

Report of Deputy Chief Executive

Report to Corporate Governance and Audit Committee

Date: 20th March 2015

Subject: Annual Information Governance Report

Are specific electoral Wards affected? If relevant, name(s) of Ward(s):	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Are there implications for equality and diversity and cohesion and integration?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Is the decision eligible for Call-In?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Does the report contain confidential or exempt information? If relevant, Access to Information Procedure Rule number: Appendix number:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Summary of main issues

1. The Senior Information Risk Owner responsibility is now with the Deputy Chief Executive, Strategy & Resources. This role has overall ownership[of information risk management across the council, acts as champion at Board level and provides the Chief Executive with written advice on the content of the Statement of Internal Control in regard to information risk.
2. The work required to address the recommendations of the Information Commissioners Audit report has been completed or is underway.
3. Significant , strategic work on Information Management and Information Governance is being undertaken to strengthen management of information in support of the business of the council, to respond to external requirements and to identify opportunities for efficiency and other value gains in the management of information.
4. The council is fully compliant with the Department of Communities and Local Government's Transparency Code, and continues to lead the way in proactively making datasets available for re-use across the City and wider local region, thereby providing continued commitment to the council's value of being open and transparent.

Recommendations

5. Corporate Governance and Audit Committee is asked to consider the contents of this report and the assurance provided as to the Council's approach to information governance.

1 Purpose of this report

- 1.1 To provide Corporate Governance and Audit Committee with an annual report on the steps being taken to improve Leeds City Council's information governance in order to provide assurance for the annual governance statement.

2 Background information

- 2.1 Leeds City Council recognises the need to protect its information assets from both accidental and malicious loss and damage. Information Governance is taken very seriously by the council and this is evidenced by the on-going work to improve the management and security of our information as outlined in this report.
- 2.2 The report provides Committee Members with an update on the more strategic and cross-council activity on-going to provide assurance on our approach to information governance.

3 Main issues

- 3.3 The Information Commissioner is responsible for enforcing and promoting compliance with the Data Protection Act 1998 (the DPA). Section 51 (7) of the DPA contains a provision giving the Information Commissioner power to assess any organisation's processing of personal data against current standards of 'good practice', with the agreement of the data controller.
- 3.4 Leeds City Council was the subject of enforcement action in 2012 by the Information Commissioner's Office (ICO) with both an Undertaking and a Civil Monetary Penalty issued for separate data protection breaches. The ICO followed up these sanctions with an audit of its processing of personal data in October 2013. Members of this Committee received a detailed report on 21st January 2014 providing information about the audit and the fact that the council was able to provide the ICO with reasonable assurance about our data protection practices. Appendix A contains a summary of the current position against these recommendations.
- 3.5 In September 2014 the council reported progress against each recommendation. In response the ICO acknowledged that significant progress has been made on all recommendations. The ICO also acknowledged, and was complimentary about the fact that the council was often doing work over and above their recommendations. The residual work is ongoing.
- 3.6 Apart from generally improving good practice some recommendations represent key actions necessary to keep pace with the increasing demands of compliance with information law.
- 3.7 Each public authority is now expected to nominate a senior member of staff to act in the role of Senior Information Risk Officer (SIRO). Following the reorganisation of the corporate centre this nomination transferred from James Rogers, Assistant Chief Executive (Citizens & Communities), to Alan Gay, Deputy Chief Executive (Strategy and Resources). This transfer accompanied the move of the Corporate Information Governance function to the Chief Information Officer, ICT. The SIRO

has overall ownership for information risk management across the council, acts as champion for information risk at Board level and provides the Chief Executive with written advice on the content of the Statement of Internal Control in regard to information risk.

- 3.8 Information is expensive to gather, use and hold and great potential remains for the further exploitation of our information resources and the uncovering of savings in the handling of information. It follows that it should be managed as efficiently as all other valuable assets like people, business process and infrastructure. Accordingly, an Information Management Strategy for the council is under development. It will be designed to align to the council's outcomes and objectives and particular needs of service delivery. This will help to establish business and information needs for the council in a sensible and disciplined way, and build efficient ways of managing them.
- 3.9 The Information Management Strategy will ensure that all information related activity will be appropriate, cost effective, and compliant and that it will contribute positively to the success of Council initiatives.
- 3.10 In the short term, several key initiatives are now in progress which will support this Strategy and improve assurance to the council in their own right. The paragraphs below set out some detail of each of these key initiatives.
- 3.11 Information Management activities will operate under a new Information Management Board chaired by the Chief Information Officer with key, senior directorate members. The board will oversee the direction and development of the structures and policies needed to ensure standard information management is embedded across the whole council; it will, for example, receive reports on how well each directorate is doing in key information management areas, along with risk, and recommend and monitor remedies to mitigate risks to information assets.
- 3.12 A risk model for information has been defined and will be incorporated as a key risk category in the corporate risk register. This model will operate at Directorate level and is expected to be deployed very shortly. This approach will give a comprehensive and authoritative overview of information risk across the council for the first time, and achieved at almost no additional cost. This model will provide assurance to the council's SIRO that risks to information assets are identified, reported and evaluated to assess the risk to the business in a more consistent and effective way.
- 3.13 The council's Information Management Board has approved a redesign of the council's existing Information Asset Register, and a refresh of the role of Information Asset Owner. A project is underway to implement both these measures by the end of 2015.
- 3.14 An Information Asset Register is a mechanism for understanding an organisation's information assets and the risks associated with them. The register allows us to better see how information content and information systems interact with changes to business requirements and the technical environment. The information assets are defined as belonging to Heads of Service in the main. They are responsible for making sure the asset properly supports the business, and

that risks and opportunities connected with it are monitored and acted upon. This means also that they have a key role in embedding and maintaining policies around the use and handling of information which will improve the cohesion and consistency of information management across the council. The SIRO will consider a report providing an annual statement of control in respect of information assets recorded on the register, in order to identify and mitigate risk and provide the necessary level of assurance required about information management practice across the council.

- 3.15 The council has an approved corporate information governance training strategy which includes a mandatory basic training for all council staff which is refreshed every two years. This training took place in June 2014 and a process to ensure maximum take up was followed. Most existing council staff (95%+) have completed the training and processes are in place to ensure that new starters take the training.. This provides the City Council with all staff have a basic appreciation of the requirements of the Data Protection Act as it affects them. The fact that take up is recorded allows the council to demonstrate that training has been provided to all employed individuals and provides evidence to regulators such as the ICO that the council has a comprehensive training programme on information governance across its workforce. This is important as the ICO will take account of the level and adequacy of training when considering organisations mitigation in relation to reported information incidents.
- 3.16 External standards and their requirements provide internal assurance to the council. The two principal standards are the Information Governance Toolkit and the Public Services Network Accreditation.
- 3.17 The Information Governance Toolkit is a Department of Health return which is mandated for those organisations requiring access to Health data to provide a level of assurance about information governance processes and levels of good practice. LCC are required to carry out a self-assessment of our compliance against the Toolkit. To this extent, the Toolkit is being completed to provide such assurance on behalf of the council's IT Services, Adult Social Care service, Children's Services and Public Health service.
- 3.18 The Public Services Network (PSN) is a secure network for the UK public sector. Participants need to be accredited to common technical infrastructure security standards (PSN Code of Connection) so that connecting organisations form a mutually assured community at the technical level. The council is accredited and is connected to the network.
- 3.19 The Information Governance Toolkit and the Public Services Network Accreditation are both renewed annually so that the assurance they provide remains current and the council is confident that the assessments taking place this year will provide continued accreditation.
- 3.20 While no organisation is immune from information security incidents, the levels of incident are closely managed. The Information Security Incident Management and Reporting process has been simplified significantly and a dashboard brought into use allowing real time reports at Corporate and Directorate levels. . Since the Information Commissioner's audit in 2012, the council has had an improved

record and not experienced any incidents which have required involvement by the Information Commissioner.

- 3.21 Internal Audit has an allocated annual programme of work which covers Information Governance. In 2014/15 Internal Audit completed some follow up work on the programme of checks on contracts required by the ICO Undertaking issued to the council in 2012. The scope of the review was to obtain assurance that there is a robust system in place to ensure that information governance requirements are specified within council contracts as stipulated in the recommendations of the ICO audit.
- 3.22 The audit found that, whilst there is a level of acceptable assurance around operational controls, limited assurance can only be provided in relation to controls to ensure appropriate information governance is included and managed within all contracts. As such, the organisational impact has been assessed to have a moderate impact. A series of recommendations have been identified and agreed to improve controls, and these recommendations are being implemented in partnership between the Corporate Information Governance Team and the Public Private Partnership and Procurement Unit.
- 3.23 Leeds Data Mill, an open data platform for Leeds was launched in March 2014. The website stores in a single repository, not only Leeds City Council data, but also data for other public bodies, the private, 3rd, and voluntary sectors. This approach has won both local engagement and national recognition and has enabled the council to unlock central government funding to help with Leeds' ambitions of becoming 'the best city for open data'. The council is currently publishing 115 datasets compared to 20 datasets one year ago, which exemplifies the council's commitment to openness and transparency.
- 3.24 Members have previously been informed of the government's intention to enforce publication of certain datasets in its Local Government Transparency Code. In September 2014 the Government published a final version of the Local Government Transparency Code making it a mandatory requirement to publish named data sets by particular deadlines. All datasets were published on time and processes put in place to ensure these are maintained going forward.
- 3.25 The EU published a directive (INSPIRE) in 2009 concerning the publication of mainly environmental data. . Most councils' have chosen to use some of their allocated DEFRA funding to work with a private software supplier to help them overcome the first set of INSPIRE requirements. Due to the relatively low costs involved with this option, Leeds has chosen to take the same approach in the short term. There are however, additional requirements in the coming years to facilitate the harmonisation of data across Europe. LCC is therefore leading on discussions with other local authorities in the Yorkshire and Humber region to investigate whether a regional collaborative approach could deliver a more cost effective solution in the longer term that will provide assurance that local authorities in the region are complying with the Directive.

3.26 Consultation and Engagement

- 3.26.1 Consultation on the development of strategies, policies, procedures and standards are extensively undertaken across a broad range of stakeholders including information management professionals, representatives from all Directorates via representatives of Information Management and Technology Teams and Information Management Board members.

3.27 Equality and Diversity / Cohesion and Integration

- 3.27.1 Equalities, diversity, cohesion and integration are all being considered as part of delivering the Information Management Strategy. This refers to the way training is being delivered as well as how policies will impact on staff and partners.

3.28 Council policies and City Priorities

- 3.28.1 The policies support the Information Management Strategy and contain areas of legal requirement. Furthermore, the implementation of the Information Management Strategy will improve the quality of the council's policy framework by ensuring the authenticity, integrity and security of the information contained therein.
- 3.28.2 Under the Code of Corporate Governance in Part Five of the council's Constitution, the fourth principle (taking informed and transparent decisions which are subject to effective scrutiny and risk management) requires decision making processes and enables those making decisions to be provided with information that is relevant, timely and gives clear explanation of technical issues and their implications.

3.29 Resources and value for money

- 3.29.1 Capacity within Directorates to deliver, embed and monitor compliance to information governance and information risk management practice is being resourced through the implementation of Information Management and Technology (IM&T) teams within each Directorate. Information Governance FTE's are included in each of the IM&T teams.
- 3.29.2 The way Information Governance is structured and organised is currently being reviewed with a view to ensuring that the way information management is deployed and delivered across the organisation and city takes account of the Better Business Management Principles: Standardise; Simplify and Share.

3.30 Legal Implications, Access to Information and Call In

- 3.30.1 Delegated authority sits with the Deputy Chief Executive and Senior Information Risk Owner and has been sub-delegated to the Chief Information Officer under the heading "Knowledge and information management" in the Deputy Chief Executives Sub-Delegation Scheme.
- 3.30.2 There are no restrictions on access to information contained in this report.

3.31 Risk Management

- 3.31.1 The risk associated with not implementing information governance policies, procedures and practice across the Council leaves the organisation more susceptible to breaches of legislative, regulatory and contractual obligations, affecting the confidence of its citizens, partners, contractors and third parties when handling and storing information.
- 3.31.2 Information risk is being systematically addressed by joining up the approach to risk required by information security standards, the need for the senior information risk owner to be clear about the risks he/she is accountable for and the council's standard approach to risk management.

4 Conclusions

- 4.32 Following the Information Commissioner's report significant work has been undertaken to review strategic arrangements for the management of information and to keep up with new challenges.
- 4.33 Measures such as a newly constituted Information Management Board chaired by the Chief Information Officer with new powers and specific projects such as the development of an Information Management Strategy, an Information Security Management System and the refresh of the role of the Information Asset Owner and the updating of the Information Asset Register are aimed at strengthening and rationalising the management of information and to increase its value ,and reduce its risk, to the council.
- 4.34 The council is fully compliant with the Department of Communities and Local Government's Transparency Code, and continues to lead the way in proactively making datasets available for re-use across the City and wider local region, thereby providing continued commitment to the council's value of being open and transparent.

5 Recommendation

- 5.1 Corporate Governance and Audit Committee is asked to consider the contents of this report and the assurances provided as to the Council's approach to information governance.

6 Background documents¹

¹ The background documents listed in this section are available for inspection on request for a period of four years following the date of the relevant meeting. Accordingly this list does not include documents containing exempt or confidential information, or any published works. Requests to inspect any background documents should be submitted to the report author.

Appendix A

Leeds City Council actions against recommendations made by the Information Commissioner

Recommendation	Current position as at February 2015	Progress Status Green=complete Amber = on going Red = not started
<p>A6. Ensure Information Asset Owners are trained in line with proposed plans.</p> <p>B13. Ensure a formal information security risk assessment and management programme for all information assets on the Information Asset Register has been documented, is implemented by Information Asset Owners and regularly monitored and reviewed.</p>	<p>A Project plan has been developed to refresh the Information Asset Owner role.</p> <p>Council's Corporate Leadership Team has approved the nomination of Information Asset Owners who will be responsible for managing information risk within their services and ensuring compliance with internal policy and external regulatory requirements.</p> <p>The IAO role is seen as belonging with the Head of Service in most cases. A process of notifying IAOs and undertaking training to inform them about the role and their responsibilities;</p> <p>Work is underway on this project and for the time being is being facilitated by staff from within the council's Corporate Information Governance Team.</p>	Partially Complete
<p>A10. It would be advisable to have a permanent resource within the IG Team to ensure that this essential training is developed, maintained and delivered over the long term.</p>	<p>Training Officer now in place</p>	Complete
<p>A11. Members of the IG team should be suitably qualified to enable them to carry out their role effectively. It would therefore be advisable for the Council to provide relevant</p>	<p>Under on-going review. Specific courses arranged as a result of latest review</p>	Partially Complete and Ongoing

professional training.		
A12. To comply with the Local Public Services Data Handling Guidelines, the Council should provide suitable CESG training for the ITSO.	Training provided as recommended.	Complete.
A13. The Council should ensure regular IG refresher training is mandated and monitored to ensure staff knowledge is kept up to date and relevant.	Regular mandatory IG refresher training is provided to all staff every two years. The latest refresh was in 2014 and more than 95% of staff have undertaken the training.	Complete with actions ongoing.
A21. Provide digital key safes for use within social services teams to ensure that records are always accessible when required. And A22. Provide a lockable storage solution for social workers taking manual personal records off site on client visits, such as lockable document holders, bags and/or car boot safes	Both Adult Social Care and Children's Services Directorates have refreshed their practices around the storing and accessing of records and the implementation is being monitored. Environment And Housing is to adopt the same practices.	Complete
A23. Introduce a standard procedure for signing files out of the office and ensure the file returns are monitored.	A new corporate standard and procedure for tracking and tracing of files has been developed and signed-off by the Records Managers Group and is being put into place with a view to full implementation from 1 April 2015.	Partially Complete
A27. Regularly monitor boxes and files which have been removed from the Records Management storage facility to ensure files are returned in a timely manner and enable the early identification of any missing records.	Current processes enable the movement of records that are within the control of the corporate records management facility to be tracked and traced although a new process containing improvements is about to be installed.	Partially Complete
A28. Ensure all visitors to office buildings containing sensitive personal data are recorded in a visitor's book and ensure codes for doors with pin code access are regularly changed and this is recorded.	Directorates Information Management Teams are progressing this in the 70 offices identified as handling high risk (personal data) information and records.	Partially Complete
A29. Implement a procedure for routine spot checking of compliance with the clear desk policy.	A plan to introduce routine spot checking for staff compliance with the council's Clear Desk/Clear Screen policy has been developed and implemented based on annual routine sample checks.	Complete and procedure on-going.

<p>A30. Ensure all manual records containing personal data in Revenues and Benefits are locked away at the end of the day.</p>	<p>Revenues and Benefits have provided lockable cupboard in visitor office and have provided assurances paperwork containing personal data is locked away at the end of the day.</p>	<p>Complete</p>
<p>A37. Wherever available ensure that follow me printing is enabled. For devices which do not have follow me capabilities, introduce a system of spot checks to ensure information is not left on printers for any longer than necessary.</p>	<p>A new contract for Print Services across the council was awarded to an external contractor in July 2014. PIN printing was a default requirement in the contract specification. The roll out is substantially complete.</p>	<p>Complete</p>
<p>A39. Ensure that the protective marking scheme is implemented as soon as is practicable.</p>	<p>The requirement on Local Authority's is unclear and advice has changed at a national level. The full requirement appears to be narrower than originally envisaged. Where the requirement is clear this has been implemented. Clarification is being sought on the remainder of the requirement.</p>	<p>Partially Complete</p>
<p>A42. Ensure that the retention schedule is finalised and implemented as soon as is practicable.</p>	<p>All Retention Schedules are now finalised and finished. Corporate Records Manager is drafting some simplified user versions of the retention schedule. Corporate Records Manager to, develop implementation plan and liaise with Corporate Communications to discuss an official launch of the Retention Schedule.</p>	<p>Partially Complete</p>
<p>A44. Ensure that offices which are using unsecured confidential waste bags are provided with the standard lockable containers which are part of the confidential waste contract. A46. Carry out an audit of shredders and consider the introduction of cross-cut shredders for sensitive personal data, or the use of locked confidential waste bins with subsequent secure in- house or third party destruction.</p>	<p>The council developed an action plan to deliver against recommendations A44 and A46.</p> <p>The scope of delivery for these recommendations was to cover the 70 buildings identified as high risk (processing personal data) in recommendation A28.</p>	<p>Partially Complete</p>

<p>A47. Ensure ESCR files transferred to new casework systems are appropriately weeded in line with the Council's retention schedule.</p>	<p>This work was completed across Children's Services in late 2013 as part of preparation for the go-live of their new Case Management System.</p> <p>For Adult Social Care, only those cases that should be retained under the agreed retention policy will be migrated from ESCR to the new case management system currently scheduled for June 2015.</p>	<p>Partially Complete</p>
<p>A48. Ensure that RM KPIs are routinely communicated to appropriate boards, including IGMB, from relevant sub groups. B4. Formalise a process for ensuring IG KPIs are reported to the IGMB from its sub-boards and these are recorded and formally reported back to the SIRO and the Risk and Performance Board and/or Internal Audit.</p>	<p>Following a review, a reconstituted Information Management Board is now in place, and the Chief Information Officer, who has delegated decision powers for information management as chair. .</p> <p>One of the standing responsibilities of the Board is to monitor council performance against each of the IG Key Performance Indicators and recommend corrective action if targets are not being met.</p>	<p>Complete</p>
<p>A49. Establish suitable RM KPIs for all directorates and ensure these are appropriately reported within the IG structure.</p>	<p>Key Performance Indicators have been developed and, following a formal consultation process with key stakeholders, approved and included in the Information Services Service Plan 2014/15.</p>	<p>Complete</p>
<p>A51. Ensure that Privacy Impact Assessments are embedded across the Council at the implementation stage of any projects involving the processing of personal data.</p>	<p>There is a new framework for the delivery of projects and programmes and also contracts and contract management. Council PIA's to be implemented as part of the process. Because it is a scalable methodology it should be applied to all changes.</p> <p>The council's Corporate Procurement Team is responsible for managing Programme and Project Management across the organisation. A review of the council's current Programme and Project Management Methodology is currently being undertaken. As part of this review the Corporate Information Governance Team are engaged in work to improve Information Governance requirements as part of a checklist, including a Privacy Impact Assessment, into a revised Programme and Project Management Methodology.</p>	<p>Partially Complete</p>

<p>B15. Ensure on-going IG work continues to address actions identified in the 2011/12 Internal Audit follow-up review of the effectiveness of the IG team.</p>	<p>A review has been undertaken of the 2011/12 Internal Audit actions, and those recommendations not completed have been accommodated into the Corporate IG Team Work Programme for 2014/15 – February 2014.</p>	<p>Completed</p>
<p>B26. Continue the review of all Council contracts to ensure that data protection requirements are appropriately specified within them.</p>	<p>Work is progressing with the Public, Private Partnership and Procurement Unit to embed information governance checks and balances into the Corporate Contract Framework.</p> <p>Training is being developed and rolled out to all staff involved in contract activity.</p>	<p>Partially Completed.</p>
<p>B32. Review password access to all databases to ensure they comply with enforced change and complexity rules as required by the password management policy.</p>	<p>The Council has completed work to locate databases, to confirm the access route(s) to them and to rectify any issues. All issues identified but some still needing action.</p>	<p>Complete</p>
<p>B34. There is a risk that staff who have moved departments within the Council are not promptly removed from access to databases containing personal data which they no longer require. Ensure HR provide systems administrators with a list of staff who have moved departments to cross reference against staff access rights.</p>	<p>The council's HR function has information on staff who move internally. The focus of attention for now is about establishing and embedding a leavers and mover procedure for staff who have been employed on a permanent contract.</p> <p>Leavers The current leavers/exit form is to be modified to ensure managers have a checklist for withdrawing access to all council data systems as well as obtaining a return of all physical/hardware equipment. The form will be implemented as part of the council's ICT on-line facility for managers to access. The council's BSC service will undertake a communications initiative to ensure all managers are aware of their responsibilities for leavers and the revised form/procedure. The council will introduce random checks to monitor compliance with this initiative.</p>	<p>Partially Complete</p>

	<p>Movers</p> <p>A movers checklist is being designed to cover those managers conducting an exit interview and a manager receiving a mover into their service. This will provide the necessary checks and balance between the system information no longer required by the member of staff moving and the access to information still required in their new role. The form will be implemented as part of the council's ICT on-line facility for all managers to access. The council's BSC service will undertake a corporate communications initiative to ensure all managers are aware of their responsibilities for staff movers and the new form/process. The council will introduce random checks to monitor compliance with this initiative.</p> <p>The council will monitor manager's compliance to the additional requirements being placed into the Leaver's & Mover's process and intend to fully embed this by early 2015.</p> <p>BSC have 3 forms which are used regarding staff movements, these are to be updated to include access arrangements.</p>	
<p>B44. Review the risks of laptop users being able to save data to their local C drive. This unstructured data is not automatically backed up and therefore may not conform to Council retention policies and is not searchable for information requests.</p>	<p>A solution which allows all users to solve this problem has been identified although a date for implementation has not yet been agreed</p>	<p>Partially Complete</p>
<p>B48. Ensure staff storing personal data at home are provided with a secure lockable cabinet as detailed in the Remote Working Policy.</p>	<p>The council's current permanent home workers are restricted to Revenues and Benefits staff who do not use paper, only digital information. Therefore there is no requirement to provide these home workers with secure lockable cabinets, and these staff use only council encrypted devices. There are no plans to expand the number of home based workers but should</p>	<p>Complete</p>

	this arise the security measures will be provided.	
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