

Report To: Corporate Governance Committee

Date of Meeting: 25 January, 2017

Lead Member / Officer: Councillor Eryl Williams

Report Author: Karen Evans, Head of Education and Children's Services /
Geraint Davies, Principal Education Manager

Title: **Information Management and IT Management in schools**

1. What is the report about?

1.1 To provide an update on the work undertaken in response to the report shared on September 28th, 2016 which provided details on Information Management and IT Management in schools that received a "Low" Assurance rating.

2. What is the reason for making this report?

2.1 The report is to provide information on how the Council is implementing improvements in the way schools are managing information since the issue of the Internal Audit report that gave a Low Assurance. The Corporate Governance Committee requested a progress report to ensure that issues are being addressed. This is the first progress report.

3. What are the Recommendations?

3.1 The Committee to review progress and decide whether it requires a further progress report.

4. Report details

4.1 The internal Audit Report on September 9th, 2016 highlighted a number of areas that required improvements in the areas of Information Management and Information Technology in Schools.

4.2 The main issues raised in the audit report were as follows -

- 44% of schools did not issue a Fair processing Notice
- 18 schools did not have a Records Management Policy
- Some schools did not have a Data Protection Policy
- Most schools do not have a Social Media Policy
- 50% of schools are not sure how to deal with Subject Access Requests
- Passwords are not secure enough
- 36% of schools have no processes for sharing personal information
- Schools need to make further Cloud Security Considerations
- 6 schools do not have a CCTV policy.

4.3 Improvements have been made through the implementation of a Statutory Audit Tool that all schools complete. This tool provides the school and Local Authority with information on the levels of assurance in different areas of

school management. Information Management is one area of the School Statutory Audit Tool.

- 4.4 3 audit areas have been prioritised and have been developed into an online reporting tool that collates all the information so that support can be provided appropriately. Information Management was one of these areas. Support can then be targeted in different areas, clusters or types of schools and be appropriate in answering the needs identified.
- 4.5 The results of the audit completed by schools were as follows. 9 schools are yet to respond and have been contacted personally requesting completing of the audit. Failure to respond will result in escalation of the request to the Chair of the Governing Body in the first instance and then a further request from the Head of Service.

	<i>Description of Judgement</i>
Green	<i>Good / Excellent quality</i>
Yellow	<i>Acceptable Quality</i>
Orange	<i>Poor Quality</i>
Red	<i>Priority for improvements</i>

Questions Asked	G	Y	O	R
<i>Does the school have a Data protection Policy?</i>	91%	0%	0%	9%
<i>Do you notify the Information Commissioners Office annually?</i>	73%	0%	0%	27%
<i>Do you have an individual with responsibility for Data protection?</i>	94%	0%	0%	6%
<i>Do you have a system in place for securely disposing of confidential waste?</i>	93%	0%	0%	7%
<i>How effective is your training programme?</i>	7%	25%	52%	16%
<i>How effective is your Fair Processing Notice?</i>	34%	27%	23%	16%
<i>Do you have a CCTV policy and clear signage?</i>	55%	23%	9%	13%
<i>How effective is your handling of Subject Access Requests?</i>	23%	32%	30%	15%
<i>How secure are your databases that hold personal information?</i>	62%	32%	0%	6%
<i>Do you lock cupboards, filing cabinets that hold personal information?</i>	41%	36%	16%	7%
<i>Do you have a clear desk policy?</i>	7%	32%	27%	34%
<i>Do you have a Records Management Policy</i>	66%	0%	0%	34%
<i>Do you have an Information Breach procedure?</i>	31%	0%	0%	69%

- 4.6 The audit process was clear in highlighting targeted support in certain areas and with certain schools. The following steps have been taken to respond to and support schools in their Management of Information.

- All schools have been sent an updated Data protection Policy to adopt.
- All schools are now registered with the ICO.

- Schools have all been instructed to identify an individual with responsibility for Data protection.
- All schools understand and have access to the DCC Confidential Waste contract.
- We are in the process of exploring the possibility of adopting an online training process on Data Management.
- The Information Commissioners Office will deliver training to Head Teachers on February 9th, 2017.
- The Information Commissioners Office deliver training to Governors annually.
- Following a review due to regulatory changes a new version of the Fair Processing Notice has been issued to all schools shortly.
- A new bilingual CCTV policy has been sent to all schools for adoption by the Governing Body.
- Training will be provided on handling Subject Access requests.
- Schools have been instructed that passwords need to be complex. Fact sheet on complex passwords and Data Security sent.
- Data Controllers in all schools have a responsibility to ensure all cabinets are locked if they hold sensitive information.
- Information on Clear Desk Policy to be sent to schools and strongly advised to adopt it.
- Records Management Policy sent to all schools to adopt.
- Information security Breach procedure sent to all schools to follow.
- New Social Media Policy in consultation with the trade unions and will be sent following agreement.
- Guidance on iCloud security provided for all schools.

4.7 Responsibility also lies with the Data Controller in each school to ensure policies and procedures are followed and during the spring term 10% of schools will be visited to ensure the accuracy of the Information provided in the audit.

4.8 Although there are still some actions outstanding, the key issues have been addressed, such as ensuring policies and procedures for effective Information Management are available for schools to use. This area of work will be audited annually and forms part of the Induction process for new Head Teachers.

4.9 The content of the Information management Audit will be reviewed in July, 2017 and sent out to schools again in September 2017. Both sets of results will be compared and an expectation that improvements highlighted have been made.

5. How does the decision contribute to the Corporate Priorities?

Not applicable - there is no decision required with this report.

6. What will it cost and how will it affect other services?

Not applicable - there is no decision required with this report.

7. **What are the main conclusions of the Well-being Impact Assessment? The completed Well-being Impact Assessment report can be downloaded from the [website](#) and should be attached as an appendix to the report**

Not applicable - there is no decision required with this report.

8. **What consultations have been carried out with Scrutiny and others?**

Not applicable - there is no decision required with this report.

9. **Chief Finance Officer Statement**

Not applicable - there is no decision required with this report.

10. **What risks are there and is there anything we can do to reduce them?**

Section notes: For guidance on risk assessments contact the Corporate Improvement Manager (or the Head of Business Planning and Performance).

11. **Power to make the Decision**

Not applicable - there is no decision required with this report.