

Paper No. SET/35/17	
	Tick One ✓
For discussion	
For approval	
For information/noting	✓

Date of Trust Board Meeting: 22 June 2017

Confidential or Public Agenda: Public

Agenda item: Annual Report on Information Governance 2016/17

1.0 Introduction

The attached paper provides a report on the Trust's Information Governance arrangements from the 1 April 2016 to 31 March 2017.

2.0 Background information

The report is based on the criteria within the Information Management (IM) Controls Assurance Standard (CAS) issued by the Department of Health (DoH [formerly DHSSPS]) in September 2013. Self-assessment confirmed an overall score of 81% in the IM CAS, 2016/2017. This score falls within the substantive compliance range set by the DoH.

The purpose of the IM CAS is to ensure that all Health & Social Care (HSC) bodies have, *"A systematic and planned approach to Governance of Information is in place within the organisation that ensures the organisation can maintain information in a manner that effectively services its needs and those of its stakeholders in line with appropriate legislation"*. This standard, along with the Risk Management, Governance and Financial Management Standards, provides the basis for statutory reporting for the Governance Statement (previously set out by the Department of Finance and Personnel in DAO (DFP) 05/01).

Information Governance (IG) should be recognised within an organisation as an integral part of good practice and embedded in the Trust's culture. It forms a vital part of the Trust's practices and business plans. It should not be viewed or practiced as a separate programme. As an integral corporate function, IG becomes the business of everyone in the organisation.

3.0 Brief summary of key points contained in the paper/s

The report outlines the assurance process and criteria which must be assessed to achieve compliance with the DoH IM CAS. This underpins the DoH, Information Management Framework, highlights progress to date in the implementation of the Framework and identifies the Trust's priorities for 2017/2018. The Trust achieved an overall score of 81% in the IM CAS, 2016/2017. This score falls within the

substantive compliance range set by the DoH. It also outlines the

- IG programme of work for 2016/2017;
- activity levels of compliance in managing Freedom of Information (FOI) (Trust-wide) and Subject Access Requests (SAR) processed under the Data Protection Act, 1998; and
- FOI & SAR activity and compliance for 2014/2015 v 2015/2016
- Information Governance Priorities for 2017/2018.

Overall, totals of FOIs and SARs for 2016/2017 (3089) saw a decrease of 1.5% activity compared with 2015/2016 (3137).

The Trust did not report any data breaches to the ICO during 2016/2017. The Trust is working with the Public Health Agency (PHA) in respect to a single email incident that occurred in the PHA involving a number of patient laboratory results, some of which related to the Trust. The incident was contained, and the recipient of the email has confirmed that the email was not opened and that it was destroyed immediately. The outcome of the PHA and ICO investigation is awaited.

The recommendations emanating from the ICO Undertaking (Feb 2016) were completed and the ICO confirmed its satisfaction of the Trust's action on 24 October 2016.

The Information Governance Steering Committee (IGSC) approved this Annual Report on Information Governance as at 31 March 2016 via email consultation, 31 May 2016 for presentation to the Trust Board on 22 June 2017.

4.0 Recommendation/s for the Trust Board (please state if the paper/s is for information/noting or for approval by Board members)

Members are asked to note, for information, the content of this report.

Lead Director: Mrs Myra Weir

Designation: Director Human Resources & Corporate Affairs

Date: 12 June 2017