

**Report of: Chief Officer (Intelligence & Improvement)**

**Report to: Member Management Committee**

**Date: 19th June 2012**

**Subject: Information Governance Training**

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 type="checkbox"/> Yes	<input checked="" 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. To provide Members with an overview of the ongoing training being provided to council staff on information governance.
2. To ascertain the view of Member Management Committee about the proposals outlined in this report to train Members of the Council on information governance.

### **Recommendations**

3. Member Management Committee is asked to note the contents of this report and comment on the proposals to train Members on information governance.

## **1 Purpose of this report**

- 1.1 The purpose of this report is to provide Members with background information about the training of information governance policies to all council staff and to obtain their views about the best method for providing development for Members on the same policies.

## **2 Background information**

- 2.1.1 Information is one of the Council's most important assets, alongside its people, property, capital and technology. The scope of Information Governance, taken at its widest, includes the management of information in all locations and all media. Information Governance is about records management, about compliance and also about efficient ways of handling of information.
- 2.1 The management of information security and confidentiality is essential, particularly in those areas processing personal data and sensitive business information. To this extent it is important that everyone who handles council information understands information governance policies, procedures and practice.
- 2.2 All council staff have recently undertaken an information governance training programme to ensure that they are aware of key information contained in the council's information governance policies. This forms part of a wider ongoing information governance training programme for staff across the council.

## **3 Main issues**

- 3.1 Good information governance practice in local government is not as mature in comparison to other sectors and organisations. An example being in financial and legal services where data protection and information security, in most cases, are part of the organisation's culture. In these organisations induction and training programmes, management instruction, procedures, protocols and audits all play a part in ensuring the organisation meets its information governance obligations.
- 3.2 In April 2010 the Information Commissioner was granted powers to fine organisations up to a maximum of £500,000 for a serious contravention of the Data Protection Act Principles. The council has developed a range of information assurance policies, practice and standards aimed at reducing the risk and helping to mitigate against potential information security incidents.
- 3.3 A training programme has been established to ensure all staff undertake training on information governance policies. The training programme is a risk-based approach to learning and is delivering training on information governance in three phases.
- 3.4 There are three levels of training in the training programme:
- Level One – E-Learning training for IT-Users and training brochure/leaflet for non-IT users;
  - Level Two – Classroom based training and face-to face briefings to service areas identified as being a medium risk in managing information;
  - Level Three – Targeted training for high risk service areas based on a gap analysis undertaken through information compliance audits.

3.5 By 31<sup>st</sup> January most staff in the council had received level one basic training irrespective of need. This training was mandatory and was designed to provide maximum coverage and compliance across the organisation. The training delivered covered key information contained in the council's information governance policies, such as:

- Maintaining a clear desk wherever you work;
- Protecting customers and citizens personal information
- Using good records management practice on documents and emails;
- Only using council provided encrypted memory sticks.

Training was delivered to staff using the following methods:

- E-learning programme lasting no more than 45 minutes to all computer users;
- An A4 brochure for non computer users who handle sensitive information;
- An A5 leaflet for non computer users who do not handle sensitive information.

A copy of the brochure and leaflet are attached to this report.

3.6 Work is ongoing to develop a training programme to deliver levels two and three training to those areas in the council who handle information assessed at high and medium risk.

3.7 Consideration needs to be given as to whether Members receive training on information governance, so that like staff, they are aware of and understand the council's information governance policies, and the legal obligations placed on the council in respect of information management. It is important that a Member does not unwittingly or inadvertently cause an information security breach, or other breach of the data protection principles that could result in either the council, or the Member receiving a monetary penalty notice from the Information Commissioner and/or receiving negative publicity from the media.

3.8 Accordingly, Members are asked for their views on the proposals outlined below for training both, new and existing Members about key aspects of the council's information governance policies:

- The online e-learning system used for officers is set up for use by those Members wishing to use it;
- Information Governance brochure/leaflet is distributed to Members;
- Members are invited to attend an Information Governance workshop facilitated by the Members Development Officer (Appendix A provides information about expected outcomes of the workshop);
- Information Governance literature is produced as inserts to Members diaries;
- New Members learn about Information Governance through the induction process; and,
- Members are invited to one-to-one briefing sessions.

## **4 Corporate Considerations**

### **4.1 Consultation and Engagement**

4.1.2 This report begins the process of engaging with Members about the most appropriate way of providing training and development to Members about information governance policies. Consultation has taken place with the Chief Officer (Democratic & Central Services), the Member Development Officer, Legal Services and the Information Governance Project Team.

4.1.3 Members on the ICT Working Group have discussed information governance training and are aware of these proposals.

### **4.2 Equality and Diversity / Cohesion and Integration**

4.2.1 All policies have been developed as part of the Information Governance Project which has developed a training programme for all staff and partners with respect to information governance. Equality, diversity, cohesion and integration are all being considered as part of this programme of work. This refers to the way in which the training is being delivered as well as how the policies will impact on staff and partners.

### **4.3 Council policies and City Priorities**

4.3.1 The recommendations put forward in this report relate to ensuring that everyone within the council who handles council information understands that this is done under the guidance of the information governance policies.

4.3.2 The information governance policies relate to the aims, priorities and performance measures of the Council Business Plan and City Priority Plans.

### **4.4 Resources and value for money**

4.4.1 Capacity within Directorates to monitor compliance to the information governance policies and training is required, and resources for this are deployed from existing FTE's within Directorates, and this capacity is continually monitored by the Intelligence and Improvement Team

### **4.5 Legal Implications, Access to Information and Call In**

4.5.1 Whilst there is no legal requirement to ensure Members understand and comply with the council's information governance policies, there maybe implications to the council if they inadvertently cause an information security breach to the Data Protection Act, and it follows therefore, that Members should obtain the same training, guidance and advice in this respect as officers.

4.5.2 There are no restrictions on access to information contained in this report.

### **4.6 Risk Management**

4.6.1 The proposed training for Members is about, not only making them aware of key aspects of council information governance policies, but helping to reduce the risk of them inadvertently contributing to a potential information security incident.

## **5 Conclusions**

- 5.1 This report provides Member Management Committee with an outline of the information governance training already provided to staff, and proposed training to those services handling information considered to be a medium or high risk. It seeks Committee Members views about proposals to provide similar training to Members.

## **6 Recommendations**

- 6.1 Member Management Committee is asked to note the contents of this report and comment on the proposals outlined in paragraph 3.8.

## **7 Background documents<sup>1</sup>**

- 7.1 Draft Learning and Training Strategy – Information Governance
- 7.2 I&DeA Knowledge – Data Protection: A Councillor’s Guide

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<sup>1</sup> 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

## **Effective Information Governance**

### **A workshop for elected Members**

This workshop helps Members to learn more about the council's Information Governance policies and subject matter.

By the end of this session, Members will be able to:

- explain the Information Governance Policies that Leeds City Council currently operate and any policies that are currently being developed.
- describe the rationale behind the policies and their importance, and why we need them as a Council.
- access the policies as appropriate on the Council Intranet .
- store, transport and transfer records and other personal or other business sensitive information securely and effectively.
- use Information and Communication Technology securely for handling personal and other business sensitive data.
- obtain personal data effectively and lawfully
- ensure records containing personal data and other information are accurate, relevant, not excessive and up-to-date
- use personal data securely, ethically and effectively.
- describe the conditions under which personal data can, should and must be shared.
- explain the ICO (Information Commissioners Office) role, its powers in dealing with breaches of data and the consequences of a Local Authority being found guilty of a breach.