
Executive

30 March 2010

Report of the Assistant Director of Resources (Customer Service & Governance)

Information Governance Policy & Strategy

Summary

1. To present the proposed single strategic framework for improving Information Governance arrangements in the council, as laid down in the draft policy and strategy documents attached at Annex A and Annex B to this report.
2. All Directorate Management Teams and the Audit & Governance Committee have had the opportunity to comment on these proposals as part of a detailed consultation process. The draft framework has been amended to ensure the use of existing reporting and management structures, with integration into existing roles including required competencies with associated training provision.
3. The target is to reach Level 2 'Established' by the point that services move into the council's new Headquarters by the end of 2012.
4. The principal outcomes and benefits of a single Framework for the organisation will be:
 - (a) Increased public confidence in the way the council and its partners manage and store personal and confidential records and data;
 - (b) customer care will be enhanced by the efficient and controlled access and use of such information;
 - (c) key decisions, strategies and plans will be based on the right information from accurate and robust sources;
 - (d) compliance with national standards for data sharing and security such as Connecting for Health and Government Connect;
 - (e) data security incidents will be recorded and investigated to ensure future risks are managed and minimised;
 - (f) the consistent and efficient use of data and systems as an integral part of the MoreforYork efficiency programme.

Background

5. A comprehensive policy and strategy has been developed covering all aspects of Information Governance in the council (IG Framework). The draft IG Framework has been developed to incorporate the core measures identified in the Government's Data Handling review and the HMG Security Framework. Certain serious data loss incidents in the last two years have led the Cabinet Office and the Local Government Association to provide detailed advice on data security and information management arrangements. Government has also prepared its "Code of Connection" governing the exchange of data between public authorities, obliging the council to make particular improvements in respect of data handling.
6. It is intended that, within the IG Framework, all the council's policies, protocols and guidance notes relating to IG can be developed in a way that is both comprehensive and complementary to each other. It will address the overall management and development of IG arrangements at a corporate, managerial and operational level across the council. The objective of the Framework will be to set out how the council will improve its information security by establishing:
 - (a) core measures to protect personal data and other information across the council;
 - (b) a culture that properly values, protects and uses information;
 - (c) stronger accountability mechanisms within the council; and
 - (d) stronger scrutiny of performance.
7. Information Governance can be categorised into four main strands as follows:
 - (a) **Information Security**

This considers the adequacy of the council's arrangements for protecting personal and sensitive data in accordance with the principles of the Data Protection Act 1998 and guidance issued by the Information Commissioner's Office (ICO).
 - (b) **Compliance with Legislation**

This considers the legal framework, "constitutional" arrangements and operational standards that need to be established to ensure that data and information management throughout the council is conducted within the relevant legislative parameters (e.g. Data Protection, FOI). Once the overall IG Framework has been approved, feedback will be obtained from baselining work, to be undertaken by Veritau auditors, to assess the degree to which the directorates, and their service areas, are complying with the principles detailed within the IG Framework.

(c) **Information Quality**

This set of requirements covers the need to ensure the quality, accuracy, currency and other characteristics of information, which is held, used or issued.

(d) **Records Management**

This is the process of creating, describing, using, storing, archiving and disposing of records according to a pre-defined set of standards.

Consultation

8. Consultation on these draft documents was wide-ranging and included key officers with a specialist interest in the subject areas covered by the Policy and Strategy, together with all Directorate Management Teams and the Audit & Governance Committee (15 February 2010). All feedback has been considered in revising the documents for review and approval by CMT and, now, the Executive.

Options

9. Members can choose to reject or amend the proposed draft policy and/or strategy.

Analysis

10. Not relevant for the purpose of the report.

Corporate Priorities

11. This report contributes to the overall effectiveness of the council's governance and assurance arrangements contributing to an 'Effective Organisation'.

Implications

- 12.
- (a) **Financial** – See paragraph 13 below.
 - (b) **Human Resources (HR)** - There are no implications.
 - (c) **Equalities** - There are no implications.
 - (d) **Legal** – See paragraph 9 below.
 - (e) **Crime and Disorder** - There are no implications.
 - (f) **Information Technology (IT)** - There are no implications.
 - (g) **Property** - There are no implications.

Risk Management

13. The council risks failing to properly comply with legislative and best practice requirements to provide for the proper management of its information. There are new fines and audit powers available to the Information Commissioner which are intended to encourage organisations to focus on data protection law and to establish robust data management processes. The Information Commissioner's powers have previously been modest but, from April 2010, he will have the power to fine organisations up to a maximum of £500,000 for serious breaches of the Data Protection Act. This means that information security is now a financial and reputational risk.
- 14 The council is not fully compliant with certain other standards, leading to practical and reputational risks. These may be made worse in the move to the new HQ if records are not transferred correctly to the Documentum EDRMS . The full value of information to the council and its customers may not be realised if mandatory audits and registers are not completed.

Recommendations

15. Members are asked to approve the documents at Annex A and Annex B

Reason

To ensure future arrangements adequately manage the council's information governance risks.

Contact Details

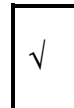
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Report Approved



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Specialist Implications Officers

Wards Affected: Not applicable

All

For further information please contact the author of the report

Background Papers:

HMG Security Policy Framework (SPF) Security Policy No.2 Protective Marking and Asset Control Cabinet Office, undated

http://www.cabinetoffice.gov.uk/spf/sp2_pmac.aspx

Local Government data handling guidelines Local Government Association (LGA)

November 2008 <http://www.idea.gov.uk/idk/aio/9048091>

Code Of Practice on The Management of Records by Public Authorities Ministry of

Justice, revised 2009 (the "S46 code") <http://www.justice.gov.uk/guidance/foi-guidance-codes-practice.htm>

The Re-Use of Public Sector Information Regulations ("ROPSI") (Statutory Instrument 2005 No. 1515) Office of Public Sector Information, 2005

<http://www.opsi.gov.uk/si/si2005/20051515>

Public Sector Data Sharing: guidance on the law Dept for Constitutional Affairs

November 2003 <http://www.dca.gov.uk/foi/sharing/toolkit/lawguide.htm>

Annexes

Annex A Draft Information Governance Policy

Annex B Draft Information Governance Strategy