data; and
- kept in an appropriately secure manner to maintain its integrity and confidentiality

Recent years have seen an increased volume of legislation affecting public sector use and maintenance of information, including the Freedom of Information Act and the Data Protection Act. Current government initiatives are also aimed at encouraging public access to data held by public bodies and this is likely to increase the exposure of CYC should its Information Governance systems fail to meet laid down standards.

Cabinet Office issued guidance on the implementation of Information Assurance in May 2010 and this forms the basis of this strategy. In addition, CYC has given a number of undertakings to the Information Commissioner following an information security breach at the council. This strategy creates a framework to implement both the Cabinet Office requirements and the undertakings made to the Information Commissioner in a way which accords with CYC organisational culture.

Information Assurance Requirements

Cabinet Office defines 5 levels of maturity, each building on the earlier level. These are:

- **Level 1 - Initial:** The organisation is aware of legal requirements and has policies in place to guide improvement
- **Level 2 - Established:** Processes are established across the council and its delivery partners
- **Level 3 – Business Enabled:** All critical areas subject to a robust information governance regime
- **Level 4 – Quantitatively Managed:** Whole business has embrace information assurance.
- **Level 5 – Optimised:** Full integration of Information Assurance in all aspects of the business, all levels of management and IA used as a business enabler.

Strategic Approach

Movement to level 5 at this stage would be costly, traumatic and unnecessary. However, the majority of mandatory measures are built in to level 1 and, at this stage level 1 should satisfy the needs of CYC. In the coming years pressure to move along the maturity model is likely to increase and the strategy thus needs to include a commitment to move along the maturity axis.

This strategy is intended to bring CYC to level 1 within the next 2 years, with a long term ambition to reach level 5 within the next 10 years. Achievement of each stage will be supported by a specific plan which will be built upon the achievements of having achieved the previous level.

Measures to achieve level 1 need to dovetail with other initiatives within CYC, in particular the move to a single HQ building and introduction of EDRMS. Indeed many aspects of effective information governance are pre-requisites if the HQ move and EDRMS are to be introduced successfully

The intention is to progress along the maturity model in accordance with the following indicative timescale:

1. Level 1 – by March 2014
2. Level 2 – by March 2017
3. Level 3 – by March 2018
4. Level 4 – by March 2020
5. Level 5 – by March 2022

It should be noted that this is an indicative timescale. As each level is achieved, the Corporate Information Governance Group will re-evaluate the timetable and whether or not further progression is required to meet the needs of CYC.

Implementation of Level 1

There are 3 main stages to implementation of level 1:

- Embedding Information Risk Management within the culture of CYC, including introduction of effective procedures and agreement with external stakeholders ;
- Implementing best practice in terms of Information Assurance (within CYC and its partners), systematic monitoring to ensure breaches are detected and appropriately dealt with; and
- Effective compliance, both within CYC and its partners/3rd party suppliers. This also includes independent assurance to the SIRO that compliance processes are working effectively

A high level plan to achieve level 1 is attached as an appendix. Each high level action point is supported by a more detailed list of actions required to meet the requirements laid down by the Maturity Model. In addition, an Information Governance framework document will be developed which will include key information required by staff to carry out their information governance responsibilities.

Progress Reporting

It is the intention that progress against each of the high level action points will be reported to CIGG at each meeting. Progress will be reported using a system of colour coding as follows:

- Green – action point achieved
- Green/Amber – steady progress being made towards achievement and target likely to be met
- Amber – delays or other problems being experienced. Risk that the target will not be achieved
- Amber/Red – significant delays or problems. Target unlikely to be achieved unless significant urgent action is taken
- Red – target will not be met.