

OFFICE OF THE POLICE AND CRIME COMMISSIONER	
LEAD CHIEF OFFICER:	ACC Edwards / ACO-R Stephens
TITLE:	Information Services and Information Governance Out-turn Report 2019/20
DATE:	3 June 2020
TIMING:	Annual Report
PURPOSE:	For monitoring
1.	<u>RECOMMENDATION</u>
1.1	This report presents the first annual report of the Information Management and Governance services for the financial year 2019/20.
2.	<u>INTRODUCTION & BACKGROUND</u>
2.1	During 2018 the force reviewed the Data Management Department and implemented a revised structure which commenced in October 2018. This was in response to the introduction of GDPR on 25 May 2018 which necessitated an independence between the decision making for disclosure with the Data Protection Officer (DPO).
2.2	The structure was developed taking account demand, implementation of new systems and processes, centralisation of data management functions as well as the introduction of General Data Protection Regulation (GDPR).
2.3	The review concluded that the department be divided into two elements; the first being Information Governance which now resides under ACOR Stephens as Senior Information Risk Owner (SIRO) and the second being Information Services which continues to be managed by the Head of Criminal Justice & Data Management.
2.4	The new structure is provided at Appendix 1 and has been fully operational during the financial year.
2.5	There has also been collaborative work undertaken with the South Wales Police data management team to establish best practice which will support the work of the joint DPO who commenced in March 2020.
2.6	This report presents the key performance areas for both Information Governance and Information Services. These are monitored throughout the year by the Information Assurance Board.
3.	<u>ISSUES FOR CONSIDERATION</u>
3.1	The reporting arrangements have been operational throughout the financial year having been established during 2018/19.
3.2	<i>INFORMATION SERVICES - DISCLOSURES</i>
3.2.1	Appendix 2 shows the breakdown month on month for the key performance measures for Information Services. The key performance areas are as follows:

	<ul style="list-style-type: none"> • Subject Access Requests • Freedom of Information (FOI) • Children and Family Court Advisory and Support Service (CAFCASS) • Road Traffic Collision (RTC) Disclosure • Criminal Injury Compensation Authority (CICA) • Court Orders • Data Protection (S29/S35) • Legal Aid • Common Law Police Disclosures <ul style="list-style-type: none"> ○ Notifications ○ Disclosures • Safeguarding
3.2.2	Performance compliance is good in these areas with responses within the required time periods. Where these need to be developed further there is an action plan to address data capture and performance.
3.2.3	As this team manages all disclosures the treat FOI requests in the same manner and do not categorised the requests but deal with each on a case by case basis. The Disclosure Log enables information to be published and is searchable and complies with the Publication Act. The FOI requests process is being developed for 2020/21 with the introduction of the Single Online Home Portal in line with all disclosures and improve the public experience through a single request route.
3.3	INFORMATION GOVERNANCE
3.3.1	The Information Governance team oversee the compliance with information management targets and also advise on areas of risk to co-ordinate the identification, assessment and response.
a	GDPR
	<p>The introduction of GDPR has required the organisation to enhance reporting arrangements in relation to the following:</p> <p><i>Data Breaches.</i></p> <p>Since the introduction of GDPR in May 2018 there have been ninety five reported data breaches across the force. These are profiled as 23 (2018), 50 (2019), 22 (2020 to date) as shown in Appendix 3 and summarised below which are RAG rated by the DPO.</p> <p>The breaches have been assessed for impact as follows:</p> <p>GREEN = 50 (Impact on data subject is minimal)</p> <p>AMBER = 32 (Subject suffers some damage or distress)</p> <p>RED = 6 (Impact on data subject is significant)</p> <p>No Breach = 7 (Following assessment it was deemed to that there was no breach)</p>

	<p>The force has referred eleven breaches to the Information Commissioners Office (ICO) since May 2018, none so far in 2020. Ten of the breaches were assessed and closed with suitable advice given. The remaining breach relates to a national forensics service which is being addressed on behalf of the force through the NPCC lead.</p> <p>The main reasons for data breaches recorded is the reporting of personal data and disclosure of sensitive information. Appropriate action plans are developed with the individual, department and where applicable, professional standards department.</p> <p>Subject Rights Requests.</p> <p>The GDPR removed the charge in relation to subject access requests (SARs) and the force initially saw an increase in demand from individuals which has now levelled.</p> <p>Right to be Forgotten.</p> <p>Since the implementation of GDPR there have been two requests for erasure of police records, however both were wholly refused in accordance with Article 48(3) as there remained a policing purpose to retain these records.</p> <p>Information Asset Register.</p> <p>As part of GDPR record of processing activities (Article 30) the Information Asset Register regime has been established in the Information Governance team and they are working departments to document all records that are maintained and data that is held. This is undertaken through data mapping and enables the force to identify the controllers processing activities and identifies and captures processor relationships. Controller and processor relationships are also embedded in the contract and procurement process, with data sharing agreements established.</p> <p>Since the introduction of GDPR, Gwent Police compliance has been subject to internal audit and found to be operating effectively.</p>
b	RECORDS MANAGEMENT
	<p>The Records and Compliance team provide advice and support to ensure that the organisation is compliant with Data Protection legislation. The programmes undertaken in 2019/20 are summarised below:</p> <ul style="list-style-type: none"> • Review of Interview Tapes /Videos and DVD's – 165k interview tapes have been reviewed with 27k disposed f in line with the Management of Police Information (MOPI). 45k MOPI tapes and 23k MOPI 2 tapes will be relocated to a long terms storage facility in Maindee Police Station. Digitisation has been placed on hold for the time being due to high costs this will be reviewed again in due course. • Custody Images – There are 127k custody images in digital storage which will be reviewed in line with MOPI. • Decanting of HQ - Central registry data has all been reviewed in line with the retention policy. All equipment has been transferred to relevant owners, who will review and advise on retention.

- **MOPI** – The Minerva RRD Specification has been finalised and will be incorporated to Niche which will produce a module to manage the retention of records.
The NSPIS Custody Records contained with Sharepoint have now been MOPI graded and are ready for deletion, determined by their retention period. This will take place prior to the implementation of O365.
- **Office 365 Implementation** – Work is progressing to develop policies in respect of Data Governance prior to the implementation of O365 across the organisation. The 12 month retention period for emails and skype conversation will be implemented at the end of April. A communication plan commenced in December 2019 and staff should be well prepared for the new policy.
- **Data Compliance - Data Mapping** – The force has been mapping its data to identify, assess and determine its retention and how it is stored and used. The work has been undertaken throughout the year and the activities planned for Quarter 4 is at 27.12% complete. Quarter 1, 2 and 3 are 95% complete.
Through this process we have identified the requirement to renew Information Sharing Agreements which is summarised below.

Information Sharing Agreements (last 12 months)

Agreement Type	Completed	In Progress
Information Sharing Protocols	7	13
Data Processing Agreements	4	0
Memo of Understanding	3	0
Data Disclosure Agreement	0	1

4. COLLABORATION

4.1 The force agreed to a joint DPO role with South Wales Police to coincide with the implementation of GDPR. The successful candidate for the joint role started in March 2020 and is undertaking a baseline assessment of both forces systems, processes and compliance.
The DPO advises the SIROs of both forces over many common areas as a result of the system and service alignment that has been developed in collaboration across the forces.
The introduction of the National Enabling Programme provides O365 Sharepoint and a corporate document structure is being implemented in line with the National Police Chief Council (NPCC) guidance.
This will enable the two forces to share documentation in a more accessible manner and improve the efficiency of our collaborative teams.


4.2 Steady progress on collaborative Information Management Project with South Wales Police has been made. The aim of the project is to align processes to maximise the benefits of the system alignment that has already taken place across Niche and FIRMS. These are joint systems and therefore the manner in which the information management functions access this data in responding to disclosure requests should be identical. Such alignment enables interoperability across the functions, providing resilience to each. To date this has seen an alignment of processes (considered best practice) for Gwent and South Wales:

- Firearms
- MOPI

	<ul style="list-style-type: none"> • Data Protection.
5.	<u>NEXT STEPS</u>
5.1	The force will continue to report its performance through the Information Assurance Board.
5.2	The Joint DPO will complete the baseline assessment and develop an action plan to address areas requiring development and support the progression of best practice alignment.
5.3	COVID-19 has presented significant changes to the way in which the Disclosure Team work. Staff are currently working from home and this has delayed our response to postal requests. To mitigate a backlog, one member of staff is required to attend HQ once a week and scan the post so that this can be worked on electronically. This primarily affects the RTC disclosure work.
5.4	To complete the Information Sharing Agreements to ensure compliance.
6.	<u>FINANCIAL CONSIDERATIONS</u>
6.1	The new structure introduced in October 2018 provides the service at a total cost of £1,184,525 per annum.
7.	<u>PERSONNEL CONSIDERATIONS</u>
7.1	Training and support is provided to staff to ensure they are able to meet the obligations of their role.
8.	<u>LEGAL IMPLICATIONS</u>
8.1	There are no legal implications at this stage.
9.	<u>EQUALITIES AND HUMAN RIGHTS CONSIDERATIONS</u>
9.1	This project/proposal has been considered against the general duty to promote equality, as stipulated under the Single Equality Scheme and has been assessed not to discriminate against any particular group.
9.2	In preparing this report, consideration has been given to requirements of the Articles contained in the European Convention on Human Rights and the Human Rights Act 1998.
10.	<u>RISK</u>
10.1	There are financial implications to the force not meeting its deadlines, however there are no current concerns based on performance.
10.2	The introduction of a single consistent Disclosure Team has improved the quality and consistency of disclosure by the force.
11.	<u>PUBLIC INTEREST</u>
11.1	There are no public interest matters.
12.	<u>CONTACT OFFICER</u>
12.1	David Broadway – Head of CJD & Information Services

13.	<u>ANNEXES</u>
13.1	Appendix 1 – Information Management New Structure
13.2	Appendix 2 – Information Services Performance
13.3	Appendix 3 – Data Breach Performance

For OPCC use only

<p>Office of the Chief Constable</p> <p>I confirm that information management report has been discussed and approved at a formal Chief Officers' meeting.</p> <p>It is now forwarded to the OPCC for approval / information / monitoring purposes.</p>
<p>Signature: </p>
<p>Date: 11/05/2020</p>

<p>Police and Crime Commissioner for Gwent</p> <p>I confirm that I have considered whether or not I have any personal or prejudicial interest in this matter and take the proposed decision in compliance with the Code of Conduct.</p> <p>The above request has my approval.</p>
<p>Signature:</p>
<p>Date:</p>