



Report of NE region's Local Government and Fire and Rescue Services' progress towards good practice in Information Governance (NE Survey of Information Governance)

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1 Executive Summary

1.1 Introduction

- 1.1.1 Local authorities (LAs) have been designated 'place-shapers' and strategic leaders of an increasingly complex policy landscape. A core element in the delivery of this agenda is the appropriate and innovative use of **information** at both strategic and operational levels within and between organisations (such as Fire and Rescue Services – FRS).
- 1.1.2 Information governance and management are increasingly becoming part of the business requirements of all public sector organisations. There is increasing scrutiny by the government, the public, the media and independent agencies including the Cabinet Office, ICO (Information Commissioners Office), the Audit Commission, the NHS Information Centre, Socitm and various lobby/protest groups of the use of data and information in a variety of general and specific contexts.
- 1.1.3 Those organisations in the NE that have created a business case for information governance have begun to realise considerable benefits. They are both more aware of risk and more able to manage risk effectively; they have a better understanding of, and better implementation of policies and procedures such as information security. Those organisations that have created business cases have a much better idea of the amount and type of resources that are needed for effective information governance. The availability of reliable and valid information, through developing excellence in information governance, means that organisational decision-making processes about policy, performance and resource allocation can be more visible, effective and efficient.

1.2 Context and Previous work

- 1.2.1 In considering Information Governance as concept, organisations and partnerships are faced with the challenge of measuring the forms it takes and its' effects in order to make judgements service planning and performance. The NE-IEP have identified the improvement and development of Information Governance policy and practice as a key underpinning component in the efficient delivery of services and customer insight within the NE. Knowledge about the current policies and practices of local authorities (LA) and Fire and Rescue services (FRS) organisations within the NE is key to the effective delivery of this agenda.
- 1.2.2 Members of our survey team were involved in previous work on the development of the Information Governance Toolkit for Local Government (2003-2006) and work which benchmarked the situation in the NE local government during 2007/8.
- 1.2.3 The previous work identified the following issues. There were a core group of about 20% of Local Authorities (LAs) who had a good understanding of the issues and challenges of Information Governance. Within these LAs there was a critical mass of people (both at an informal and formal level) who worked together and had senior management support. Within the remaining 80% of the councils the work identified a good understanding of the issues but considerable diversity between the LAs operations with pockets of good practice, but with no corporate and shared approach to dealing with the issues and uncertainty about how to deal with these shortcomings.
- 1.2.4 Feedback from the interviews and workshops in the previous study in 2007/8 indicated general support for a regional approach to information management and governance and the development of generic standards. Overall there was evidence that all of the organisations that took part in the benchmarking had experienced data loss through specific instances of poor information governance. Most encouraging was an understanding on the part of

everyone, including the higher performing local authorities, that there was still a lot of work to do to get this right¹.

- 1.2.5 This evidence base of the good practice in benchmarking, attitudes, strategy and structure across the North East region provided a useful platform for the current work to assist the NE-IEP to make new recommendations for capacity building for improvement and other activities going forward.

1.3 Overview of the report

- 1.3.1 This report describes the results of a survey of information governance and management across the north east region of England. All of the local authorities and fire and rescue services in the region took part in the survey.

- 1.3.2 The structure of the report is as follows:

- Contents
- Executive Summary (including recommendations)
- Overview of Findings
- Appendices A-J (including detailed findings from the methods employed in the survey)

¹ Budzak D Information Governance in the North East Benchmarking Report 2007/8, BeingDigital/KITE, Newcastle University 2009
<http://www.ncl.ac.uk/kite/research/project/2991>

1.4 Survey Aims

- 1.4.1 The survey was commissioned in Autumn 2009 by the North East Efficiency and Improvement Partnership (NE-IEP) to create a snapshot survey of information governance and management across the local authorities and fire and rescue services in the north east. The survey work comprised of three month project that aimed to:
- Relate local IG strategy and operations to the wider NE context
 - Measuring IG structures and processes to highlight and assess the levels and types of IG approaches within the case studies and identify priorities, gaps and opportunities
 - Identify examples of existing and potential good practice, including opportunities for building capacity within the region

1.5 Process

- 1.5.1 The methodology used to carry out the survey was designed to gather a balanced perspective from the views of key stakeholders and observations of the day to day delivery of information governance. The methods selected were face to face interviews, telephone interviews, questionnaires, workshop, mystery shopping, web site analysis and an evaluation of existing policies. All Local Authorities and FRS in the NE region were involved in the study and all responded to the majority of the survey methods.
- 1.5.2 The project team would like to acknowledge the co-operation and engagement of the local government and FRS officers who participated in the study.

1.6 Key findings

- 1.6.1 Significant progress has been made in organisational IG policy and practice within local authorities across the region since the previous survey in 2007/8. There are excellent examples of practices that could be shared between public sector organisations in the NE and beyond.
- 1.6.2 Our survey detected a difference in emphasis on the issues of Information Governance between LAs and FRS. This emphasis can be summarised in the focus of IG. In Local Authorities IG is located and operated as an overall generic corporate level issue whereas in FRS (partially due to scope and scale of the FRS organisations) it tended to be linked strongly to service specific issues and therefore there was evidence for a more focussed and integrated approach between strategic planning/performance and operational practices. There is evidence that there are similar differences in emphasis in other organisations e.g. police, health service and third sector agencies. These differences in emphasis may offer some explanation about the challenges organisations face when sharing data/information.
- 1.6.3 Our survey showed that Data/Information Sharing (and interpretations of Data Protection in this context) remains a key challenge for all survey respondents and their organisations. Our observations of information governance in practice and respondent's reports of organisational behaviour revealed an environment where people and organisations remain reluctant to share information. Improving the sharing of information is regarded as the rate limiting step for improvements in service co-ordination (including from 'Tell us Once' to social care services to policies to support agile and mobile working) and insight (including CAA and developments around 'Total Place') and should be the key focus for the next stages in developing IG policy and practice
- 1.6.4 The mystery shopper and web based aspects of the survey demonstrated room for significant improvements in the public-facing communication of IG policy and the delivery of appropriate practice through customer interactions.

- Seven drivers for improvements in IG are:
 1. Information Governance breaches are often a key event in raising IG up the political agenda and releasing resources particularly in Local Government.
 2. Responses to Freedom of Information (FOI) requests have been and remain a key driver for the development of information governance and management structures particularly in Local Government.
 3. Disaster planning, fire prevention and event reporting are particularly key issues for FRS organisations.
 4. Information security management was reported as being a key driver for a number of organisations.
 5. Improving records management was reported to have been less of a driver.
 6. Human Resource (HR) approaches (e.g. disciplinary action, employee induction, identified IG 'champions') were being used to improve compliance with Information Governance policy is an important tool for some organisations.
 7. Organisations are beginning to see the link between information as an asset (for generating insight) and a key issue in organisational credibility (the need to ensure that information is dealt with appropriately). This requires the ability to balance security with more active use of information to produce insights. This is a significant challenge in a context where public bodies are expected to (and the public assume that they will) make increasingly active and sophisticated use of information in providing services and the repercussions of data breaches being significantly increased (for instance in the recent powers granted to ICO).

- Seven challenges for improvements in IG are:
 1. Respondents (and by implication their organisations) were reluctant to be candid about the details and scale of Information Governance breaches in their organisations.
 2. Respondents identified the need for increasing understanding of the requirement to ensure data quality (both for individual organisations and also partnership working) – the main focus is currently performance information.
 3. Respondents were working in different organisational frameworks – some organisations have teams with clearly defined roles and responsibilities; in other organisations, the functions are distributed. Re-organisations have led to challenges in maintaining consistency in delivery of IG policies and practices which can lead to potential losses in resources, continuity and information.
 4. All of the organisations have had personnel issues with the misuse of information – in particular the internet and email. Respondents also anticipated that the issues they face with information governance and management are likely to become more complex with the increasing use of mobile devices and social networking. The challenge is to manage the risks posed by Web 2.0 technologies whilst at the same time balancing their use in innovative ways to support service and engage communities.
 5. All respondents were acutely aware they would be expected to deliver more with proportionately less resources. At the same time FOI requests are absorbing an increasing level of IG resources (on average 500-700 per annum in local authorities).
 6. Respondents saw the logic of seeking improvements in effectiveness and efficiencies through a shared services approach. There are already some shared services emerging; for example, Gateshead Council have produced an FOI tracking system that is being used by a number of other authorities in the region.
 7. Those involved in the survey, including interviewees and those who attended the workshop could clearly see many benefits of developing a community of practice of information governance across the region to share ideas, experience and knowledge (from sharing practical tips to developing innovative responses to new challenges or complex problems).

1.7 Recommendations

The following recommendations for activity are structured into four areas of co-ordinated activity cross-referenced with the drivers and challenges set out above. The four areas for development are:

- strategic;
- research and development;
- community of practice;
- operational.

Each piece of work is costed in outline and represents a part of a programme of co-ordinated activities which will support the development of NE-IEP goals in promoting:

1. an information governance aware region
2. better and informed and tracked CAA
3. better knowledge creation and retention
4. better regional intelligence sharing.

1.7.1 Strategic: Towards a Public Sector Information Governance guarantee

- Delivering 21st Century services and strategic planning require the best practice in information sharing and information governance.
- In order to deliver this there is a need raise the profile and awareness of information governance and make it centrally important to public service agendas to define a vision at a regional level as to where IGM will be in the next 18 months, the next three years and so on.
- A regional information governance and management guarantee (along the lines of the national NHS example) should be created that involves the whole of the public sector including the local authorities, fire and rescue services, the health service, police, regional agencies and so on.
- This should be inclusive and developed through consultation with the relevant organisations. The strategy will enable the whole region to move forward in co-ordinated way. There is a need for a strategy at a high level to support people on the ground charged with changing operational practice.
- People interviewed specifically suggested that the NE-IEP should provide support at a regional level as this has a positive impact on the organisations at a local level. They suggested that the NE-IEP/ANEC and other public sector agencies have a key role to play in raising the issues and awareness.

1.7.2 Research and Development: Data/Information Sharing

- Data and Information sharing is one of the key areas that further work should be targeted. R&D work should be conducted in a range of key partnership/information sharing areas which increasingly rely on information. These could include Crime Reduction Partnerships, Emergency/Disaster Response, Children's Services, Agile and Mobile working, Local Strategic Partnerships – Planning and Performance (e.g. responding to 'Total Place' and CAA).
- Priorities and focus of R&D project would be developed in tandem with the community of practice for IG and other appropriate representatives from the Partnership/Information sharing context (for example in the case of Crime Reduction – the regional group of Crime Reduction Partnership co-ordinators facilitated by GO-NE). This would provide input into the development of service specific responses or 'proofs of concept' (to inform IG policy and practice) and procurements to respond to information governance policy and practice to meet new demands for information such as child poverty and challenges to service such as personalisation.

1.7.3 Research and Development: Shared Services

- A shared services approach could be a key component of information management and governance could deliver significant cost and resource savings, particularly in the joint procurement of systems (such as EDRMS) that support information governance and management.
- Shared services could include the procurement of systems for the use of more than one organisation – for example, the procurement of electronic records and document management systems by more than one organisation.
- Shared services could include the sharing of resources; for example, the sharing of a data quality or records management function across organisations.

- While each of the organisations faces restraint of resources and time, there is probably scope at a regional level to build capacity and to share services. This should be considered for a further piece of work.

1.7.4 Community of Practice: Sharing and Developing Knowledge

- A key question that people asked was 'how do we move this forward?' This is a strategic question rather than an operational one. There is a need to be able to share best practice as to how particular organisations have raised the issues within the organisation and create senior management support, commitment and buy-in.
- The workshop conducted as part of this project and the 'Core Cities' event held in Newcastle on 11th November 09 and regional IG leads workshops as part of the project demonstrated the appetite for learning about Information Governance. Establishing a group to explore information governance challenges in specific service areas and participate as sites in R&D activity
- A number of organisations are in the process of creating new policies at the moment, or considering doing so. National/Regional workshops aimed at specific areas of IGM such as 'How to Create an Information Governance Policy', 'How to Create an Information Governance Strategy' should be developed in partnership with various educational institutions and CPD/conference organising bodies (e.g. Socitm). This would be a useful way of sharing knowledge between those that want to do this and those that have already done so and a way of sustaining the community in the future.

1.7.5 Community of Practice: Sharing Tools and Techniques

- There are a number of tools being used by organisations that could be collated and shared; for example, templates for information audits, tools to assess and control data quality. A single repository could be created at a regional level that enables access to all of those tools such as the Information Governance Toolkit. Additionally, a summary of what appears to work and not work has been produced (see Appendices E and F).

1.7.6 Operational: Training for Information Governance, supporting the use of IG Toolkit and Annual Audit activity

- Development of an intra-regional approach to training (in collaboration with a relevant CPD provider) would deliver economies of scale and require less overall planning for more impact
- Annual audit by an independent evaluator using the 'Mystery Shopper' and Website Analysis tools developed as a part of this project
- Each organisation in the region should be encouraged to benchmark themselves using the Local Authority Information Governance Toolkit. This enables organisations to measure where they are on the key parts of information governance. For instance Newcastle City Council have effectively used this to benchmark and measure over the past two years. They have found this very useful in understanding both their strengths and weaknesses. If the toolkit was used across the region, it would be possible to measure where all the organisations are, and what improvements are needed. This has the potential to make the region a national centre of good practice in information governance and management.

2 Overview of Findings

The key methods used to carry out the survey were mystery shopping, web site analysis, face to face interviews/telephone interviews (including an evaluation of existing policies), questionnaires and workshops. The findings from these parts of the survey are reported below and detailed in supporting appendices (A-J).

2.1 Mystery Shopping

- 2.1.1 The mystery shopping exercise consisted of a single email from a fictitious person outlining that an elderly relative had recently moved into the area and would like some help.
- 2.1.2 The responses were evaluated on the basis of the time taken to respond, the content of the response, the usability and readability and so on.
- 2.1.3 In particular there was evidence of deep-rooted challenges in the assumptions being made by those responding on behalf of the organisations. Almost all the organisations received the e-mail as a 'social services' enquiry. There was little in the way of a holistic response that outlined leisure and social activities, benefits, library services and so on. In one particular case, the response mentioned 'parents' although the original email did not. This could be interpreted as an inappropriate assumption and tone.
- 2.1.4 A more detailed report and analysis of the mystery shopping is outlined in Appendix A below.

2.2 Website Analysis

- 2.2.1 The web based aspects of the survey demonstrated room for significant improvements in the public-facing communication of IG policy and practice.
- 2.2.2 Both natural language and technical terminology searches showed inadequacies in website structure and in poor responses to organisational site level web search enquiries.
- 2.2.3 In particular there are deep rooted challenges in the presentation of information regarding issues of Information Governance either in the natural language (e.g. information held about me) or in technical descriptions (e.g. data retention, sharing).
- 2.2.4 A more detailed report and analysis of the website analysis is outlined in Appendix B below.

2.3 Questionnaires

- 2.3.1 Each of the organisations was also sent a questionnaire – five organisations responded to the questionnaire (asset of tables summarising responses is included in Appendix J – note a blank field indicates no response). The questionnaire was based on the IG Toolkit and structured with a mix of closed and open ended questions. The purpose of the questionnaire was to get more detailed information that might delay a face to face interview, or to ask information that an interviewee might not have to hand. The relatively low response rate can potentially be attributed to the time of year in which the survey was conducted, the fact that many of the respondents were also interviewees and the difficulty in collating the information required for some organisations.
- 2.3.2 It included questions about volumes, for example, the number of FOI requests. It also included a question about the costs of IGM which no-one was attempted to answer (perhaps because they were unable). The survey team were surprised that no-one really challenged us as to what the question was supposed to mean or how we expected it to be answered. In many ways however, it is a key question. If costs cannot be determined then it is difficult to assess how value for money, efficiencies and benefits can be measured. We would argue that unless that question is raised and answered, then IGM teams/activities will face the risk

of being curtailed in challenging economic times (a more detailed report can be found in Appendix C below).

2.4 Interviews

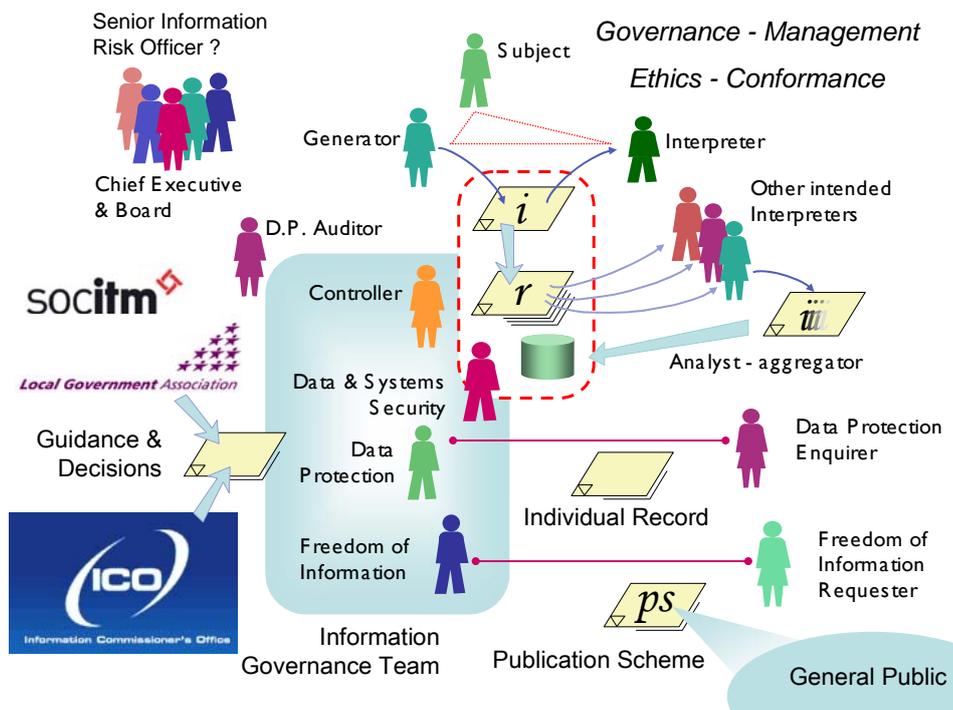
- 2.4.1 Interviews were carried out with all 15 LA and FRS organisations (the full list of roles of those who were interviewed is in Appendix J below). The vast majority were carried out face to face at the responding local authority or FRS sites. Respondents from local authorities were in roles as diverse as solicitors to directors of library services with a range of previous backgrounds and experience. The majority of respondents background in FRS organisations was fire-fighting.
- 2.4.2 The purpose of the interviews was to gather thoughts, opinions and comments about how IGM is working in the organisation. All of the interviews were with people with an understanding of this domain and with people who have a major responsibility for this as part of the job descriptions. We are aware that this means a particular view from the professionals was gathered, but for the purpose of the assessment, this was the requirement. It would be interesting to do further work with both front line services and customers to assess how those groups understand IGM.
- 2.4.3 The interviews were semi-structured and with open ended questions to enable comments made by the interviewees to be probed and explored in more depth.
- 2.4.4 In some cases individuals were interviewed by members of the survey team; in other organisations a number of people were interviewed as a group. Both approaches had their merits and benefits. Each of the completed interviews were returned to the participants to enable them to check for accuracy to provide a further opportunity to collect comments and feedback.
- 2.4.5 The summary issues that emerged from the interviews are outlined below (a more detailed summary can be found in Appendix D below):
- Definitions and Terminology of Information Governance and Management
 - There is not a shared definition of information governance and management across the region, or within individual organisations. Some respondents felt that this might be a reflection of the lack of shared definitions among the various professions such as records management and information security.
 - Policy Frameworks
 - There is variation between organisations as to what policies they have and how these are enforced and monitored. There are policies around information security, records management, data protection and so on. Few organisations have an overarching information governance and management policy. Some organisations have good policies in one particular area, but lack a whole set of policies. Others have used a particular policy such as information security or data quality to drive through a range of IGM related procedures and activities.
 - Compliance issues
 - Compliance was often framed as being about Freedom of Information and Data Protection. These are probably the two areas of legislation with the highest public profile.
 - FOI was described as 'the tip of the iceberg...but it represents the formal side of records management...and people's approach to information'. FOI was also described as being one of the factors in the way organisations have changed the practices around IGM in the past two years, 'I think there is certainly more emphasis on the scrutiny and public access to information and a greater public interest in the dealings of the public sector, over the past two years I've seen that'. Another person commented, 'Doing well compared to where we were five years ago. No-one

- understood records management or compliance. Staff now have a much better idea’.
- Freedom of information and data protection are sometimes seen as synonymous with information governance and they are given the priority in terms of what work needs to be done and resources allocated.
- Information Security Management
 - Information security generally has a high profile in the organisations and is well resourced. Most organisations have an information security officer, teams or well defined information security roles. However, because of the constant need for information security and the ever evolving threats and risks, those involved spoke of the need for constant vigilance and activity.
 - Data Quality
 - There is a lack of a shared definition of what data quality means, and who should own it. Data quality is often being defined in terms of the Comprehensive Area Assessment requirements of performance data. However, it is also defined as being the quality of data within systems, for example, the records of individuals, business transactions, contacts and so on. In these terms, some organisations are only applying a minimum amount of active data quality checking.
 - A number of people commented that data quality is lower down the agenda than FOI and data protection. However, there is some changes to the awareness and understanding of data quality issues. This is partly from the Audit Commission in terms of performance management data and their 'Right First Time' initiative. There is recognition at a national level that poor data quality will have an adverse impact on performance reporting.
 - Data quality is within the remit of policy and performance teams in a number of organisations. However, this is not without critics. In one organisation this has resulted in the data quality policy being created without consultation with the records management team and therefore those requirements were not captured.
 - Records Management
 - Records are being held in electronic and paper form with varying degrees of a management framework around them. Some organisations have reasonably well developed records management systems that include EDRMS, policies, retention schedules, training, designated roles, functions and responsibilities.
 - However, in some organisations records are not organised or managed on a corporate basis, *'I think more generally, quite dispersed in terms of where information is stored and how it is stored, we've got lots of different systems'*.
 - Training
 - All the organisations surveyed are delivering training around some aspects of IGM. The main training areas are FOI, data protection and information security. There is less training around data quality, records management and the wider compliance issues. In some cases training is concentrated on data protection and FOI, but with much less coverage, if any, of other parts of IGM.
 - Resources – Time, People and Materials
 - Resources, particularly people's time, and money to buy new or better systems, were mentioned by almost everyone as being an increasing problem. This is not going to become any easier in the foreseeable future because of the huge pressures on public finances, the increasing amounts of data that are being collected and stored, the development of multi-agency working, and the demands of FOI and data protection. A number of the organisations have recently experienced redundancies across a range of services so there has been a reduction in staff, but no reduction in workload. Shared Services and working more closely together and with partners was seen as a potential way forward.

- Organisational Culture
 - The culture of organisations, and the people inside the organisations has an impact on information governance and management. One person commented that the biggest change in the organisational attitude to information governance and management had been because there was a change of management at a senior level; the new person, *'has a different style and perspective on things'*. The impact on that person's job, someone with a major responsibility for IGM has been, *'now getting much more involved in corporate issues than before'*. IGM is now being taken more seriously in the organisation because a new senior manager is pushing this more.
 - In those organisations where the issues are taken seriously by the senior managers, the management and governance of information is much better.
 - The lack of buy-in is an expression of the culture of an organisation and probably cannot be simply dealt with just by raising awareness of some aspect of information governance and management.
 - People who had worked in more than one organisation in the region commented that the way things worked in practice was often very different, even though the underlying drivers and legislation was the same.

2.5 Workshops

- 2.5.1 Two workshops were held at Newcastle University Business School premises on 3rd November, 2009 and February, 2010. Both workshops involved over 12 local authority and FRS officers involved in information governance plus other interested parties from a number of different organisations including the NE-IEP.
- 2.5.2 The first part of the initial workshop asked people to define information governance and management. These definitions were written on post-it notes and then displayed on one wall of the room. There were a quite diverse set of responses emphasising a range of the issues within the information governance agenda. This exercise stimulated useful discussions about the very nature of IG as a subject and participants different ways of framing IG issues.
- 2.5.3 Based on the data collected from the project the second part of the initial workshop was an interactive session in which the participants were encouraged to co-produce an outline of what the landscape of information governance and management looks like, and what it could look like. A key issue that emerged from this session was the around information/data sharing.
- 2.5.4 The co-production process was facilitated using the following diagram which described the work of the survey and represented the network of interactions in this area.



- 2.5.5 The first workshop is described in more detail in Appendix H and feedback from participants in Appendix I below.
- 2.5.6 The second workshop was organised to discuss the key issues arising from the project and the way ahead including driving the efficiencies and effectiveness agenda forward in the key area of the appropriate use and care of information. All participants endorsed the findings of the report as accurate reflection of the current state of IG policy and practice in the NE. They recognised the need to do work across all parts of the network represented in the picture above and at the various levels identified in the recommendations above. A number proposed further efficiencies that they had identified in their organisations which could be used to take the agenda forward in the ways proposed described above in the recommendations section.

Appendix A: IG Mystery Shopping Report

A mystery shopping exercise was undertaken as part of the Institutional Audit component of the survey which aimed to assess how information management and governance work in practice. The exercise consisted of a basic e-mail request (please see box below) sent to each of the 16 evaluated organisations and measured the quality of responses received on the basis of a number of criteria grouped in terms of: whether an automated response was sent, the speed of receiving a full response, the coverage of replies, their usability, the level of co-ordination they implied, and archiving and disposal practices. These categories structure the following findings.

E-mail request

“Hi,

I've got an elderly relative moving into the area in the near future and I'm a bit worried about them living on their own.

Is there any advice you could give me?

Thank you

Vikki Crozier”

Overall, the quality of responses was evaluated as *average*. Most of the organisations provided a full e-mail reply within 1 or 2 working days with half of them providing both an automated and full reply. Only two organisations provided a delayed response of 2-3 days and another two organisations did not provide a reply at all. In general, the responses were short, concise and friendly, though there was variability in terms of how helpful and comprehensive they were. We found examples of both good and poor practice. Measured on a scale from 0-5 the average score of the quality of responses provided by all participating organisations is **2.5**.

Coverage of responses

Most of the responses referred only to service areas delivered by the replying organisation (without mentioning other potentially useful service providers), in particular that of the Adult Social Care team in the case of local authorities. On occasion, responses also provided web links to other general services. Mention of 'external' organisations was made on just two occasions: a referral to a local *Age Concern* organisation and a joint partnership project between a local authority and its local primary care trust. With regards to the FRS units, the responses tended to imply the query was the responsibility of the FRS Community Wellbeing/Safety service teams; there were no referrals to external organisations.

In most instances telephone numbers and e-mail addresses of the referred department or organisation were provided, though none of the responses contained a referral to a named person. However, almost all full responses came from an individual within the responsible department rather than a generic customer helpline e-mail, for example – this gave responses a personal touch.

The quality of responses and the amount of information provided varied across organisations. Overall, responses could not be considered comprehensive. Organisations that acknowledged the existence of a range of potentially useful services tended to request further personal information about the 'elderly relative' and details about their specific requirements before giving out more information. Just one response suggested a concerted effort to provide potentially helpful general information on available support for older people without requesting further personal information. Responses from the FRS units tended to provide more extensive information guiding the enquirer to the next steps that needed to be taken and providing additional information on possible ways to get informed about other available support.

Usability and coordination of responses

In general terms, responses were relatively clear and comprehensible. The formality and tone of responses varied, from messages written in a highly professional way, concise and personalized, to those that were informal and non-personalized with an overly casual tone. This is an example of one of the poorer responses; it is very informal, lacks personalization, fails to clarify what an 'assessment' might entail, and assumes the 'elderly relative' is the enquirer's 'parents':

E-mail extract:

“Morning

We can arrange for an assessment of your parents, or I could send you an information pack if you let me have your address.”

In this particular case, the response was generated by an outsourced service provider and no reference was made to the local authority on behalf of which they were acting. Whether the nature and quality of this response says anything about outsourced customer-facing service provision more broadly is not clear given the sample size.

Another response illustrated the inappropriate use of acronyms, thereby compromising the usability of the reply for the average enquirer:

E-mail extract:

“...If your relative is already involved with their local SSD area then a transfer could be arranged via them...”

Many organisations made assumptions about the access capabilities of the enquirer. In most cases only one or two access channels were provided as options for making further contact (usually telephone or e-mail, and sometimes only a web address). Only two responses provided a comprehensive range of contact options (e-mail, telephone, face-to-face, web address, post and fax).

The coordination of responses was relatively poor on the whole. Almost no responses gave details of other potentially relevant services offered by the organisation besides social services for the elderly. And there was little attempt to facilitate further contact beyond simply sign-posting associated services. Most replies did, however, contain links to the organisation’s website where all services and contact details could be found.

Archiving and disposal

The information on archiving and disposal practices concerning e-mails was minimal; none of the responses explained what would happen with the e-mail, for how long it would be stored and when it would be disposed of. The standardized e-mail clause which most of the responses contained referred to e-mail confidentiality, disclaimers and information security.

Appendix B: Natural language website search exercise

A preliminary survey of organisational websites was conducted to assess the level of transparency and general availability of published information relating to issues of potential concern to citizens such as types of personal information authorities hold about citizens, reasons for holding such information and whether or not this information is shared with third parties. The questions posed are given below.

Search strings

1. *What information do you hold about me?*
2. *Do you share information about me?*
3. *Why do you hold information about me?*

The survey was conducted as a 'Natural language search' exercise where quality of search results was assessed on the basis of the clarity and relevance of results.

The overall results from this survey were not very satisfactory as almost half of the searches returned no relevant results to any of the questions. The rest of the searches returned a range of hits but only two or three of those tended to be relevant to the questions, containing either general information concerning

information management practices across all of the organisation's services or information specific to certain service areas. Further, in several instances the same results were returned for each of the questions, directing the enquirer to links for general information concerning the FOI and Data Protection Act, information about the Publication schemes under the FOI Act, guidance and forms for making FOI and Subject Access requests and procedures for handling FOI requests.

A particularly impressive example of good practice (see below) was returned in the case of one local authority. The enquirer was offered a link to a list of Data Protection FAQs which included *What kind of information does the Council hold about its residents?* This provided useful general information across service areas.

Search string: *What information do you hold about me?*

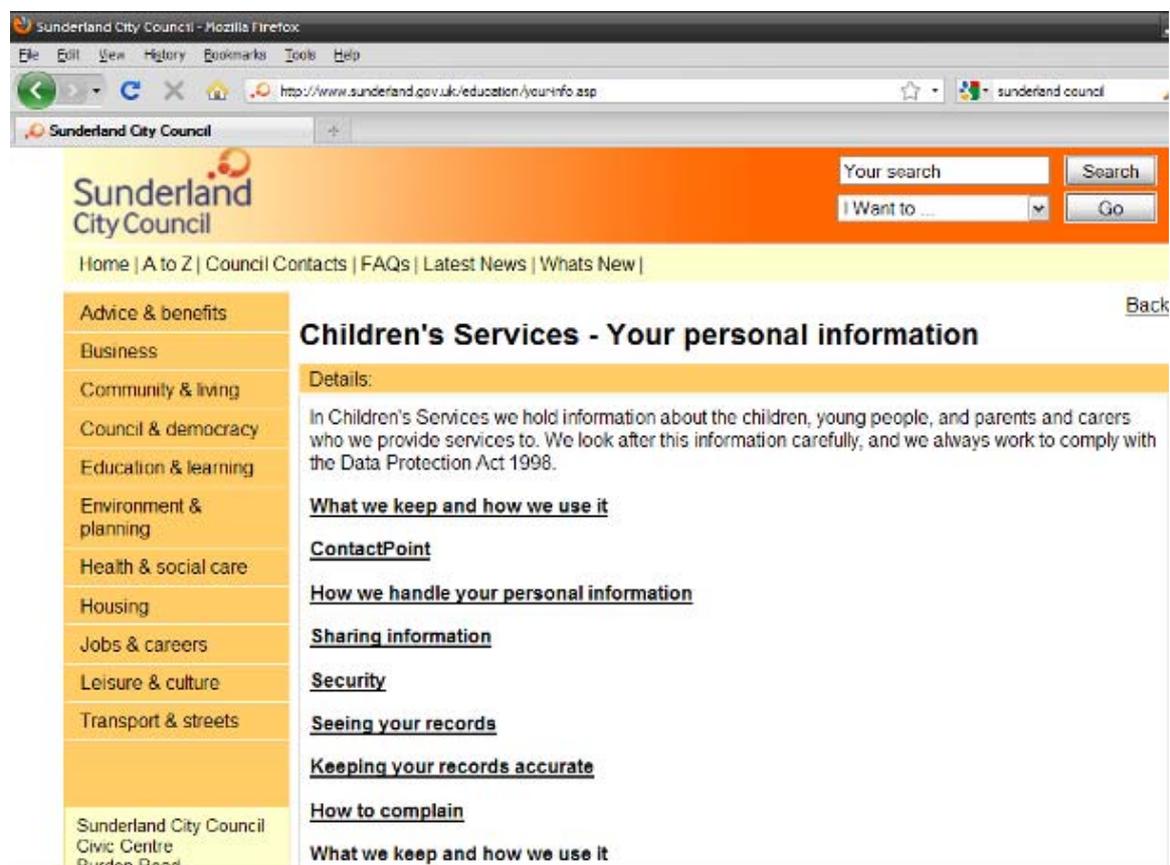
The screenshot shows a web browser window displaying the South Tyneside Council website. The page title is 'Data protection FAQs | South Tyneside'. The URL is 'http://www.southtyneside.info/council-and-democracy/data-protection-and-freedom-of-information/data-protection'. The page content includes a search bar, a navigation menu, and a list of links under the heading 'Data protection FAQs'. The link 'What kind of information does the Council hold about its residents?' is circled in red. Other links include 'What is the Data Protection Act 1998?', 'What is meant by 'personal data' in the data protection act?', 'What types of information are covered by the Data Protection Act?', 'How does the Data Protection Act work?', 'What is meant by 'processing' personal data?', 'What are my rights under the Data Protection Act?', and 'Does the Council need your consent to use information about you for any purpose?'. A sidebar on the right contains a 'In this section' list and a 'Contact us' link.

With regards to information sharing practices there were some useful links to 'Re-use of Public Sector Information' and advice on giving consent to share information with third parties. This search

also returned some less useful general information through links to random forms that incorporate standard declarations about sharing information. The most common reason given for sharing information was fraud prevention and enabling the authority to provide its services effectively and efficiently.

Less useful general information was returned as to why organisations hold information about citizens where few of the searches returned relevant results, provided as part of the general rules of the Data Protection Act or as part of a specific service area.

Besides generalised information, some searches returned more detailed information in specific service areas such as Children's Services, MARAC protocol on sharing information, ContactPoint practices of handling information, as well as information handling practices for providing Housing Services and Social Services for older people. A quite useful link (see below) to Children's Services was provided in one instance under the link – *How we handle your personal information?* – concerning the use of ContactPoint, types of information held, reasons for keeping information and sharing information about children, all performed in compliance with the Data Protection Act.



Appendix C: Information Governance and Management Questionnaire Analysis

Introduction

This document is an analysis of the responses to the questionnaire administered as part of the IG survey in the NE region. It outlines the key findings and common issues identified across participating respondents.

Invitations issued: 15

Responses received: 5 (4 LAs and 1 FRS)

Response rate: 33.33 %

Organisation of information governance and management

The level of organisational structure and the types of roles supporting IG vary across the organisations. However, the common roles most of them have are: Information Security manager (usually as part of ICT services), one central IG/FOI/Data protection officer and IG/Data protection/FOI lead officers in each department. Where dedicated IG team exists, it's usually a small one, consisting of 2-3 people (usually Information manager and Data protection manager). In addition some organisations have employed Records Manager and Performance systems manager or have a corporate IG work group which consists of representatives from all Directorates.

Overall, all organisations (except one) had Information Governance Training Programmes which include regular FOI (and in some organisations DPA) trainings to all employees and when required, specific training for Information Security Managers (CBT) and designated service-based lead officers.

Information Governance and Management policies

Generally, organisations have developed common IG policies such as:

- Information security policy;
- Data protection and data retention policy;
- Data quality policy; and

Records management policy.

Two authorities have developed additional IG policies beyond the ones above such as: Information Law Policy, Procedure for Reviewing and Appraising Records, Email Usage Policy, Internet Usage Policy, Mobile Computing Policy, Home working Policy, Transportation, Transfer & Sharing of Data Policy, CCTV Policy, Code of Connection for Remote Third Party Access, Confidentiality Agreement, Physical Entry Controls and Secure Areas Policy, Reporting Security Incidents Procedure, Telephone Usage Policy.

Local standards for Information Governance and Management

Overall, organisations' IG policies and guidelines provide also standards and best practices to be followed and complied with. Also, most organisations have developed Information sharing agreements with third party organisations. Only one organisation has provided a list of the local standards it is compliant with:

LGA Data Handling Guidelines

HMG IAMM for self-assessment purposes

Local Data Information Sharing Protocols and

Corporate Information Security Management Protocols

Compliance with IG international/national standards

This information is provided only by the local authorities. The level of standards compliance varies across LAs with each authority having adopted standards which the others haven't adopted yet. Three of them have gained Government Connect status, and two from those have also adopted ISO 27001. The additional standards the authorities adopted are:

- 1st - ISO 25999 Business Continuity Management
- 2nd - ISO 27002 and ISO 9001 Information Security Management
- 3rd – only ISO 15489 Records Management.

Three authorities are also preparing to adopt additional standards such as:

- 1st – ISO 14001 and ITIL IT Infrastructure Library
- 2nd – ISO15489 Records Management
- BS25999 Business Continuity Management
- ISO27005 Information Security Risk Management
- ISO38500 Corporate Governance of Information Technology
- BS10012 Data protection – specification for a personal information management system
- PCI/DSS
- 3rd – LGA Data Handling Guidelines

Number of FOI requests answered (2005 - 2008)

This kind of information is not available in one LA. In the rest, there is a slight increase in the number of FOI requests from 2005 to 2008.

	2005	2006	2007	2008
FRS	40	28	31	64
1 st LA	N/A	293	249	313
2 nd LA	N/A	N/A	N/A	N/A
3 rd LA	301	371	404	473
4 th LA	219	305	351	507

Number of subject access requests received (2005 – 2008)

	2005	2006	2007	2008
FRS	N/A	N/A	N/A	N/A
1 st LA	N/A	187		
2 nd LA	N/A	N/A	N/A	N/A
3 rd LA	27	19	22	27
4 th LA	21	30	34	51

Number of information security incidents

This kind of information was not available in one of the authorities. Two local authorities gave a number of reported incidents: a) 41 incidents since January 2008 and b) 5 non-IT related incidents. The other authority had recorded incidents from low level operational issues the number of which is not given. The FRS has no dedicated IG system and had no incidents reported via their ICT Helpdesk in the last year.

Use of classification schemes

Two local authorities don't use any classification scheme although one of them has considered implementing the Local Government Classification Scheme. The other two LAs use pilot customized versions of the LGCS. One of these LAs considers the LGCS and the function list they are using to be useful tools for consistent corporate organisation of information resources. The other LA doesn't

find the LGCS very useful, especially the terminology which is not seen as user friendly. Also this LA is facing difficulties in mapping the LGCS with the National Archives Retention Guidelines and is more inclined to use these Guidelines as they are seen as more logical and sensible grouping scheme than the LGCS.

The FRS uses a customized version of a generic FRS classification scheme based on LGCS and doesn't give any information about how valuable it is for the organisation.

Business cases supporting Information Governance and Management

Three authorities have provided an example of a business case that has been created to support IG&M:

One LA has trialed and will adopt, subject to funding, an Active Navigation tool to manage and restructure the Storage Area Network (SAN) and identify duplicated/disused records, with a view to implementing the LGCS.

Business case for endpoint and hard disk encryption solution;

Business case for implementation of data handling guidelines.

Shared services for Information Governance and Management

Only one organisation has provided an example where shared service covers aspects of IG&M. As a public-public partnership between two LAs it provides IG services to both organisations and considers joint procurement for records management systems and information security management systems as a priority. Another organisation has stated that there are no shared services on a formal basis implying that there is some informal provision of shared services.

Partnerships for Information Governance and Management

Overall, most organisations have established a number of partnerships with other organisations and the most common examples are those with health authorities/PCT. Beside this, some authorities have given examples of established partnerships with the police, FRS stations, Connexions, Safeguarding Children Boards and TWEPU (Tyne and Wear Emergency Planning Unit). Each of these has founding documentation which includes documents/protocols relating to information governance. There was one authority which doesn't hold information on information sharing protocols within the organisation and is currently undertaking an audit to assess this.

Technical environment for Information Governance and Management

Organisations do not have applications which are specifically dedicated to Information Governance and Management. However, they do have a number of tools they use to support the management of information in the organisation which are given in the table below:

	FRS	1st LA	2nd LA	3rd LA	4th LA
IT applications	<p>Microsoft AD, WSUS, Cisco ACS, LANdesk.</p> <p>Currently implementing two factor authentication using smartcard technologies.</p>	<p>Swift, Capita EMS, Oracle e-business, ADOS DMS, MS Exchange Email</p>	N/A	<p>Standards and procedures for Planning and Highways systems, SWIFT, CTax and Benefits info systems, Personnel, Payroll, Occ Health, E-mail systems, VOIP.</p> <p>Currently implementing EDRMs.</p>	<p>Datasmart logging and tracking system.</p> <p>RapidRedact for electronic redaction of documents.</p>

Number of contacts

No information has been provided with regards to the number of contacts the organisations receive. Mostly the reason is because this kind of information is not recorded internally. Only one authority has done some work to collate these kind of figures, but wasn't able to provide them at the time.

Annual costs for Information Governance and Management

Most organisations were not able to provide figures as to how much Information Governance practices cost them on an annual basis. Mostly the reason was because they didn't have defined budget for IG&M – it is absorbed within existing roles across the Council which makes it difficult to identify detailed costs for this purpose. Only one authority provided a figure for the annual budget it dedicates to its IG team - £90,000 per annum with potential reduction to £60,000 as one post will be lost due to corporate restructuring. Another authority dedicates £125,000 per annum to its Information Security Management Team.

Final comments

Some organisations expressed a belief that IG&M is increasingly recognised as a key corporate support function within authorities while others believe that there is not enough emphasis on IG and it is not given high enough priority. Other authorities are seeing benefit from a shared/regional training and awareness raising about the importance of IG&M.

Appendix D: Summary of Interview Responses

- The benefit of carrying out interviews on site is that it enables some of the context of IGM to be assessed. There is also some scope for observation – what does the office environment look like? Are there bits of paper scattered around reception areas, what sort of security does a visitor go through before being able to access a building.
- The setting up of the interviews was also of some interest in that there were considerable differences in how easy it was to find the right people to talk to and how much time was needed to organise the interviews. It's fair enough if organisations don't want to take part, but there were one or two organisations that required a great deal of effort to get information from. Care needs to be taken at what can be determined by this, but the question is raised about how easy it is for the public to get information from those organisations.

Definitions and Terminology of Information Governance and Management

1. There is not a shared definition of information governance and management across the region, or within individual organisations. Some respondents felt that this might be a reflection of the lack of shared definitions among the various professions such as records management and information security.
2. This has certainly created a debate in some organisations which has been useful in helping the professionals and subject matter experts to clarify their ideas. 'We have had many debates about this. Some put one above the other. Personally I would prefer one term, and would probably chose information governance. It covers security and records management; but I know it's used interchangeably'. Another respondent commented, 'I think there is probably a better understanding of the management of information than there is of information governance. I think information governance is focused around key posts in the organisation'.
3. Some of the respondents felt that it wasn't so much a shared definition of information governance and management that mattered – it was more about staff having an understanding of the key components, and delivering an end product of good IGM. One interviewee pointed out that while staff might struggle to define the concepts of 'information governance and management', they had a very good understanding of the need to protect their computers, not to write passwords on post-it notes stuck to the screen, how to handle confidential waste, how to keep buildings secure and so on. Another person commented that within the IGM professions, there is lack of clarity about definitions.
4. However, in some organisations, there is a lack of understanding of what the key concepts mean, 'There is not a very high level of knowledge of what information governance is, and what it means to the organisation and what are, and what are not, business records'. This was reflected by another respondent who said, 'I don't think anyone has any concept of what information governance actually means, apart from compliance with data protection and FOI'. Another person commented that, '...people are not singing off the same hymn sheet'. In some cases, information governance is seen as being mainly to do with one particular aspect such as security, or FOI, rather than having wider coverage.
5. People felt that a lack of shared definitions made it harder to have a consistent approach to the issues, or even a full understanding of what the issues are. It was also felt that this makes the organisation of IGM more difficult to do at a corporate level.
6. It was also suggested that the lack of clear definitions might have a negative impact on the way IGM was being communicated across the organisation...'I think it's probably the case to say that there needs to be a better communication of what that means across the organisation'. One person commented that while some people use both information management and information governance interchangeably, they don't know what either of them means.

7. One person commented that if there was a lack of clarity in the definitions, then how could there be clarity in what the benefits might be? This view was reflected in another interview when the respondent said, 'They all work in silos and only see their own needs. Don't see the impact that sharing information or best practices across the organisation could bring'. And again, a link was made between an understanding of the issues and an understanding of the benefits. If people don't understand what IGM is, they are not likely to understand what benefits could be delivered.
8. One person commented that there may be different definitions and levels of understanding because IGM impacts on different service areas in different ways. The IGM requirements vary, and this changes the definitions. But that person also felt that some wider and more general definitions would be useful.
9. Even where terminology is supported by law, as with FOI and data protection, people feel there are different interpretations as to what things mean.
10. The workshop at Newcastle University on 3rd November involved an exercise where the participants – people all involved in the subject – were asked to define what they thought information governance and management was. There was no consensus among that group either.
11. The baseline assessment also attempted to look at the relationship between the concepts of information governance and management as to how they are applied within the organisation, and how they are expressed in the public domain in areas such as the websites. As part of this work, each of the organisations websites were evaluated through the use of a set browsing enquiry (by browsing through links on the site) and the use of natural language enquiries (standard free text searches through the search engine). This produced very mixed results and these are outlined below. There is quite a range between those websites that throw up a lot of useful and readable information very quickly, and those that make it very difficult for the user to find anything meaningful or understandable about confidentiality, privacy, use of personal data and so on.
12. Organisation of Information Governance and Management
13. The question was asked 'How is information management and governance organised and managed across the organisation?' By this we wanted to explore the organisational, policy and procedure framework that may or may not be in place. We were particularly interested in finding out what formal groups existed, how often did they meet, what are the roles and responsibilities of teams and individuals. Another area we wanted to explore with this question was the sort of interest that senior management might show in any of the issues. Are reports on any aspects of IGM being produced and discussed? Is there an interest at a strategic level of what's actually happening at an operational level?
14. The organisation of information governance and management varies across the organisations that took part in this work. In some cases, for example Stockton, there are clear structures, a good policy framework and teams and individuals with clear roles and responsibilities, that have working with IGM for some time. This has taken time to create, but it means that IGM is embedded within the organisation, the understanding of the key issues is good and there is full support from the senior management team. There are clear lines of responsibility and accountability. This approach means that the council has a good understanding of its strengths and weaknesses and is working to continually improve what it does.
15. Newcastle and Sunderland both have a clear defined group of people responsible for IGM work, supported by a range of policies, user manuals, codes of practice and training. Newcastle has a team of four staff and information champions in each directorate that meet on a monthly basis and has set up an information governance forum. The team has organised campaigns around IGM issues supported by posters, workshops, leaflets and emails from the Chief Executive. South Tyneside has a records management team that works closely with other team so that in practice, all the IGM functions are joined together.
16. Gateshead Council has over fifty information champions that meet on a regular basis. Hartlepool Council has an information group with representatives of each of the departments, there is also a specific information function within Children's Services.

17. In a small number of organisations, there is a single person who is doing a lot of IGM work through 'default'. There is much less organisational knowledge about what needs to be improved and what benefits could be delivered. This makes planning and strategic development difficult and encourages a more incremental rather than planned approach to the problems. This also creates it's own risk; if that person leaves the job, who has the organisational knowledge? The lack of a central IGM function was described as sending a piecemeal and diluted message to staff.
18. In a number of organisations there are good pockets of IGM in particular service areas such as Adult and Children's Services, but there is not this level of good practice at a corporate level; there is unevenness within the organisation that causes difficulties. This impacts on consistency of data quality, data sharing, trust, confidence, storage and archiving and all other aspects of IGM
19. Some organisations such as Durham County Council are a new unitary and are in the process of setting up a new information governance group with a programme of work to achieve.
20. Middlesbrough is actively working to bring information governance together to prevent it being fragmented across the whole of the organisation. The organisation has a particular challenge as they have a strategic partnership with a third party supplier. Middlesbrough is responsible for FOI and records management; the supplier is responsible for data protection and information security. Data quality is currently within policy and performance, copyright and related issues are within legal. The council believes that a more centralised and organised approach will bring benefits in that service areas will have a central resource to ask questions and advice of. There are also lots of aspects of information governance that don't easily fit within the organisation, for example, privacy statements on websites. The thinking is that a central group will be able to take responsibility for all aspects of information governance.
21. In some organisations, there is one particular team, for example, records management, who are taking on other IGM related roles.
22. In one case, the organisation has made a distinction between information governance and information management and described governance as working well, but management as being 'more ad hoc'. The organisation has detailed knowledge about what it's doing around FOI, but lacks business intelligence around information management issues in general.
23. In some organisations there are clear roles and responsibilities for IGM, but there is a recognition that there is too much of an emphasis on the operational activities, and not enough of a strategic role. This makes IGM more reactive than proactive. It also makes those teams feel more isolated because they don't feel they have a full idea of what's actually happening within the organisation. It also means that while there are policies, there is no strategic drive to ensure compliance. This has also resulted in individual service areas pushing ahead with particular parts of IGM which in some cases they do not fully understand. This has also created a situation where different directorates perceive risk in different ways which can have an adverse impact on the whole organisation. It has also made it harder to get a corporate view on what data can be shared, and what cannot be shared. This leads to inconsistencies and conflicts between service areas and creates a resource burden because if someone doesn't get the answer they want, they go to other parts of the council, for example, legal services, for another opinion.
24. One respondent said that elected members need to take more ownership and responsibility for corporate governance as a whole, and that IG needs to be linked to Comprehensive Area Assessments, '*...a lot will depend on members and their will to participate...need to educate members about this*'.
25. One respondent said that some elements of information governance were being well managed, but that the organisation of IGM as a whole was fragmented. One problem they felt the organisation had was the lack of a person who could drive through the necessary improvements and bring everything together. In practice they said although there is a lot of good practice, there is a lack of communication between the different

component parts. From a service perspective, it means staff are often unsure who might be able to answer specific IGM questions. In another organisation, the respondent said that the lack of a corporate function for IGM meant that the organisation has an information sharing protocol, but no one is responsible for it which creates problems. The absence of a corporate function also means that the IGM issues around the procurement of new systems can be ad hoc. This has led to situations where key elements of IGM have been missed in the creation of specifications for systems.

26. In some instances, the organisation of information governance and management is reflected in what the organisation concentrates its activities on. This can lead to an emphasis in particular areas such as FOI and information management security, rather than seeing these as being about a number of inter-connected and complementary activities. Freedom of Information can be answered at the public facing part of the organisation; but without underlying records management, it is more resource intensive than it needs to be.
27. In some organisations it would appear that there is too much reliance on the knowledge, expertise and work rate of particular individuals. Those organisations are exposing themselves to unnecessary risk in that they are failing to capture that knowledge and could be vulnerable if key people move on.
28. There are regional efforts to help with the organisation and management of IGM. The North East Data Protection Forum that has been meeting monthly for the past five years, this has now been extended to records management. This forum is used to share best practice and to pool resources and has been used to help develop policies and procedures. It has also been used to share training materials. It is widely regarded as a successful and useful group by those who are involved with it.

Policy Framework

1. There is variation between organisations as to what policies they have and how these are enforced and monitored. There are policies around information security, records management, data protection and so on. Few organisations have an overarching information governance and management policy. Some organisations have good policies in one particular area, but lack a whole set of policies. Others have used a particular policy such as information security or data quality to drive through a range of IGM related procedures and activities.
2. Not everyone who was interviewed was completely clear what policies actually exist within their organisation, as these tended to be people with some responsibility for some part of IGM, it could be assumed that staff in other service areas are unlikely to be aware of the policy framework.
3. One of the key policies that all organisations have is around freedom of information (FOI) and data protection. These policies do tend to be understood by service areas because effort is made around training, raising awareness and monitoring.
4. Newcastle City Council are using a code of practice to support the policies and they feel this will make the policies clearer. The code of practice will be on the basis of activities and practices that people should do, must do, and must not. Redcar and Cleveland Council has information security policies on the intranet which staff must click to acknowledge they have read them. In Stockton, staff must sign to say they have understood the relevant policies. Redcar & Cleveland have a Data Protection and Information Security manual to support the policies.
5. In some cases, there are policies but those interviewed feel they are not being managed or there is a lack of resources to implement and monitor them. In one case, those interviewed said they just didn't have the time to ensure people are acting in accordance with the policies of the organisation. In one organisation, the records management policy has not been very well implemented or managed. When the question was raised with one respondent as to why this might be the case, the reply was, '...because it involves people changing their working practices. There are lots of areas where people see their records going back years and years as a sort of comfort blanket. A few years ago staff got asked to record all the invoices coming

into the organisation. Scanners were provided and so on...but they continued to hang onto the paper. They couldn't be persuaded to change...they didn't trust it (the technology).

6. Few organisations have an overarching information governance and management policy that covers all of the relevant issues.
7. Those organisations without a central IGM function, generally find it harder to create, implement and monitor policies. One example was quoted of an organisation having two different policies on records management as one service area created their own without reference to the corporate policy. In another example, the one section of the council had created a data quality policy without any consultation with the records management staff.
8. Those interviewed are aware of the need to get management commitment, support and buy-in for policies, and that policies need to give direction, rather than being woolly. One person commented about the records management policy, 'It's not that CMT don't understand the important, it's about the application...especially when it comes to records management where people can think 'this is too time consuming....I've got a day job''.
9. Data and Information Sharing
10. One of the central themes to emerge from this piece of work is that of data and information sharing. It was described in one interview as a 'growing field', and by another person as, 'the inexorable march of information sharing'. There is a good understanding among the professionals about both the strategic issues and the operational requirements of data sharing. However, this is one area that many feel demands a lot of resource and attention and generates many questions from service areas. One person commented that information sharing actually 'covers most people's day jobs', but that 'a lot of people are very unclear of information sharing requirements'. Another respondent said, '...anything to do with data sharing should be seen as corporate'. Data sharing was described within one organisation as 'scaring a lot of people'. This was in relation to sharing within the organisation; there are even greater worries in sharing with third parties.
11. Data and information sharing is higher on the corporate agenda than in the past for a number of reasons, but this has been quite a recent change. When people were asked how their role has changed in the past two years, one interviewee said, 'information sharing was a bit overlooked in the past...information sharing was there...but not as big as it is today...need to share information where it's permitted, but there's no clear guidance on this, it's a bit bitty'.
12. There is more multi-agency working, and therefore more sharing of data and information. There are more electronic databases and the amount of data they hold is growing in an exponential way. Newcastle City Council has a log of some information sharing which is useful.
13. National initiatives such as the Comprehensive Area Assessment and Crime and Disorder Reduction Partnerships are creating a strategic framework to encourage data sharing. An example of this was outlined by Northumberland FRS.
"We are partners with the police, health service, probation, drugs and alcohol teams, social care...we have found that a lot of people who have house fires also have other problems as well...they will also often be in areas of deprivation. The police data helps, social care data helps, NHS, drugs and alcohol...so it's sharing data with other organisations ...and then start working with partners to put things into place to help". Another FRS commented, 'on a day to day operational level, we spend a lot of time at the moment on considering – should we share or not?'
14. National Projects such as Government Connect have also been a driver as there are clear requirements that must be met before organisations are able to connect to the GCSX (Government Connect Secure Extranet). However, one person said that this was being seen as a technology issue, rather than one about the culture and practice of data sharing.

15. However, at a local level a number of people said that data and information sharing issues causes confusion to the business areas in terms of what they can and cannot share. In one example, there was a dispute with a school and the licensing section of the council. The licensing section wanted information about children performing in a Children in Need concert for licensing purposes; the school refused to share this information. However, the school itself should have already told the parents about fair processing notices. These type of scenarios were cited as causing a lot of work for people to resolve. Other people interviewed commented that sharing data with schools causes a lot of questions and issues. This is partly because of a lack of understanding, but also because schools tend to have a large amount of autonomy and have their own data controllers. They are not simply a department of a local authority that can be told what to do by a central IGM team.
16. One respondent commented that the organisation has an information sharing protocol, however; ‘...the documentation is very extensive, the question then is how to manage this?’. With this information sharing protocol, guidelines have been created for sharing data about crime and community safety. However, the protocol has been created for the use of a local authority, and an attempt is now being made to adapt it for wider community use. ‘This is going to cause even more confusion’.
17. There was some comment that service areas use ‘data protection’ to prevent data sharing, rather than seeing data protection as being about the successful management of data that includes sharing. Data protection legislation was described as creating a ‘...conflict of data sharing and not sharing information...with integrated teams, people need to know a certain amount of information...trying to ensure people have that. Some people are trying to open it up; some are trying to lock it down’.
18. There is also some thoughts that data is not being shared effectively because the quality isn’t very good. Another factor that prevents useful data sharing is the mix of proprietary systems that organisations have. This hinders the sharing of information, and also the ability to produce management reports about information.
19. Many organisations have grown over quite long periods of time, one person commented, ‘We have grown organically with lots of different systems, this has created lots of problems in sharing data between one system and another...may have old systems in which records are just stored in there’.
20. There are differences in the culture and practice of data sharing within organisations themselves. One person said that there one large service area regularly shares information with the police about community safety and this causes no problems at a practical level. However, within the same organisation, they said, ‘...for some departments it’s complete anathema...there is not a consistent approach from department to department’.
21. A comment was made that there needs to be greater clarity. “There needs to be clear guidance that states all the legislation; it’s all very well talking about schedule two, three...but it needs to show the guidance for particular things...it needs to be clear’. Even some of the guidance from the ICO (Information Commissioner’s Office) was described as ‘murky’.

Compliance

1. Compliance was very much described as being about Freedom of Information and Data Protection. These are probably the two areas of legislation with the highest public profile. Environmental Information Regulations, copyright and re-use of public sector information were also mentioned by interviewees, but these account for much less of the work.
2. FOI was described as ‘the tip of the iceberg...but it represents the formal side of records management...and people’s approach to information’. FOI was also described as being one of the factors in the way organisations have changed the practices around IGM in the past two years, ‘I think there is certainly more emphasis

on the scrutiny and public access to information and a greater public interest in the dealings of the public sector, over the past two years I've seen that'. Another person commented, 'Doing well compared to where we were five years ago. No-one understood records management or compliance. Staff now have a much better idea'.

3. Freedom of information and data protection are sometimes seen as synonymous with information governance and they are given the priority in terms of what work needs to be done and resources allocated.
4. Many of the organisations involved in providing information for this report could clearly demonstrate organised workflow to manage FOI requests. This enables effective monitoring and control of how the requests are being dealt with. Most organisations have a dedicated email address for FOI, usually something like 'foi@city.gov.uk'. This helps to organise the workflow from the start of the contact between the person making the request and the organisation. All organisations would expect FOI requests to come through some form of central control, but at least one organisation said FOI requests do get dealt with by specific service areas without coming into a corporate centre.
5. There are clear roles and responsibilities for dealing with FOI requests and subject access requests. How these are dealt with within the organisation varies. In one case, FOI requests are anonymous so the responding department does not know where they have come from. However, one person commented that, 'a big challenge is getting the managers to understand that they have to respond to FOI requests'. In some cases, there are a small number of staff who are effectively dealing with all the FOI requests; in other cases, there is a hub and spoke system where the service areas have much more responsibility. In one or two organisations the impression was that FOI was the key part of IGM work, and to some extent, at the exclusion of being able to develop a more strategic and corporate approach.
6. Councillors are often submitting FOI requests for information that is publicly available, or they could simply request. A number of people talked about the need for councillors to understand compliance issues. In one organisation, a briefing about data protection was specifically targeted at councillors, '...this created a bit of concern, it hadn't occurred to them...they tend to think that we are there to support them, they did not have an understanding of how (data protection) related to them'.
7. All of the organisations said that FOI requests are on the increase; from the public, the press and from councillors. Some of the organisations, particularly the local authorities, are struggling to keep up with the volume of FOI requests. In one council, they are getting an increase of over 50% a month, 'the volume coming in is very hard to manage at the moment and we're finding it very hard to meet the 20 day target'.
8. Organisations have also noticed increases of FOI requests as a result of news stories, '...always get a lot when something is happening...for example, MPs expenses led to a lot of requests about councillors expenses. Baby P...we got a lot of requests about children in care'.
9. The impact of the Local Government Review has created issues. In one instance there is a feeling that the districts did not respond fully to FOI requests as they were being wound down; this has led to a large number for the new unitary to deal with. A question was also raised about the impact of LGR on staffing; 'have lost large numbers of staff...information lost? Will not know what information was lost until we start looking for it'.
10. In some cases FOI requests are being published to the web which makes it easy for the public to see (and understand them). This type of management of FOI makes it easier for the council to re-use materials when answering FOI request.
11. The fire and rescue services face particular requests to do with fires and these can come from the police, coroner's office, insurance companies, victims of fires and so on. These requests are in a framework where payment is required.

12. A user forum centred on FOI and data protection has been meeting in the north east for over five years. This meets on a monthly basis and all the interviewees who have attended said it is a very useful group. The regular meetings enable people to attend as and when they can; it was also described as being very useful for helping to answer detailed and complex problems that individuals have faced in their day to day work.
13. The use and content of email was cited as a major issue by one organisation. This was described as, 'most of the problems we get from FOI is around emails, and a lack of professionalism with email. ...(containing) things that are embarrassing but we have to release. We keep trying to get the message across the email can be disclosed'. Two examples quoted were, 'Thank God we don't have to deal with them again', and, '...can I deal with that tomorrow, feeling a bit under the weather'.
14. Gateshead have built an in-house tracking system to monitor and manage FOI and other requests. This system is also being used by Sunderland, Northumberland and Newcastle. However, other organisations are using spreadsheets to track and monitor requests. This is less effective, particularly as volumes increase.
15. One organisation said that data protection was being breached by staff and this had been raised with the Chief Executive, '...staff just don't understand the issues and they continue to breach data protection...the recording of breaches isn't undertaken...this is a risk to the authority'. This was described as probably one of the biggest risks the organisation has, but senior management have been very slow to take any action.

Information Security Management

1. Information security generally has a high profile in the organisations and is well organised. Most organisations have an information security officer, teams or well defined information security roles. However, because of the constant need for information security and the ever evolving threats and risks, those involved spoke of the need for constant vigilance and activity.
2. Both Stockton and Sunderland have ISO 27001 certification. This is recognised as having made a substantial difference to the way in which not just information security, but information management and information governance are perceived and implemented across the organisation. There is significant support and buy-in from senior managers and there is an organisational and managerial structure that reflects a commitment to information security management.
3. Technologies such as firewalls, virus and spam controls are seen to be effective; however one organisation had a significant problem with a worm introduced into the organisation through a data stick. There is a lack of consistency in how organisations are managing devices such as data sticks, mobile phones, laptop computers and so on. Encryption is widely used, but not universal across all organisations.
4. The organisations want to be able to encourage mobile, flexible and home working. These changes in working practices are creating new challenges for information security. Functionality (of devices and technologies) was described as *'moving slightly ahead of the control environment'*, creating the need for constant development of the security controls.
5. The demands of service areas for mobile devices such as mobile phones, tablets, laptops, portable drives and so on, and the increasing power of those devices is creating new challenges. One person commented, *'Storage devices are getting smaller, but with larger capacity. Therefore it can increase the risk of large amounts of data being lost or stolen'*.
6. Some organisations are maintaining incident logs; one organisation said they would like to publish this on the web to raise awareness across the organisation of the issues. There was a feeling that if this was in the public domain it would make people understand the implications of poor information security.

7. However, in other organisations there is a lack of awareness of what the risks actually are in terms of danger to person and property, data loss, identity theft, mobile working, compromised data, loss of reputation, costs - both to the organisation and hidden costs to the public. One organisation admitted that there is a *'lack of awareness of risks around information governance'*, and that there is no incident management as such. Laptops and other devices have been lost or stolen from a number of organisations. Information that should have been confidential has been circulated without protective markings. There have also been incidents of work laptops being used by other members of families who have then downloaded illegal music files. In one organisation there is an information security policy, *'...but no proactive stuff...don't go out and tell people about information security'*.
8. Many of the organisations have had information security breaches; some of which have been high profile and entered the public domain. Interestingly, some of the organisations interviewed were reluctant and hesitant to discuss information security breaches
9. All of the organisations have had personnel issues relating to the misuse of information, particularly the internet and email.
10. Another challenge is of theft and fraud. One person commented, *'Not everyone is honest and there's a market in personal data'*.
11. Information security is written into staff contract's in some organisations, and included in the employment code of conduct.
12. Training around information security is also mixed. In the examples of best practice, staff are fully trained before they are allowed onto PCs and the networks and must sign to say they understand the policies and practices of the organisation. However, there are still a lot of people who are coming straight into the organisation and having immediate access to a range of tools and vast amounts of data.
13. Information security is audited in a number of organisations, although sometimes this is partial and only applies to particular services such as Adults and Children's, rather than corporately. Spot checks are carried out and the audit team also plays a role.
14. Newcastle City Council keeps a log of incidents, including near misses. If an incident is assessed as being high risk, then a 'lessons learned' meeting is held to find out what went wrong and what action is needed to prevent any repetition.

Data Quality

1. There is a lack of a shared definition of what data quality means, and who should own it. Data quality is often being defined in terms of the Comprehensive Area Assessment requirements of performance data. However, it is also defined as being the quality of data within systems, for example, the records of individuals, business transactions, contacts and so on. In these terms, some organisations are only applying a minimum amount of active data quality checking.
2. A number of people commented that data quality is lower down the agenda than FOI and data protection. However, there is some changes to the awareness and understanding of data quality issues. This is partly from the Audit Commission in terms of performance management data and their 'Right First Time' initiative. There is a recognition at a national level that poor data quality will have an adverse impact on performance reporting.
3. Data quality is within the remit of policy and performance teams in a number of organisations, however, this is not without critics. In one organisation this has resulted in the data quality policy being created without consultation with the records management team and therefore those requirements were not captured.
4. Some organisations, such as Northumberland FRS, have good data quality and have worked hard to achieve this through training, policies and good governance. They have used data quality as a way of improving IGM across the whole of the

5. Data quality is made harder by the legacy of poor quality data from the past and by lack of controls in the present. One example cited was of internal data quality where the human resource system has been known to have several different records of the same person. As one person commented *'there can be records of you that aren't actually you'*.
6. Gateshead Council has a Contact Point Database and it is seen to have a good understanding of data quality where records are checked and matched. Social services within the council sent out mail shots to ensure that data is up to date. Electoral registration also has good data quality.
7. The approach to data quality is inconsistent; some organisations are auditing data and sampling records to evaluate data quality but this is not a universal technique. In South Tyneside, there are spot checks of the quality of data within systems such as council tax. Dip sampling and random sampling are also being used by a number of other organisations to maintain data quality.
8. There was less information about how data was being collected and how it is coming into the organisation and in what form. Very few of the organisations have information on how many forms they have for collecting information and whether there is a consistent approach to data fields across all forms that the organisation is using.
9. One respondent suggested that the management of data quality should be organised through a corporate team that deals with all of the information requests and the responses that flow in and out of the organisation, *'rather than individual people writing back to people and passing data that maybe shouldn't be passed on'*.
10. One organisation has specifically targeted the recording of data and information to raise awareness that it needs to be both accurate and objective, regardless of where the data is, and that includes email.
11. One respondent made a link between data quality and FOI requests and responses, *'...sometimes the information is good, sometimes it isn't. You can tell when someone is trying to answer a question and when they are trying to avoid answering a question. Sometimes you have to go back and say 'what do you mean by that?'*
12. One person commented about data quality, *'...understand it's important, but it's a tough nut to crack....there's a check list in Children's Services for all the safeguarding, but not for the data quality elements. If we could get that built in...it would be a huge thing'*.
13. One organisation feels that a good way to improve data quality would be to establish clear ownership of data. It would help to make service areas responsible and accountable for data quality. Another organisation is trying to develop a system of dip sampling and auditing to assess the quality of data and to 'see what's going on'.
14. Redcar & Cleveland have recently completed a data quality exercise as part of CORE – Co-ordinated Online Register of Electors. This is to ensure the quality of the data that's held in the electoral register. The data is being cleansed and a single data set of addresses created.

Records Management

1. Records are being held in electronic and paper form with varying degrees of a management framework around them. Some organisations have reasonably well developed records management systems that include EDRMS, policies, retention schedules, training, designated roles, functions and responsibilities.
2. However, in some organisations records are not organised or managed on a corporate basis, *'I think more generally, quite dispersed in terms of where information is stored and how it is stored, we've got lots of different systems'*.
3. In one organisation when the question 'who is responsible for records management?' was asked the reply was, *'At this present time, I don't know. The*

person who was responsible for FOI, DPA, protective marking and so on retired...I'm not sure about this'.

4. One organisation, that does not have a records management policy commented, *'Departments are making decisions about these issues, but without understanding all the issues. For example, departments want to dispose of data from cabinets...but where to dispose to? They are doing all this without a records management policy. Have the storage costs been accounted for? Can store cheaply but it can be expensive to get stuff back'*. The lack of policy leads to ad hoc decision making, *'...where is the decision being made? (about records management)...decisions are being made on the fly that will have implications later on'*.
5. Another organisation without a records management policy said that while there were pockets of good records management, *'not everyone across the council has developed retention periods'*.
6. The lack of a central records management team or function was also cited as creating problems. When asked how effective records management is across the organisation, one respondent replied, *'I would suggest it's quite dispersed; we don't have a central records management team. We have different departments doing their own records management, so I would suggest it's probably not as effective as it should be'*. The proposed solution in this instance is the implementation of an electronic records and document management system.
7. The impact of the lack of a records management policy, records management officers and clear roles and responsibilities was described in the following way, *'Have no one who has a handle on records management across the organisation, don't have a records management team who can look at the duplication of records and start to get some efficiencies'*.
8. Guidance, was again described as unclear, for example with retention schedules. An example was described of social care records and how the creation of records from different sources can appear to create a conflict of retention dates. A blue badge application should be disposed of after two years; but that may be part of a file with a longer disposal time. An anecdotal point is that during the work on this baseline assessment, a number of queries from the region were submitted to the Records Management Society JISC mail discussion list, some of which covered retention schedules for different types of files.
9. The impact of the lack of retention schedules was related to efficiencies in that data was being stored and handled that could be got rid of. But without sorting out retention schedules and records management the organisation can't move forward. This was also preventing the back scanning of information that, *'...could result in thousands of pounds worth of savings and could get more people into (central offices)...this would help support flexible and home working and new ways of working'*. However, it was also pointed out that scanning need to be planned and organised and the costs and benefits established.
10. Paper is being stored even when there are electronic copies because 'people don't trust the technologies'. There are multiple copies of documents and reports which simply clog up servers and email systems. There is poor version control in many instances. One respondent commented, *'We keep far too much paper. The records management policy does identify retention periods but I don't believe they are kept to. For published documents and policy documents there is no central repository...have a lot of multiple copies of things all over the place. It's an organised chaos; if we don't get a good handle on it, it will run away with itself'*. In another instance, a person commented about information they hold locally (in this instance contracts), *'we know other people have them...but we like to keep them handy'*.
11. Not all of the organisations have clear records management roles and responsibilities which means that the practices are inconsistent. One respondent said that there was a lack of a records management policy and co-ordination about records management. However, this was qualified with, *'Adults and Children's services have very strong information management, so it's not that everyone does*

as *they like*'. Social care areas however, were generally described as having a good understanding of the need for retention schedule and the detail needs of specific sets of records.

12. One factor cited in an interview was that there is still a distrust of digital technologies and people continue to 'hang on to paper – just in case'.
13. Where organisations lack clear records management strategies and policies, individual service areas have been making unilateral decisions about filing, storage and disposal without having the level of understanding needed to do this properly. Service areas can be tempted to send boxes of documents to off site storage without understanding the costs or implications of access for business needs. Even professionals who were interviewed complained that the guidance around records management is not always that clear.
14. South Tyneside are half way through a two year audit of all the information resources they have and this means that they are one of the few organisations in the region that will have a comprehensive knowledge of what records they actually hold. This will enable long term strategic planning and operational practice to be much more effective. It also helps to raise awareness across the business of the need to manage all aspects of the records management – including archiving and disposal. Other respondents said they would like to carry out information audits but either lacked the resources or were not able to convince senior managements as to the long term benefit.
15. Local Government Review has had an impact on records management. This particularly affected the former district councils in Northumberland and Durham. Communications were sent out to say 'don't throw anything away' and archivists were sent out to get things. In Durham, an audit was carried out to identify the high risk information but it was recognised that it's not always clear at the time what information might be critical.
16. There is a lot of use of email systems as filing systems, even where storage limits are imposed. An issue was also raised about emails as records, and how emails support business processes. Email is part of the workflow process for many people and approaching it from a records management perspective is not always accepted or an easy thing to do. A key issue raised about the use of email was how it is being archived and stored as a record. In one organisation, email is being stored for up to six years on servers, even though it may have been deleted from a local PC. One person commented that email is often not being treated as a record.
17. Without a records management system (in the broadest sense of the word), it is recognised that there is a lot of duplication of information resources. People use the term 'duplication', but when prompted, they admitted that multiplication is what actually happens. In one organisation, everyone is saving everything to their local drives and have multiple copies of many information resources.
18. Version control was an aspect of records management that was cited as being inconsistent, but there are organisations that have good version control and are effectively managing this.

Training

1. All the organisations are delivering training around some aspects of IGM. The main training areas are FOI, data protection and information security. There is less training around data quality, records management and the wider compliance issues. In some cases training is concentrated on data protection and FOI, but with much less coverage, if any, of other parts of IGM.
2. Training at the level of induction varies. In some cases, for example, Durham County Council, new staff joining Adult and Children's services receive two days of induction training. In Hartlepool Council, information governance is specifically covered as part of corporate induction. However, in other organisations, some respondents admitted that this was a weakness and the organisation lacks an effective induction model. One organisation stated that induction training didn't seem to be that effective, so training is now being organised over the first three months of someone joining.

3. There is not always a clear link between the development of policies and training. In one organisation, the respondent commented that training was provided, '*..but we are not as regular as we should. It think we're good at training when the policies are introduced, but we need to improve on the refresher training*'.
4. Gateshead Council has twenty interactive training modules on the corporate intranet that cover areas such as FOI, data protection, human rights and records management. The council has run training for head teachers, school governors, the Association of North East Councils, all heads of services and directors. There has also been briefing sessions for members of staff, leaflets for the public, notices in the press and so on.
5. Some councils are providing training through the corporate intranet but are not sure if staff are actually making use of it.
6. Middlesbrough council has a rolling programme of monthly training that covers FOI, data protection, records management and so on. These monthly rolling training sessions or 'awareness briefings' are also used as a spring board for service areas to make contact for more specific training or projects, for example, the setting up of new file plans, creating privacy statements, reviewing policies and so on. The schools in the area are receiving more FOI requests and so they are beginning to attend sessions as well. The council is also introducing a checklist which will be used at induction and for leavers. A number of organisations ask staff to sign a form to say they have understood their training; for example, Cleveland FRS do this around data protection.
7. Councillors are receiving training in a number of areas of information governance, including the need to keep information about constituents confidential.
8. Northumberland FRS run a workshop once a year with all managers down to station level, this includes coverage of information governance and data quality issues.
9. North Tyneside Council has developed e-learning training for information governance which is now part of the induction process for new staff. There is also a more detailed e-learning package and is developing an information sharing e-learning package.

Resources – Time, People and Materials

1. Resources, particular of people's time, and the money to buy new or better systems, were mentioned by almost everyone as being an increasing problem. This is not going to become any easier in the foreseeable future because of the huge pressures on public finances, the increasing amounts of data that are being collected and stored, the development of multi-agency working, and the demands of FOI and data protection. A number of the organisations have recently experienced redundancies across a range of services so there has been a reduction in staff, but no reduction in workload.
2. However, some organisations have increased the number of people directly working in IGM. For example, Newcastle City Council has expanded the number of staff from one to four and this is going to increase to five. This has happened through a combination of factors, including a series breach of confidential information in which the credit card details of over 35,000 people were released. It also involved analysing where the council stood in relation to other core cities (quite near the bottom at the time), and by driving the change through developing a business case.
3. In a number of cases, initial pieces of work have been completed that have identified the need for improved information governance, but it is not clear where the resources will come from to do this work. *"Report (on IGM) has been accepted by the Strategic Management Team, but haven't had the resources to follow the work up; so now doing that work on top of the day job....or trying to"*.
4. The development of a community of practice around FOI and data protection has been useful as a very low cost way of building up people's knowledge and expertise in key areas. The equivalent costs of sending all those people on commercially provided training courses would have been much more costly.

5. There is the beginnings of a shared services approach in some areas. Stockton are now providing services relating to information governance and management to Darlington.
6. Gateshead Council developed a bespoke system for tracking FOI requests which is now being used by a number of other local authorities. This has been a very low cost and effective solution for those involved. Gateshead has also developed a set of online learning tools that can be shared with other councils. In fact, a number of councils have developed online learning tools and there would be a benefit in collating and pooling these so that all the councils could use them. Middlesbrough also have a bespoke system with a database linked to the email system. This works well as a means of liaising with service area contacts who then liaise further with the right people to get the information within the necessary time frames.
7. The big resource that Middlesbrough pushes is the 'Information Governance Tile'. This effectively brings together FOI, data protection, records management, copyright and information security into one place. A link to this resource is routinely sent to employees and it contains guidance, standards and policies.
8. There is a considerable amount of informal networking that takes place and again, this is a low cost and low resource activity that provides a lot of hidden benefit. All the organisations should be aware of this and consider ways to encourage this type of sharing.
9. Lack of resources was described a possible barrier to improvement, but the person said, *'that's not a unique one...it's always there'*.
10. One barrier to improvement was described as time, with staff saying they don't have time to do IGM, *'...you need to convince them that it will save time in the long run'*.
11. Web 2.0 and Social Networking
12. The development of web 2.0 applications such as blogs, wikis, forums, discussion boards, social networking sites, have all made it easier to publish to the web. The ease of publishing and the interactive social nature of these applications has created a new set of issues for those working in information governance and management. A number of organisations are permitting the use of social networking spaces, or wants to encourage such use.
13. Organisations are also working out how to develop policies around social networking tools. There is a very mixed set of rules around this. Some organisations have a blanket ban on the use of all social networking tools in the workplace. Others are enabling partial access, and in other cases, there are service areas that are using social networking tools and techniques to actively engage with the public (for example to target specific groups such as young people during campaigns).
14. Even access to the internet was cited as being problematic. Some organisations are filtering all web access and are planning to increase this. Organisations said they specifically block certain sites such as those to do with gambling, chat rooms and several well known social networking sites. However, at least one organisation allows people to access their web mail accounts at certain times of the day.
15. Councillors were described as making FOI requests and then publishing the information on their blogs. Some organisations are also giving guidance on staff commenting on blogs so they understand the need to differentiate between their personal views and the official policies and views of the council.
16. One respondent didn't feel there was much co-ordination within the organisation between the website, wikis, twitter and so on. They also raised a question about how the website itself was being archived.
17. There have been issues with the use of social networking sites by members of the public. For example, school pupils have posted obscene messages on teacher sites, or are using social networking in inappropriate ways.

Organisational Culture

1. The culture of organisations, and the people inside the organisations has an impact on information governance and management. One person commented that the biggest change in the organisational attitude to information governance and management had been because there was a change of management at a senior level; the new person, *'has a different style and perspective on things'*. The impact on that person's job, someone with a major responsibility for IGM has been, *'now getting much more involved in corporate issues than before'*. IGM is now being taken more seriously in the organisation because a new senior manager is pushing this more.
2. In those organisations where the issues are taken seriously by the senior managers, the management and governance of information is much better.
3. The lack of buy-in is an expression of the culture of an organisation and probably cannot be simply dealt with just by raising awareness of some aspect of information governance and management.
4. People who had worked in more than one organisation in the region commented that the way things worked in practice was often very different, even though the underlying drivers and legislation was the same.
5. A number of people said that the key area that needed to change was people's attitudes, *'attitudes need to change...it's about attitude, culture and laziness...have to do something to change attitudes'*.
6. Those interviewed had a number of useful ideas about how their roles might change within the organisation. One person commented that they would like the role to become much more one of a strategic enabler, that was able to raise IGM at both a strategic and operational level within the organisation.
7. There were comments that there are cultural differences between fire and rescue services and local authorities. *'The senior management (in the FRS) tend to come from an operational background...very different background to a local authority...the focus is on the operational side and we need to deliver there'*.
8. In those organisations where IGM has been noticeably improved, the business has started to ask more questions because a more recognisable and open IGM culture has been created. This encourages people to articulate questions and help them to aim those questions in the right places. A number of interviewees said that they felt having an open approach to IGM issues was helpful and encouraged people to come forward and ask questions, rather than doing things without first seeking clarification.

Appendix E: What works well?

1. Creating a business case for IGM, supported by a strategy or action plan has made a clear difference where this has been done. Linking IGM to efficiencies has also been an effective tactic. This has generally meant that sufficient resources are allocated, senior management support IGM and the culture of the organisation changes. Newcastle, Sunderland, South Tyneside and Stockton have all taken this approach and they were among the organisations that have a joined up approach to IGM at a corporate level.
2. Durham Council has good security procedures in place for Adults and Children's Services '*...bins are checked, PCs are checked. It's monitored very regularly and robustly. They might not call it information governance but they understand their responsibilities*'.
3. Durham and Darlington FRS have a good overview of information management. They know what systems they have, what information they have and how to retrieve this. Exit interviews are also carried out with staff when they leave the organisation, and this covers governance issues in general.
4. Gateshead Council has a network of over fifty information champions and there is also an information security group that meets once a month.
5. Gateshead Council has also developed a system that is used to track queries and requests relating to FOI, data protection and environmental regulations information. This has been developed in-house with the council's ICT team. It is now being used by Newcastle, Sunderland and Northumberland councils. The tracking system can produce reports that show how many requests have been received, how many days overdue they are, what's outstanding and so on. The system can also be used to see if someone has made a previous request and can produce an audit trail to show all the work completed on a request.
6. Middlesbrough has carried out business analysis to evaluate the relationship between processes and IGM. For example, work was done with the Planning Department where information flows in and out of the service were analysed. This helped people understand the link between information flows, processes and IGM; and how by aligning these more effectively, more efficient ways of working were developed. There was a clear and tangible benefit through improved IGM.
7. Each service area in Middlesbrough council has had to identify records and critical systems for back up as part of the business continuity plan. This was done through a survey. This has helped to make a link between records management and business needs. This work will be used to develop a strategy to protect the councils vital records.
8. Middlesbrough has also completed a survey of storage to review where all documents are going to be stored, and has developed retention and destruction policies. Work is being done with the service areas so they begin to take ownership and can manage their own records.
9. Middlesbrough have successfully carried out process mapping and business re-engineering and have highlighted the link between information management and lean management.
10. Newcastle City Council has created a cohesive team of people with different skills and professional backgrounds. This has helped to create a central resource that understands all of the issues, rather than concentrating on particular areas. The team is supported by information champions throughout the organisation and this helps to raise and maintain awareness. The team is publicly supported by the Chief Executive who has been known to email all staff about information governance related issues. Newcastle City Council has also used the Local Authority Information Governance Toolkit to good effect. A campaign has been run across the council using posters, publicity materials and a booklet to raise awareness and to actively change the existing culture of IGM. This included top tips of do's and don'ts and was supported by between 20-30 training and awareness sessions with managers. In October 2009, the council gave all members of staff an information security code of conduct which includes an end of day checklist that people must comply with (for example, clearing desks, securing confidential material, switching off PCs). It has also created an Information Asset

Classification Policy that has been shared with other members of the records management forum.

11. North Tyneside organised an amnesty in which people were able to hand in data sticks. This was useful in recovering devices and data that might otherwise disappeared from IGM control. The council also found that face to face training worked well as it enabled them to find out much more about what was going on in the service areas, for example, that people in customers services thought they had to give the police any data they asked for.
12. Northumberland County Council has a data quality group which evaluates how information is being collected, how it is stored, who owns the data and so on. It also has an ICT auditor with a responsibility for data protection and information security, '*...if something isn't working, they tend to spot it*'. They are also then able to offer immediate and specific advice on how to remedy a situation.
13. Northumberland FRS has a clear policy about the disposal of information. Unless there is a legal requirement, or it's key data, all information is disposed of after three years.
14. In Stockton and Darlington, IGM has clearly been linked to an efficiencies agenda to ensure that more is achieved with existing or reduced resources. There is clear and well organised structure with reporting lines into the senior management. There is buy-in and support for IGM across the organisation. The council is able to identify and act in areas that need improvement.
15. Stockton has ISO 27001 certification and has a well established structure around IGM, supported by policies, strategic support at a senior level and a high level of awareness and understanding at an operational level. The council has carried out a records audit and created a records management function in each service area, supported by specific training. This is phase one of a larger piece of work. In this phase, the records managers have a work plan to find records, check the retention and disposal schedules and dispose of records they no longer need. This part of a strategy to identify the problems, the solutions and the benefits.
16. South Tyneside Council has actively linked improved information governance and management to efficiencies. The council has also organised extensive information surveys and audits, supported by action plans. The council is currently mid way through a two year project to audit all of the information it has.
17. Sunderland has created a hub and spoke system for dealing with IGM issues. This has helped to build capacity, knowledge and expertise throughout the organisation. This approach enables the organisation to develop in-house expertise in areas such as data sharing. The organisation has also carried out a number of information audits, which have, '*given people the confidence to throw things away*'.
18. Tyne and Wear FRS are using data and information to inform strategic direction and planning. The organisation is '*using information as a tool, which it is*'.
19. One organisation carried out an audit to help develop a clear desk policy. Over a six week period, an audit was carried out every morning of a particular department to assess what was on desks, what files could be found, where PCs switched off, was the records management system tracking the paper files? A report was produced for the Director who used this to instruct each manager to change their processes and procedures. When this audit process was repeated with another section, boxes of files were found on every single desk and this constituted a health and safety risk. There are now plans to carry out these audits in other areas because of the impact they have had. The audits have also been very useful in raising the issues at a senior level, '*All employees within these sections now have awareness and start to see things that they probably never thought about before. It's put the thought in their mind that they need to do something...they can see the differences, whereas before people struggled with the concepts*'.
20. Where they exist, having formal structures is working well. In some cases this includes designated teams with clearly defined roles and responsibilities, the authority to make things happen and a line of accountability into the senior management. In the

organisations where this is happening, there is a much firmer grip of the all of the issues across all of the organisation.

21. The most effective organisational structures exist where there is the most upfront and committed management support. Where this support exists, there is a much clearer strategic direction and the organisation as a whole appears to have better understanding of the issues and works harder to implement the practices. Where there are clear lines of accountability and managers are asking for reports relating to information governance and management, there is better day to day practice.
22. Various technologies have been cited as working well - for example, firewalls, spam filters, virus controls. Cleveland FRS have not had any sort of virus infection for over six years and estimates that around 90% plus of spam is filtered out at the perimeter of the systems.
23. The creation of information governance and management systems (in the broadest sense) across organisations has had clear benefits where this has been done. This has helped to empower service areas to take more direct responsibility and has helped to organise knowledge. If people don't know the answer, they know who to ask. This has been described as a particular benefit around data sharing. One respondent commented that at least service areas are coming to the team to get clarity about data sharing, rather than refusing to share, or sharing on an ad hoc basis.
24. The culture of some organisations is working well. Where there is a culture of openness, it is helping to get the questions and issues out into the open where they can be dealt with in a managed way. It helps provide a framework where people can feel comfortable about raising issues and asking difficult questions.
25. Some organisations have a good reporting regime where senior managers take an active interest in business intelligence about information governance and management. This helps with service planning and delivery and the management of risk.
26. The way in which FOI is organised in most organisations works well. There is often well developed work flow around FOI that enables effective monitoring and control of how requests are being dealt with. Gateshead Council has an electronic system that effectively supports FOI work and this has been adopted by a number of other organisations in the region.

Appendix F: What Doesn't Work So Well?

1. The lack of resources and time were commonly cited as being the two biggest negative factors. As one interviewee stated '*there can be competition for resources between looking after the elderly and cleaning up duplicate files*'.
2. The way people do things and the lack of awareness cause problems. There is a need to change working practices and to embed information governance and management practices into people's everyday activities, rather than compliance, data quality, security, records management and so on being things '*done by other people over there*'.
3. There are too many documents retained for too long, there are too many multiple copies of documents, reports, multi-media files and so on. There is a lack of version control. Information sent to the public is not clear; email responses are inappropriate and uncontrolled.
4. A fragmented approach to information governance and management does not work well. Having functions scattered across the organisation lessens the organisational strength that could be created by more collaborative working.
5. One person commented that at the moment there is no real pressure within the organisation to drive the necessary change. In this case, the changes are being driven by external factors in a seemingly ad hoc way. This makes it difficult to have an overall strategic and organisational approach.
6. Many organisations lack a strategy of information surveys and audits. In practice, many organisations have not completed surveys and audits. This means they don't actually know how much information they have, where it is or what it's used for, what the quality is like, whether it can be archived or disposed of and so on. Many organisations lack knowledge of how many forms they have, despite the fact that these are one of the key ways in which information and data flow into the organisation.
7. There is often a lack of any effective knowledge management strategy. This means that organisations are dependent on key people. During interviews, a number of people said that there had been a long term negative impact on the organisation caused by one key person leaving. One interview said the organisation lacked any form of collective knowledge about IGM.
8. There is a lack of ownership of either IGM as a whole or of elements and components of IGM. This leads to a fragmented approach in which parts of IGM don't get covered because no one owns them; or other parts of IGM get duplicated, for example, service areas creating their own policies in parallel to existing corporate ones.
9. In some areas there are skills gaps and the organisation does not have the knowledge and expertise it needs for particular parts of IGM. This can lead to ad hoc development by people who may not have the right skills. In one example, a service area archived a large amount of information, but now spend a considerable amount of time each week retrieving information resources they actually need from the archive. They had done the archiving without really understanding the issues.
10. The general level of skills with staff, particularly with technologies is also an issue. One person commented, '*A lot of people are still not sure what to do, even with the smallest things...someone didn't realise that alt-del-ctrl will lock the computer*'.
11. In one organisation, there is a lack of strategic direction and the person interviewed said, '*...don't feel there is the commitment across the organisation. Some of the directorates and services have a very internal view...there is a lack of a unified approach*'.
12. There is a lack of a consistent approach to the use business intelligence and management reporting. While some organisations are producing monthly statistics and an annual overview of the main IGM issues, this is not happening in all organisations. This means there is a lack of written information as to what's actually

happened in any one period, and what's changing and why that change is happening.

13. There is a lack of a corporate branding in some organisations. This can have a negative impact on IGM because different templates, different letter heads and so on are used. This can make it harder to organise information as it's not always clear where it has come from
14. There is a lack of training around the production of content. For example, staff get trained in the security and technical aspects of communications systems such as email, but they don't receive training about how to write the content effectively.
15. There can be a lack of a link between IGM and business needs and processes. This impacts in various ways, including in the procurement process where systems are being procured by service areas with no understanding of the IGM requirements.

Appendix G: How Could Information Governance and Management be Improved?

People were asked how the felt IGM could be improved in the organisation. This was very well described , *'It will only be improved when it's recognised at the top table that it's (information) an asset that needs to be managed like other assets such as people. It's about corporate responsibility'*.

1. A range of improvements were described from the top level strategic ones '...' to detailed operational ones, based at the level of individuals, *'...even the management of the shared and local drives could be improved, including the way people call things (folders and files).'*
2. Raising awareness and educating the senior management were mentioned; *'the drive to improve has to come from that level'*. There is a need to raise awareness at a strategic level in several of the organisations that took part in this baseline assessment.
3. Where information governance and management is fragmented, it needs to be organised. Roles and responsibilities need to be defined for all of the key areas, including data quality and records management. One person commented, *'Bring everything together, information security, protective marking, information compliance, information sharing protocols...bring all that together and tie that in with business efficiency improvement. As a management responsibility at the moment, it's all over the place'*. A more corporate organisation of information resources would be useful. One person commented that, *'Each service area has their home drive, which only they can access. There should be more use of shared drives so that whole teams can work together'*.
4. The relationship between IGM and business processes and service delivery needs to be made much more explicit so that managers understand the value of IGM. Unless there is awareness of this value, IGM will be an easy target for spending cuts.
5. The link between IGM and efficiencies needs to be made very clear. Good IGM will save money; poor IGM will cost money and increase risk. Good IGM will help deliver efficiencies in many areas of the business.
6. A technical infrastructure that supports IGM will be an improvement; for example, EDRM systems that support records management and workflow; middleware that supports data sharing; system using open standards that enable technical integration.
7. The development of coherent policies and standards within organisations would help define the parameters and practices of IGM and make the management easier, cheaper and more effective.
8. Information audits have been cited by organisations as being a key way to make improvements. Other organisations have found it difficult to get the resources or buy-in to undertake audits. Where they have happened, they have delivered benefits. Carrying out information audits *'to find out what we've got'* was suggested as a major improvement. Some organisations have done very little work in this area and find it difficult to manage records as a consequence.
9. Using existing standards – particularly for information security and records management would be an improvement. For example, there would be considerable benefit in setting controlled retention periods, version control and so on.
10. The sharing of best practice and of what works well and does not work well would be useful. Some shared development of policy and procedure was also mentioned.
11. Identifying key areas to back scan paper records would help to create digital environments rather than having hybrids of paper and electronic. This would help to reduce storage space but would also help with retrieval, organisation and management of information.
12. Costs were raised as an issue. This included staff time and resources and the costs of new systems and applications.
13. Knowledge management was described as something that could be improved, and this would benefit IGM in a number of ways. *'Knowledge management needs to be improved, how do you manage what people take with them when they leave the*

organisation?'. One senior manager had said they wouldn't know what to do if the key IGM person left the organisation. In organisations where key people have left, the impact has often resonated for a long time afterwards, as much as over a year in at least one case. This means that significant amounts of effort in time and resource has effectively been lost.

14. Carrying out process mapping and looking at information flows both in and out of a service would be an improvement. The IGM issues around those particular information flows that support service delivery. Where councils have done this, such as Middlesbrough, they have seen tangible benefits and efficiencies. This has helped people review and think about what they are doing.
15. Changing people's attitudes and the way they work, changing the culture of IGM within the organisation and embedding IGM into work processes; *'Whatever we try to do with IGM, it's about changing behaviour'*. A number of people also mentioned the need to change people's attitudes, *'they don't take it seriously...they think it's a waste of time'*. It was suggested that for new staff, this starts with induction and on the first day they start work in the organisation. One person commented that all staff should feel accountable and responsible for IGM, not just designated officers or teams.
16. It was suggested that carrying out an information governance and management survey, and putting the results in the public domain would be a good way to get the whole organisation to take the issue seriously.
17. Creating more corporate and individual responsibility was cited as a way to make improvements.

Appendix H: Information Governance Workshop

The style of presentation for the workshop was based on the social informatics approach which places the emphasis on promoting interaction between participants as they make sense of the materials that are placed before them. The purpose is not to explain but to promote exploration and discussion across different boundaries of discipline, agency and interest.

Participant responses to being asked to write their definition of 'Information Governance' on a post-it note:

- 'A culture that ensures that an organisation obtains, stores, uses and shares information properly.'
- 'Configuration and operation of trusted services for information use within a business environment.'
- 'Put right controls in place so that right people can get access to information.'
- 'Management of organisation's information assets. (securely)'
- 'IG is the implementation of robust policies and procedures that support (+ complies with) records management, information rights, breach of confidence and information sharing.'
- 'The strategic and operational control and use of information in support of business objectives and compliance with legal and regulatory requirements, ensuring efficiency and effectiveness within the organisation and in business with partners and key stakeholders.'
- 'Information Governance comprises Information Management, Freedom of Information, Data Protection and Information Security. Also controls how information is used and shared.'
- 'Management of information assets such that:
 - complies with legislation
 - contributes to business objectives
 - is of good quality.'
- 'Ethical, professional and competent use of information which is means to an end – not end in itself!'
- 'Management of information your organisation receives through its life cycle to enable the organisation to have the information it needs for its business needs.'
- 'Enabling access to information, records management and protection of information through statutory compliance and good practice.'
- 'The management and control of the information we hold including why we have it, what's it for, how we store it, how we use it and how we dispose of it.'
- 'The receipt, creation, maintenance, use, retention and timely disposal of data or evidence of an activity in any format.'
- 'Information governance is the capability of an organisation to provide accurate, relevant and timely information to support business processes, whilst keeping it secure and complying with relevant legislation.'

- 'Information governance is the use of a set of rules, protocols and standards to manage compliance, records management, data quality and information security; it's about an understanding and accountability at a corporate level.'
- 'Maintaining arrangements that deal with organisation's information in line with efficiency and the law.'

There was considerable variety in the definitions of 'Information Governance'. There were broad abstract definitions implying a strong cultural dimension such as: *'Ethical, professional and competent use of information which is means to an end – not end in itself!'*. But also very specific definitions such as: *'Information Governance comprises Information Management, Freedom of Information, Data Protection and Information Security. Also controls how information is used and shared.'*

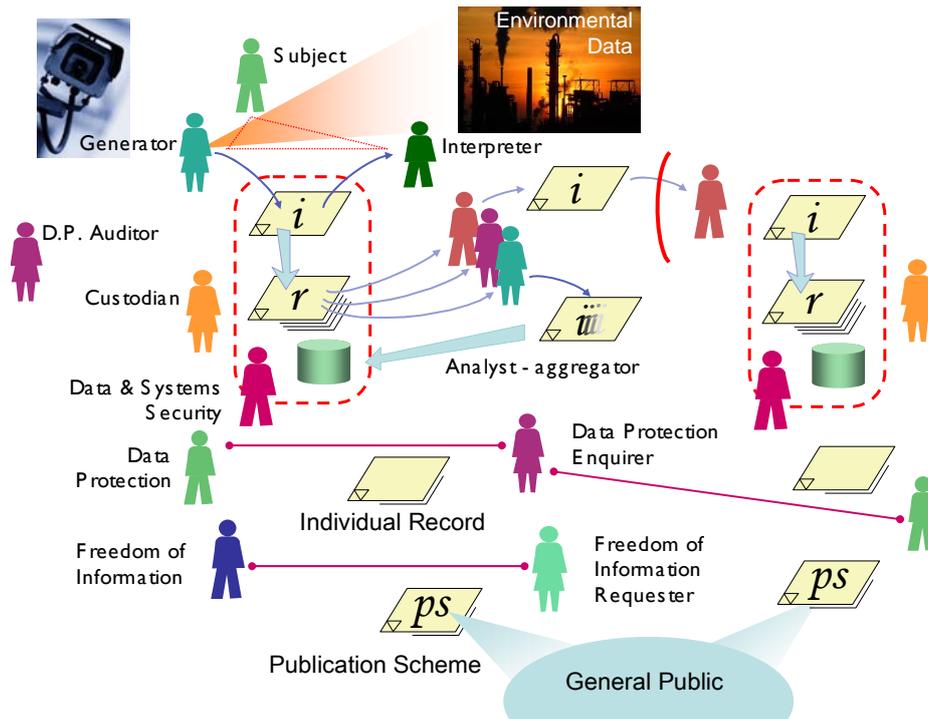
There were also definitions that approach the term in a range of ways: top level business objectives; culture; external requirements such as legislation compliance; tools for enabling IG such as procedures and protocols; human resources; information as a valuable organisational asset; efficiency and effectiveness within organisations and in business with partners etc. This shows that participants received the question quite differently. Most of these definitions were not official organisational definitions, but personal views, how things should be rather than how they are at the moment. With regards to compliance, participants believe that it is one of the primary drivers, a starting point for IG, but it's also about reputation, maintaining transparency so that citizens can trust the organisation. However participants are cautious about the information they give; there are also risk management issues around IG.

Participant interaction with 'Information Governance' representation:

What is depicted in these pictures tends to be dominated by roles (little people interacting) and "instruments", that is to say, the abstract information bearing artefacts such as a record, a contract, a publication. This focuses attention on the logic of the enterprise rather than on its processes. Processes are justified in terms of and respond to the objectives and constraints of the logics of the enterprise and these tend to remain implicit and unexamined. In the approach we are adopting here, we are attempting to get individuals who have responsibilities for states of affairs and for outcomes to examine these responsibilities rather than merely consider how to conform to procedures and processes.

An analysis of the backgrounds and interests of the participants at the work shop is given in Appendix I below It was clear from the interview and questionnaire material that had been generated in the project that, while there was a shared set of concepts associated with data protection, freedom of information, data sharing and security management, each context and individual tended to highlight one or other of these issues. Our objective in the presentation/discussion part of the workshop was to explore this selectivity, to establish whether a more balanced and inclusive concept of information governance could be established and whether this had potential for focussing the attention of an emerging community of interest and of practice.

The style of presentation is based on the use of pictures rather than words. The pictures are complex and this is handled by carefully orchestrated reveals and builds. At each stage, what is introduced is questioned.

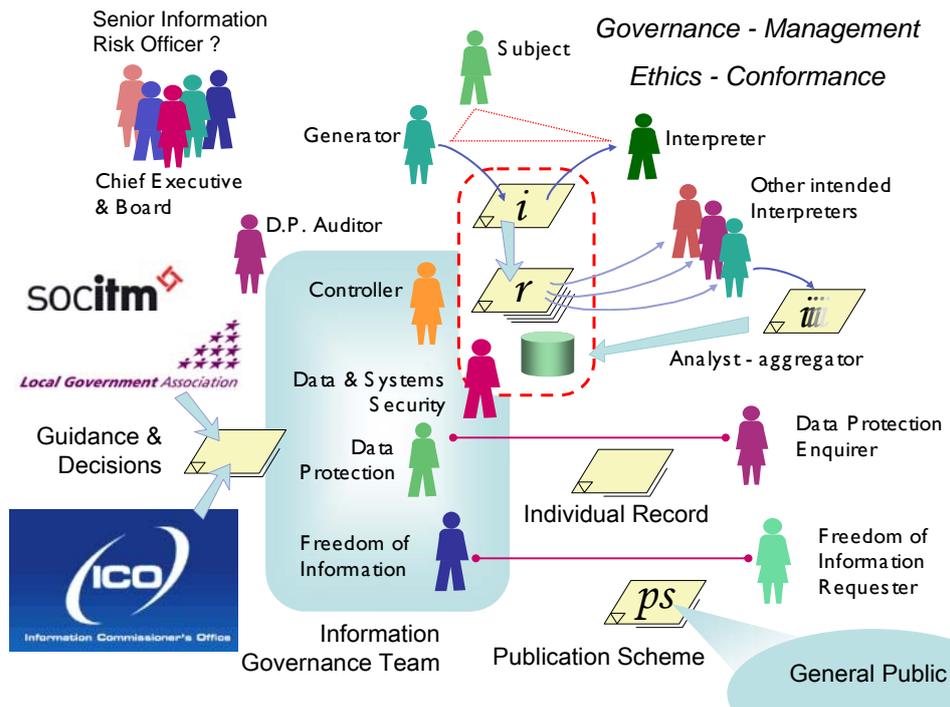


The original PowerPoint file is available at _____

The sequence of the first build was as follows:

1. Information is generated in a conversational relationship between a generator and an interpreter. (Consider examples of these roles and how they occur and are combined in different ways.)
2. Some information is about a person – the subject. Is surveillance material such information or is it just data?. What is the difference? Other information with legal rights and duties attached, is about the environment or about the operation of public agencies.
3. Sometimes the interpretation is some time after the generation so the information has to be recorded generating the responsibility of custodian.
4. Is custodianship simply a matter of security or is their more? (consent, purpose, fair use...)
5. Sometimes information is aggregated and processed generating new information.
6. There are some statutory responsibilities associated with information in the public sector: Data protection and freedom of information. These represent two additional “conversations”.
7. Data protection concerning records involves “facts” and “opinions”.
8. Freedom of information and the publication space.
9. Information can cross boundaries between agencies with data protection and freedom of information duties. How do they ensure that their respective versions of the same information correspond? Where is this an issue?

The second set of material looks at the roles and responsibilities for supervision of information governance in agencies.



This introduces the figures of the chief executive and the board and the agencies that provide information, guidance and external supervision and monitoring.

The final phase of the discussion was designed to raise the issues of conformance versus ethics and whether all risk could be safely reduced to risk of reputation in the same way as all value tends to be reduced to financial value or cost.

The picture, in the form presented here was the result of a series of discussions with individuals who are responsible for both policy and practice but it must be stressed that the final form they have taken is the result of a series of sessions and discussions.

3. Record of key issues raised by participants during workshop:

- *Q. Who looks after the record?* It is not the data controller but more likely the right manager who is in charge. The **custodianship can be a quite complicated** thing including data controller responsibilities.
- *Q. How can we articulate the core responsibility of the custodian?* He is someone who manages through the record's lifecycle. It's about how you capture and record information.
- *Q. Is the idea of custodianship different from service to service?* **It possibly is.** Besides the person who is responsible for management of information, there are other people who will be using the record around the organisation, taking bits of a record and combining it with other records. It might be a record, but it might also be a view of a record or view of information which isn't classified as a record. The consent of the subject of information should be given prior to sharing that information with third parties in the organisation for agreed purposes only.
- FOI is another responsibility for LAs and FRS which produces the Publication Scheme which is a statutory requirement. A Publication scheme is certain classes of information that an organisation has and should make available for the public while the disclosure log is the FOI disclosure log. Publication schemes are a statutory requirement and the disclosure log is good practice. Some services in organisations do not have disclosure logs due to time constraints. It is possible that disclosure logs will soon become a statutory requirement. With the disclosure logs it's not really possible to develop a dialogue with the enquirer who sends

the FOI request because everything gets published, while if done informally, a phone call can be made to discuss and clarify the requirements of the enquirer.

- *Q. Do custodians of partner organisations talk to each other?* Yes, they have to. **It is important what regime organisations are using to share information with their partners.** Partners usually have agreements to share information while those outside that partnership would normally use an FOI regime or other regime to get information. So, there is IG within the partnership because of the relationship between the partners, but there is a challenge when something goes in the FOI domain it's gone in the public domain which has various definitions and various elasticity levels. As soon as an organisation publishes something in the public domain then it loses its control.
- Some participants believe that **the development of IG is a cultural issue** where FOI has the role of leading local authorities in the knowledge economy.
- **Participants are not happy with the level of IG development in their organisations** and believe that more can be done to improve it. The guidance received from senior management contributes to fragmented IG development. **IG is not high on the list of priorities in LAs** and if any improvement is to be made, **IG should be seen as an efficiency driver, not only as a risk prevention mechanism.**
- How can the situation be improved? They need senior management support. Also, **RIEP could help to influence senior managers to better understand the importance of IG and support its development in their organisations.** But for this to happen, RIEP needs to know what message exactly it has to convey to the managers. In response from participants, this should be an explanation of where exactly IG sits in the value chain of the organisation and focus on the risks of ignoring it.
- Risk management is also an issue of IG. **There are both reputational and cost aspects of risk.** Risk is more noticeable and understood at a lower operational level, through day-to-day activities rather than in high level abstract terms of IG.
- **Organisations do not know the number of applications or forms in the organisation** which is part of the reason why they can't identify costs of IG. Another factor is that IG and IM are not clearly delimited which further increases the difficulty in measuring costs.
- The community of interest and practice who are involved in IG includes ECN, Records Management Society, E-mail discussion list (JIS), Audit commission etc. These are enforcers and enablers, there is a range of roles and responsibilities they have.
- FOI was introduced because of failure in providing information. People provide the information and respond to e-mails when they feel pressured, when there is a risk of punishment if they fail to do so.
- **There is no bonus scheme attached to FOI or performance targets that need to be achieved;** you act as a gatekeeper as you have to force the organisation to respond to something that they may not have wanted to be done. There is a cultural issue that FOI is forcing change in organisations.

Appendix I: Information Governance Workshop Feedback, Tables and Survey Participants

Workshop Feedback Summary

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
I found the workshop relevant and useful	-	-	-	8	4
The venue was comfortable and suitable for this event	1	-	-	7	4
I was given the opportunity to make a contribution	-	-	-	5	7
The workshop facilitated dialog between all participants	-	1	-	7	4
The workshop increased my knowledge of current teaching practice	-	2	3	4	1
Attending the workshop met my expectations	-	-	1	10	1

1. What were your expectations for attending the workshop?

'Views from other authorities'

'Exchange of ideas'

'Gaining more knowledge of practices in information governance in NE England'

'Exploration of IG in Local Authorities in NE'

'Gain an overview of our comparative information governance position'

'To find out more about the project'

2. In what ways were your expectations met?

'Some new ideas'

'Discussion + experiences of colleagues'

'Exchange of ideas'

'A full update was given.'

3. In what ways were they not met?

'General knowledge that is already in the public domain'

'The venue was absolutely freezing!'

'Would have liked more on information sharing'

'Had hoped for some feedback from interviews etc. but note that is to follow. Will be interested to hear what general picture is.'

Appendix J: Job Titles and Roles of People Interviewed and Questionnaire Summary Tables

Job Title	Role in the Organisation
Assistant Chief Solicitor	Manage team, SRO for data handling project
Constitutional and Administrative Solicitor	DP, FOI, information management; child care proceedings, school appeals, adult social care
Corporate Development Manager	Strategic planning, performance management, risk management, review and development of policies
Corporate Information Governance Officer	Responsible for strategic information governance, data protection, FOI, records management, information security
Corporate Initiatives Officer	Responsible for implementing and embedding corporate initiatives within a service area (Legal and Democratic)
Data Protection Officer	Data protection issues, training, guidance – both strategic and operational
Director of Corporate Resources	Responsible for all corporate services including information governance, data protection, FOI
Governance and Members Services Manager	Service the council's committees and meetings. Manage Registrar of Births, Marriages and Deaths, members development, corporate governance and information governance, risk management
Head of ICT	Technical deployment of information and communication technologies
Information Manager	Records management, information audits, retention schedules, file plans, FOI
Information Security Manager	Develop policy framework; give advice on all aspects of IGM, develop training and awareness
Litigation Manager and Information Rights Officer	Solicitor handling housing and social care cases; corporate responsibilities for FOI, DP, records management, RIPA, information security, information management
Performance Manager	Service planning for FRS; analysing all data that comes into the organisation to produce statistically based reports
Policy Officer Information Governance	DPA, FOI, compliance, publication scheme, information security, records management, data quality
Principal Ethical and Information Governance Officer	Responsible for elections, electoral registration, complaints, petitions, code of conduct, FOI, data subject access requests, EIR requests, advice on data protection, maintaining the constitution
Principal Information Management Officer	Responsible for FOI, DP, EIRS, information governance Manage 3 staff who deal with FOI, DP and records management
Records Management Team Leader	Manage information requests in relation to FOI, DP, EIRS Manage information governance Manage records management Control data protection
Senior Resources Officer	Manages Freedom of Information, records management and information management initiatives within the council as well as services for

	councillors and corporate initiatives within Legal and Democratic Services
Strategic Manager, Learning and Marketing, Libraries, Learning and Culture	Responsible for all information sharing within Libraries, Learning and Culture

Policy Framework

note a blank field indicates no response

Organisation	Confidentiality Policy	Data Protection Policy	Data quality Policy	Freedom of Information Policy	Information Sharing Policy	Information Security Policy	Information Management Policy	Records Management Policy	Internet and Email Usage
Cleveland FRS		x				x		x	
Darlington Borough Council	x	x	x	x		x	x	x	x
Durham County Council	x				x	x			
Durham and Darlington FRS		x		x		x			
Gateshead Council		x (draft)				x		x	
Hartlepool Borough Council		x						x	
Middlesbrough Council		x				x		x	X
Newcastle City Council	x	x		x		x	Info Gov Policy	x	
North Tyneside Council			x			x	Info Gov Policy	x	
Northumberland County Council		x	x			x	Records & Info Mgt Policy	x	
Northumberland FRS		x	x		x	x	Records & Info Mgt Policy	x	
Redcar and Cleveland			x		x	x			
Stockton		x				X		x	
South Tyneside Council			x	x	x	x		x	X
Sunderland City						x	x		

Council									
Tyne and Wear FRS				x	x	x			

Training

Organisation	Description of training for information governance and management
Cleveland FRS	Data protection – all new staff get induction training Reminder every year Sign form to say they understand their responsibilities about data protection
Darlington Borough Council	Awareness training at induction Employees guidelines on information security
Durham County Council	Councillors receive training Adult Services – two days of induction training which incorporates information management and confidentiality Induction for new staff – some training; not in depth but is being addressed Confidentiality agreement – staff sign this
Durham and Darlington FRS	Data protection training for all staff Training is focused on FOI and data protection
Gateshead Council	There are 20 online interactive training modules available to staff including data protection. These provide a scenario with questions. People have to complete the questions they will be marked correct or incorrect; if the answers staff give are wrong, the reason will be explained Staff who use the FOI tracking system can only use the system if they have had FOI training Training sessions have been given to head teachers, school governors, heads of services, directors. Briefing sessions have been held with staff
Hartlepool Borough Council	Training information is available on the intranet Information governance is covered in the induction of new starters to the organisation
Middlesbrough Council	Monthly awareness briefings, ad hoc bespoke sessions for service areas where needed, and as part of corporate induction. Councillors also receive training.
Newcastle City Council	Training has been organised for managers across the council Data protection training has occurred in targeted areas Planning to have information security training for all staff

	There will be mandatory training for Government Connect requirements
North Tyneside Council	Online training is available through the learning pool Training is delivered around information security, confidentiality, FOI, data protection There is an introduction to information governance. This is staff induction level 1 with a test at the end Data protection training is delivered to staff Elected members have received training
Northumberland County Council	Information security is part of induction Training has been delivered covering information security, confidentiality, FOI, data protection
Northumberland FRS	Annual workshops that cover data quality and data security
Redcar and Cleveland	FOI and DP training every two months
Stockton	Awareness training at induction Computer based awareness is provided for information security management, data protection, freedom of information – all employees go through this Employee guidelines on information security Employees have to sign a statement of understanding which must be completed before access is given to the corporate network Specific training in areas such as data protection is provided when needed
South Tyneside Council	Electronic e-learning package Training packages in data protection, FOI Training is supported by online materials New starters have to read and understand information security policies before they can have access to a computer There is a managers training course in information governance, including risk management, internal audit and records management
Sunderland City Council	Data protection officer provides training and guidance Information governance is part of the induction pack for new staff An introduction to information governance is available to all staff Data protection training is targeted at particular services Councillors receive training around FOI Training is interactive and involves people working through scenarios
Tyne and Wear FRS	All staff get FOI refresher training

	<p>All new starters receive induction that includes FOI Data protection training is targeted at staff handling sensitive information There is a range of training courses available</p>
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FOI and Subject Access Requests

note a blank field indicates no response

Organisation	FOI Requests				Subject Access Request			
	2006	2007	2008	2009	2006	2007	2008	2009
Cleveland FRS								
Darlington Borough Council		240		204 (Oct 2008 – Mar 2009)				
Durham County Council			447	660+				
Durham and Darlington FRS								
Gateshead Council		251	383	597				
Hartlepool Borough Council			228	459				
Middlesbrough Council	255	287	420	664	27	53	28	43
Newcastle City Council		352	500	740				
North Tyneside Council	290	357	494	590	35	28	53	60
Northumberland County Council		298		670				
Northumberland FRS								
Redcar and Cleveland		221		400+				
Stockton Borough Council			337	355				
South Tyneside Council		268	437	576				
Sunderland City Council		394	473	704				
Tyne and Wear FRS								