



Audit and Governance Committee

Agenda Item

26 January 2023

14

Title:	Information Governance Update
Report of:	Audit & Governance Committee
Lead Member:	Cllr Edna Murphy – Lead Member for Governance
Public Report:	Yes
Key Decision:	No
Voting Arrangements:	N/A

Recommendations:

A	The Audit & Governance Committee is recommended to consider and note the contents of this report.
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Strategic Objective(s):

The proposals within this report fit under the following strategic objective(s):

	Achieving ambitious skills and employment opportunities
	Achieving good growth
	Increased connectivity
	Enabling resilient communities
	Achieving Best Value and High Performance

1. Purpose

1.1	To update the Audit & Governance Committee on the current position with regards to Information Governance and to provide data related to Freedom of Information requests, Environmental Information requests, data breaches and state 2 complaints for the period 01 January 2023 – 31 December 2023.
1.2	This report outlines the key Information Governance activities undertaken by the Combined Authority during this period and provides assurances that the CA across all its work areas and functions remains compliant with its legal obligations and follows good practice.

2. Proposal

2.1	To provide the Committee with an update on the current position Information Governance and to provide data related to Freedom of Information requests, Environmental Information requests, data
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	breaches and state 2 complaints for the period 01 January 2023 – 31 December 2023 and request comments from the Committee.
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3. Background	
3.1	The Committee agreed that yearly reports should be presented on the number of data breaches and how they were handled, number of complaints received, timings of FOI's and cases referred to the ICO.
3.2	<p><i>Freedom of Information (FOI)/Environmental Regulations (EIR) requests:</i></p> <p>79 x FOIs received from 01/01/23 – 31/12/23. 3 x late responses – these were all complex requests. Two of the requests asked for copies of emails. 4 x FOI reviews received. 0 x ICO reviews received.</p> <p>Subjects received:</p> <p>Business – UKSPF expenditure, UK shared prosperity fund, LEP funding, companies who have received grants. Transport – timetabling, bus services, complaints, bus contracts, bus stops, VOI, electric scooter trial, electric buses, DRT, LTP, EV charging, LEVI, bus passes, rail franchise, bid information, public transport infrastructure that CPCA is responsible for Skills – bootcamp providers HR – zero contracts, political restrictive posts, how many staff, T level placements Climate change – climate change action scorecards, GNR training Mayor's office – mayoral precept, mayoral allowance, mayoral office staff numbers Mayor – costs regarding investigation, information about the investigation, mayor's 6 point action plan Finance – inspection of accounts, financial documents, unpaid invoices, funding gap, all expenditure Other – cost of coronation, media intelligence service, IT equipment and software</p>
3.3	<p><i>Environmental Information Regulations (EIR)</i></p> <p>0 x EIRs received from 01/01/23 – 31/12/23 0 x late responses 0 x EIRs reviews 0 x ICO reviews</p>
3.4	<p><i>Data Breaches</i></p> <p>9 data breaches occurred between 01 January 2023 – 31 December 2023. These were all low risks and not reportable to the ICO. Spreadsheet containing personal information sent to wrong member of staff, lost laptop, lost mobile phones, personal email address shown in the To box of an email, blank master form was not blank – it contained personal information of a member of staff, letter sent to wrong person. 0 breaches were reportable to the ICO.</p>
3.5	<p><i>Corporate Complaints</i></p> <p>2 Level 2 complaints have been received, logged and responded to by the Monitoring Officer.</p>

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3.6	<p><i>Information Risk Group Meeting</i></p> <p>An Information Risk Group meeting is held monthly. Attendees are Data Protection Officer, Director of Resources and Performance, Senior Information Risk Officer/Monitoring Officer, Head of Digital Services at SOCITM, PMO Manager, Programme Co-ordinator, Finance rep</p> <p>Standard agenda items are Data Protection update report, FOI/ EIR/SAR/Complaints update, SIRO update, Information Security update. Action notes are taken at each meeting.</p>
3.7	<p><i>Other Work</i></p> <ul style="list-style-type: none"> • Cyber Security/Data Protection training to be rolled out to all members. This is the training which was recently given to the members of the Audit & Governance Committee. • Sharepoint Redesign Project - storage of digital documents being moved to a team share site to make data more secure. • Storage of physical documents to an off-site storage location. • Regularly communications to all staff regarding confidentiality of documents. • Logging of all complaints. At present, only Level 2 complaints are logged.

4. Appendices

4.1	None
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5. Implications

Financial Implications

5.1	There are no financial implications.
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Legal Implications

6.1	The Combined authority is under a duty to ensure that it processes, holds and releases any information in line with a range of legislative provisions including General Data Protection Regulation, Data Protection Act 2018, Freedom of Information Act, Privacy and Electronic Communications Regulations and the Human Rights Act.
6.2	The CA also has a duty to publish information wherever possible, and in accordance with its own publication scheme. However, regard should be had to not publishing any information of a confidential or sensitive nature, in accordance with the relevant legislation and public interest tests.
6.3	Ineffective information governance arrangements have a number of inherent risks in the context of organisational management, the use of resources and service delivery. Addressing any issues raised in this report is a means of mitigating such potential risks and maximising opportunities for effective information management and use to support decision making and service delivery.

Public Health Implications

7.1	There are no public health implications.
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Environmental & Climate Change Implications	
8.1	There are no environmental and climate change implications.
Other Significant Implications	
9.1	None
Background Papers	
10.1	None