Audit and Governance Committee　　　　　10 December 2014

Report of the Head of Internal Audit

Information Governance Progress Report

Summary

1　This report provides members with an update on information governance developments since the last report to this committee on 25 June 2014.

Background

2　The council recognises that information is a key business asset and that reliable information is important to support the provision of good quality services and the discharge of statutory obligations. Information governance (IG) plays a key role in ensuring that information is properly valued, used and protected.

3　The Audit and Governance committee approved an information governance strategy in 2011. The objectives of the strategy were to help the council to manage its information risks more effectively and to ensure it can meet its legal obligations in respect to information handling and processing (including the Data Protection and Freedom of Information Acts). The strategy reflected best practice developed by the government and the Information Commissioner's Office (ICO). Since that date, the council has made good progress to develop and implement a range of measures to address information risks.

4　Further guidance and best practice has been developed since that date so a review of the strategy will now be undertaken by the Corporate Information Governance Group (CIGG). A revised action plan will also be developed.

Work Completed in the Period

5   The following work has been undertaken since the last report to this committee in June:

- A revised approach to quarterly data breach reporting has been adopted;

- A draft data sharing protocol has been developed in conjunction with North Yorkshire County Council, North Yorkshire Police, the York Teaching Hospital Foundation Trust and North Yorkshire Fire and Rescue Service. The protocol is an overarching framework designed to ensure information is shared lawfully, appropriately and in compliance with best practice. It aims to establish consistent principles and practices to govern the sharing of personal and non-personal information between partner agencies. Once approved, other partner agencies will be encouraged to adopt it;

- An audit of information security is in progress and will be completed shortly. The audit included a review of governance arrangements, data sharing, mobile working, physical security and incident management;

- Further data security compliance audits have also been completed. The audits involve unannounced checks of areas within West Offices or to other council establishments to determine whether personal data and other information assets are properly secured. A draft report detailing the results of the most recent visits was issued in September 2014 and, where significant issues were identified, responsible service managers and assistant directors were contacted to agree specific actions. A final report will be issued shortly detailing where actions have been agreed. Further visits are due to take place within the next month;

- A review of the council's information governance policies, and its IG Strategy and Action Plan, are being undertaken to reflect new guidance and best practice developments, and emerging priorities;

- Other activities completed in the period include QA reviews of FoI requests, ongoing awareness raising

through regular shouts on COLIN, the delivery of a training session for information governance practitioners and the development of an e-learning package (to support the roll-out of Icomply).

Consultation

6   Not relevant for the purpose of the report.

Options

7   Not relevant for the purpose of the report.

Analysis

8   Not relevant for the purpose of the report.

Council Plan

9   The council's information governance framework offers assurance to its customers, employees, contractors, partners and other stakeholders that all information, including confidential and personal information, is dealt with in accordance with legislation and regulations, and its confidentiality, integrity and availability is appropriately protected.

Implications

10   There are no implications to this report in relation to:

- **Finance**

- **Human Resources (HR)**

- **Equalities**

- **Legal**

- **Crime and Disorder**

- **Information Technology (IT)**

- **Property**

Risk Management Assessment

11   The council may face financial and reputational risks if the information it holds is not managed and protected effectively. For example, the ICO can levy fines up to £500k for serious data security breaches. The failure to identify and manage information risks may diminish the council's overall effectiveness.

Recommendation

12   Members are asked to:

a)   note the progress made to maintain and develop the council's information governance framework.

Reason
To enable members to consider the effectiveness of the council's information governance arrangements.

Contact Details

Author:	**Chief Officer Responsible for the report:**
Max Thomas	Ian Floyd
Head of Internal Audit	Director of CBSS
Veritau Limited	Telephone: 01904 551100
01904 552940	

Report Approved   ☑   **Date**   25/11/14

Specialist Implications Officers
Not applicable

Wards Affected: Not applicable   **All**   ☑

For further information please contact the author of the report

Background Papers

None

Annexes

None