

Classification: Public

Key Decision: No

Gravesham Borough Council

Report to: Performance & Administration Cabinet Committee

Date: 4 June 2024

Reporting officer: Sarah Parfitt, Director (Corporate Services)

Subject: Information Governance Annual Report: 2023-2024

Purpose and summary of report:

This report is intended to provide Members of the Performance & Administration Committee, (whose terms of reference includes information governance) with an overview of the current arrangements within the council to strategically manage information, including compliance with key standards.

Recommendations:

1. This is an information only report.

Key Implications:	
Item	Implications
Legal	The Information Governance activity of the council is directed by a number of pieces of legislation. This report is intended to provide Members with information on compliance with key legislation and broader information governance compliance.
Finance and Value for Money	There are no financial or value for money implications arising from this report.
Corporate Plan	One Council: a well-run and innovative authority, defined by its skilled and valued workforce, committed to developing its local social impact. Corporate compliance: a responsible organisation, ensuring all constitutional, policy and legislative demands are met, and pro-active risk management practices adopted.
Climate Change	There are no direct climate change impacts from the information governance activity carried out by the council, however the way the council holds and stores data can contribute to the pledge of the council to work towards being carbon neutral by 2030.

1. Introduction

- 1.1 The term Information Governance relates to the framework to support legal compliance, transparency and risk management in managing information managed and handled by the council in whatever medium it is held, balancing these requirements against the objectives of the council to deliver effective services.
- 1.2 The Senior Information Risk Owner (SIRO) has overall responsibility for managing information risk in the council and chairs the Information Governance Strategy Group. The SIRO is the Director (Corporate Services) who has responsibility to:
- foster a culture for protecting and using information within the council
 - ensure arrangements are in place to deliver information governance compliance with legislation and council policies
 - provide a focal point for managing information risks and incidents
 - prepare an annual information risk assessment for the council.
- 1.3 The Assistant Director (Organisational Development & Democratic Support) is designated as the Deputy Senior Information Risk Officer.
- 1.4 By working alongside Cabinet, Management Team, the Data Protection Officer, the Information Governance Team, IT and other key stakeholders, the SIRO aims to create a culture in which information is valued as an asset and information risk is managed in a realistic and effective manner.

Diagram of SIRO relationships with officers across the Council



- 1.5 It is vital that the SIRO engages with the above stakeholders across the Council, to ensure a “golden thread” of good information governance combined with the corporate oversight.

2. Information Governance Management Framework

- 2.1 Gravesham Borough Council’s Code of Corporate Governance states:

“Governance is about how authorities ensure they are providing the right services to the right people in a timely, open, honest and accountable manner.”

- 2.2 It is essential that the council has a robust information governance management framework, to ensure that information is effectively managed with accountability structures, governance processes, documented policies and procedures, staff training and adequate resources.
- 2.3 Since 2016 the council has operated a shared service arrangement, hosted by Medway Council, to provide resource to support its Information Governance arrangements.
- 2.4 To ensure the council meets the requirements of the code, the Information Governance Manager has developed the council’s Information Governance Management Framework. This is available to all officers and members via the intranet.

This framework and the supporting standards will be monitored and reviewed bi-annually in line with legislation and codes of best practice. The Information Governance Management Framework remains fit for purpose and will be subject to further review during 2024-25.

3. Policy Review

- 3.1 The Information Governance Team has developed a suite of policies intended to provide the principles by which its information governance arrangements will be directed. These policies are reviewed on at least a bi-annual basis for consideration and approval by the Information Governance Strategy Group and Management Team. Where there is release of new national guidance or legislation, policies are created/amended to reflect this. The current timetable for policy review is as follows:

Policy Title	Review Date
Data Protection Policy	January 2025
Subject Access Request	March 2025
Data Breach Policy	May 2025
Information Sharing Policy	Reviewed at the IGSG meeting in May 2024, the next review will take place in April 2027
Records Management Policy	November 2026
Anonymisation and Pseudonymisation Policy	Pending review – will be reviewed at the IGSG meeting in Aug 2024

4. Freedom of Information and Environmental Information Requests

- 4.1 The Freedom of Information (FOI) Act 2000 provides the ability for members of the public to request information from public authorities. The Environmental Information (EIR) Act 2004 provides the ability for members of the public to request environmental information from public authorities.
- 4.2 The next table below shows the number of FOI and EIR requests responded by the council during 2023-2024.

Period	FOI & EIR requests received. 2023-24	FOI & EIR Requests responded within statutory deadline. 2023-24	%age of requests responded within statutory deadline
Q1	165	149	90.3%
Q2	175	165	94.3%
Q3	187	170	90.9%
Q4	150	129	86.0%
	677	613	90.5%

- 4.3 The number of requests increased by 26% in 2023-24, up from the 537 requests received in 2022-23.
- 4.4 The expected rate set by the ICO for response (within 20 working days) to FOI & EIR is above 90%. The annual outturn (average) for the council at 90.5% met the target set by the ICO.
- 4.5 The council does not always hold the information to some of these requests and is therefore unable to respond. The requestors are informed of such requests and are given guidance to contact other local authorities, majority of which are directed to Kent County Council.
- 4.6 Under the Shared Service Agreement, all information requests are received by Medway Council. The request is logged in the central management system and then circulated to the appropriate service area for action. In February 2024, Gravesham saw a reduction in information requests received and after investigation, it was discovered that Medway mail servers were blocking emails sent only from Gravesham’s FOI mailbox. This resulted in a delay in requests being received by the IG team and service areas. The issue was quickly rectified by Medway’s IT team, and mitigation steps are now in place to prevent any reoccurrence.
- 4.7 The Freedom of Information Code of Practice, which provides guidance to local authorities on meeting their responsibilities under the Freedom of Information Act 2000, indicates that authorities should publish details of performance on handling requests for information. Whilst this information has previously been published in Annual Reports such as this, from April 2024 the council will also be publishing its FOI/EIR performance on the council’s website.

5. Subject Access Requests

- 5.1 Under Data Protection legislation, an individual can make a Subject Access Request (SAR) to obtain a copy of their personal data being processed by an

organisation. The table below shows the number of SARs received by the council during 2023-24.

Period	Subject Access Requests (SARs) received. 2023-24	%age of requests responded within statutory deadline
Q1	5	100%
Q2	1	100%
Q3	4	50%
Q4	6	75%
	16	81.2%

- 5.2 There were 17 requests received out of these 76% were responded within statutory deadline in 2022-23.
- 5.3 The UK GDPR sets an expectation to respond to Subject Access Requests within 30 calendar days (or 1 calendar month). An extension of further 60 days can be requested if the request is of complex nature.
- 5.4 Training to support officers involved in handling SARs was also delivered in January 2024 and was attended by 11 officers.
- 5.5 The Information Governance team and the DPO continues to provide support and guidance to the council ensuring SARs are handled and responded as per the guidelines set in the UK GDPR.

6. Data Incidents

- 6.1 A data incident is defined as any event that results, or may result, in the potential for unauthorised access to, loss or destruction of personal data.
- 6.2 During 2023-24, the council recorded 21 data incidents; this compares to 15 data incidents in 2022-23.
- 6.3 One incident met the threshold for reporting to the ICO. The Information Commissioner Office (ICO) considered this incident with the breach investigating officer concluding that there were appropriate measures in place to ensure the impact (if any) on data subjects' rights and freedom were reduced. There was no further action required on the part of the council.
- 6.4 The Information Governance Team has developed a Case Management register to facilitate identification of risks and trends to inform any mitigation measures required. All data incidents must be recorded on Case Management regardless of whether these are reported to the ICO or not. This is a mandatory requirement stated under Article 33 of the UK GDPR law.
- 6.5 Data incidents are reviewed by Data Protection Officer and Senior Information Risk Owner and if necessary, appropriate training advice or reminders are issued to staff to remind them of their responsibilities regarding the protection of personal data. Trends in data incidents are also monitored by the Information Governance Strategy Group each quarter so that these can be understood, and action taken at a corporate level if this is required.

7. Publication Scheme

- 7.1 The Freedom of Information Act 2000 requires that every public authority has a Publication Scheme, which provides a reference point for members of the public to understand the information the council holds and the categories of information it will publish and make available. The ICO has created a model publication scheme that all public authorities must use.
- 7.2 The council's Publication Scheme was reviewed during 2021, with the revised Publication Scheme placed on the council website.
- 7.3 The publication scheme will be reviewed again during 2024-25.

8. Surveillance Camera Local Authority Code of Practice

- 8.1 The council is responsible for ensuring that each surveillance camera system that it operates has a clearly defined purpose; considers the effect that their use has on individuals and their privacy; and, that they are operated in a manner which meets the council's statutory responsibilities and complies with the Surveillance Camera Commissioner's Code of Practice.
- 8.2 The Council's adopted its Surveillance Camera Local Authority Code of Practice in March 2022.
- 8.3 The Data Protection and Digital Information Bill, if enacted as currently drafted, will remove the provision for regulation of CCTV and abolish the role of the Biometrics and Surveillance Camera Commissioner. Current expectations are that the Bill will receive Royal Assent and be enacted in late 2024. The council will continue to monitor the progress of the Bill and respond accordingly.

9. Regulation of Investigatory Powers Act (RIPA)

- 9.1 During 2023 the council reviewed and updated its RIPA Policy and Procedural documents around the use of covert surveillance, Covert Human Intelligence Sources (CHIS) and access to communications data.
- 9.2 In November 2023 the council were notified of the intention of the Investigatory Powers Commissioner's Office (IPCO) to conduct an inspection of the council's compliance with the Regulation of Investigatory Powers Act 2000 (RIPA). This inspection took place at the start of 2024, with the Inspector concluding that his findings and the assurances obtained from the council sufficiently confirmed that ongoing compliance with RIPA 2000 and the Investigatory Powers Act 2016 will be maintained.

10. Training

- 10.1 Training forms a key part of maintaining the council's Information Governance arrangements.
- 10.2 During 2023-24 the Subject Access Request training was delivered to officers involved in responding to such requests, alongside cyber security and Data

Protection Training for officers via Matabo, a National Cyber Security Centre Assured training platform.

- 10.3 An informal training/awareness session was held by Information Governance Manager where a data breach was reported and upon investigation, it was identified that the team requires further awareness in handling personal data.
- 10.4 As part of member induction programme, the data protection training was provided to elected members on 1st June 2023. The detailed training covered various information laws including UK GDPR, Data Protection Act 2018, FOI and EIR that apply to elected members as a ward councillor and as a member of the council.

11. Looking Forward

- 11.1 The Data Protection and Digital Information Bill is a significant piece of legislation in the UK that aims to regulate the processing of information relating to identified or identifiable living individuals. The Bill would:
 - establish a framework for the provision of digital verification services to enable digital identities to be used with the same confidence as paper documents.
 - increase fines for nuisance calls and texts under the Privacy and Electronic Communications Regulations (PECR).
 - update the PECR to cut down on 'user consent' pop-ups and banners.
 - allow for the sharing of customer data, through smart data schemes, to provide services such as personalised market comparisons and account management.
 - reform the way births and deaths are registered in England and Wales, enabling the move from a paper-based system to registration in an electronic register.
 - facilitate the flow and use of personal data for law enforcement and national security purposes.
 - create a clearer legal basis for political parties and elected representatives to process personal data for the purposes of democratic engagement.
 - Oversight of biometric data
 - And the establishment of Information Commission.
- 11.2 The Bill is currently at the 'Report Stage' in the House of Lords and is expected to receive Royal Assent and be enacted in late 2024. The council will continue to monitor the progress of the Bill and respond accordingly.
- 11.3 The council will continue to undertake activity to maintain, develop and enhance its information governance arrangements.
- 11.4 The following sets out the main priorities for the Information Governance Team over the next year:

GDPR	• Ongoing GDPR Compliance work
Policy	• Reviewing Information Governance Policies and consideration of new policies were required.
Breach Management	• Ongoing monitoring of data incidents to establish trends and any remedial action required.
Surveillance	• Maintain a watching brief on developments in this field stemming from the Data Protection and Digital Information Bill
Training	• Maintain knowledge base of IG Team, alongside targeted training on information governance matters where the need arises.
Risk Management	• Work with Information Asset Owners to embed information risk management to assist understanding of responsibilities.

12. Summary

- 12.1 Good Information Governance enables officers and Members to perform their roles in a supportive way whilst ensuring they remain compliant, provide the necessary safeguards to protect personal information, are proactive in storing, managing and eventually destroying information in line with the retention schedule and do all of these in a secure way.
- 12.2 The public need to trust that the council are taking its role as guardian of their information seriously and the council can provide that reassurance by having robust and resilient systems and processes in place. The SIRO and the Information Governance team will continue to support, advise, challenge and question the working practices of services. The benefits of doing this will lead to staff being more confident and empowered in managing information and contribute to the successful delivery of business goals through teams having the right information to focus on the most effective solution to service provision.
- 12.3 The 2023 National Risk Register has included cyber threats as one of nine themes which would have a substantial impact on the UK's safety, security and/or critical systems at a national level. The councils Corporate Risk Register recognises this, and prioritises mitigations,
- 12.4 A proactive and multi layered approach is taken to address cyber security threats which includes regular staff awareness and training, technical controls (such as firewalls and anti-virus software) and data backup and recovery arrangements.
- 12.5 The proactive areas also include continual risk assessment, regular threat scanning, and continuous improvement (including services made available by the National Cyber Security Centre Active Cyber Defence programme).
- 12.6 The ability to deliver services depends on the ability to have safe systems and reliable information.
- 12.7 The IT and Digital Strategy 2022-2026 has highlighted the continual improvement of Cyber Security as a key objective.

Lead Officer: Sarah Parfitt, Senior Information Risk Owner and Director (Corporate Services)

Email: sarah.parfitt@gravesham.gov.uk

Secondary Implications	
Risk Assessment	Ongoing review, maintenance and development of the council's information governance framework arrangements contributes to ensuring the robustness of the overall governance arrangements of the council.
Data Protection Impact Assessment	<p><i>A data protection impact assessment (DPIA) should be carried out at the start of any major project involving the use of personal data or if you are making a significant change to an existing process.</i></p> <p>a. Does the project/change being recommended through this paper involve the processing of personal data or special category data or criminal offence data? A definition of each type of data can be found on the Information Commissioner's Office website via the above links. N/A</p> <p>b. If yes to question a, have you completed and attached a DPIA including Data Protection Officer advice? N/A</p> <p>c. If no to question b, please seek advice from your nominated DPIA assessor or the Information Governance Team at gdpr@medway.gov.uk. N/A</p>
Equality Impact Assessment	<p>a. Does the decision being made or recommended through this paper have potential to cause adverse impact or discriminate against different groups in the community? If yes, please explain answer. N/A</p> <p>b. Does the decision being made or recommended through this paper make a positive contribution to promoting equality? If yes, please explain answer. N/A</p> <p><i>In submitting this report, the Chief Officer doing so is confirming that they have given due regard to the equality impacts of the decision being considered, as noted in the table above</i></p>
Crime and Disorder	No direct implications.
Digital and website implications	The council is required to publish certain types of information and maintain a Publication Scheme to enable members of the public to understand the information the council holds and the categories of information it will publish. The council website is used for these purposes.
Safeguarding children and vulnerable adults	Strong information governance can contribute to safeguarding activity.