Information Governance Management Framework

Wiltshire Council
Where everybody matters

Document Control

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Associated Documentation

Policies
Listed within policy

Legal framework
Listed within policy

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1. Introduction

This Information Governance Framework document aims to capture Wiltshire Council's (the council's) approach to information governance. Information Governance (IG) requires clear and effective management and accountability structures, governance processes, documented policies and procedures, trained staff and adequate resources. This Framework will be approved by the council's Corporate Leadership Team and reviewed annually.

This IG Framework must be read in conjunction with the IG Policy.

IG includes the following:

- Data Protection Act 1998
- Human Rights Act 1998
- Children Act 2004
- Freedom of Information Act 2000
- Caldicott Guardian Action Plan
- Public Records Act 1958
- Other Records Management standards and legislation
- Mental Capacity Act 2005
- Common Law Duty of Confidentiality
- Confidentiality NHS Code of Practice (for social care and health)
- International information security standard: ISO/IEC 27001: 2013
- Other Information Security standards
- Health and Social Care Information Centre Information Governance Toolkit vs. 13, for Local Authorities
- Computer Misuse Act 1990
- Copyright, Designs and Patents Act 1988

The council must complete the NHS Information Governance Toolkit (IGT) annually. There requirements of the IGT cover four main areas of information governance:

- Information Governance Management
- Confidentiality and Data Protection Assurance
- Information Security Assurance
- Care Records Assurance

2. Strategic Objectives

The aim of this Framework is to set out how the Council will effectively manage Information Governance, as a key component of Corporate Governance. We intend to

- Establish robust information governance processes that conform to the IGT and which are compliant with the legal framework, regulations and with the council's policies;

- Establish, implement and maintain policies for the effective use and management of information, including the quality of that information;

- Ensure that clear information is provided for service users, families and carers about how their personal information is recorded, handled, stored and shared;

- Work with partner organisations such as Health and Wiltshire Police to ensure that we use information on behalf of individuals to secure good, integrated services and care for them;

- Provide clear training, advice and guidance to staff members to ensure that they understand and apply the principles of information governance to their working practice;

- Develop, and continually improve, an IG culture through increasing awareness;

- Minimise the risk of breaches of personal data by ensuring that all staff members have received ongoing information governance training and that we work securely;

- Develop and implement IG action plans to ensure continued improvement, following IGT submission and audit.

3. Roles and Responsibilities

Council Corporate Directors

The Corporate Directors have overall responsibility for Information Governance within the council. As such, they are responsible for the management of IG and for ensuring appropriate mechanisms are in place to support service delivery and continuity. IG provides a framework to ensure information is used appropriately and is held securely. The Corporate Directors will ensure that the IG Board is established with terms of reference to enable the council to meet the strategic objectives in relation to IG.

4. Policies and procedures

These include:

- Information Governance policy;
- Data Protection and Subject Access Policy;
- Information Security Policy;
- Records Management Policy;
- Corporate Governance Policy;
- Freedom of Information Act and Environmental Information Regulations Policy;
- Information Incident Management Policy.

5. Governance Framework

IG is cascaded throughout the organisation by ensuring that there is a requirement clearly set out in the staff contracts, contracts with third parties, IAO arrangements and that each member of staff understands his or her own role in relation to IG.

6. Senior Information Risk Owner (SIRO)

The Senior Information Risk Owner (SIRO) role is to be held by a Corporate Director. The SIRO role is accountable to the council for ensuring that information risk is managed within the council. The SIRO will identify and manage the information risks to the council and with its partners. This includes oversight of the organisation's information security incident reporting and response arrangements. To do this, the SIRO will identify IAOs and IALs. The SIRO will ensure that there is an Information Asset Register and a risk assessment process adopted for the council

7. Caldicott Guardians

The Caldicott Guardians are the senior social care professionals who are responsible for protecting the confidentiality of service-user information and enabling appropriate information sharing. Acting as the 'conscience' of an organisation, the Caldicott Guardian actively supports work to enable information sharing where it is appropriate to share, and will advise on options for lawful and ethical processing of information. The Caldicott Guardian will also have a strategic role which involves representing and championing IG requirements and issues at executive team level and where appropriate, at a range of levels within the organisation's overall governance framework.

8. IG Manager

The IG Manager will be responsible for ensuring that the following are in place:

- Developing and maintaining the IGT and reporting to the SIRO;

- Ensuring that there is top level awareness and support for IG resourcing and implementation of improvements within the council by effective working with the SIRO and the Caldicott Guardians;

- Establishing working groups, if necessary, to co-ordinate the activities of staff given IG responsibilities and progress initiatives;

- Ensuring annual assessments and audits of IG and other related policies are carried out, documented and reported;

- Data Protection, Freedom of Information and the Environmental information Regulations are implemented and information requests managed in a compliant manner;

- Ensuring appropriate and effective records management in line with council standards and guidance;

- Ensuring that the annual assessment and improvement plans are prepared for approval by the SIRO and Governing Body in a timely manner;

- Ensuring that the approach to information handling is communicated to all staff and made available to the public;

- Ensuring that appropriate training is made available to staff and completed as necessary to support their duties. For Local Authorities this will need to be in line with requirements of the IGT [currently 95% staff members];

- Liaising with other committees, working groups and programme boards to promote and integrate IG standards;

- Monitoring information handling activities to ensure compliance with law and guidance;

- Providing a focal point for the resolution and/or discussion of IG issues.

9. Other Key IG professionals

These include:

- Freedom of Information Lead;

- Data Protection Lead;

- Information Security Lead;

- Records Management Lead.

10. Information Asset Owners and Leads

The SIRO has established a network of Information Asset Owners and Leads (IAOs and IALs) to carry out information asset logging, risk assessment, mitigation and regular reports to enable assurance to the organisation.

IAOs and IALs carry out Privacy Impact Assessments, put in place Information Sharing Protocols, determine access to (with the involvement of the Caldicott Guardian where appropriate) the information asset, check that all those accessing the asset have received the right training to do so reliably, operate with the change control policy of the council, carry out data flow mapping, manage the information in accordance with the records management policy, plus other important activities.

11. All Staff

All staff, whether permanent, temporary, contracted or contractors are responsible for ensuring that they are aware of their responsibilities in respect of IG.

12. Training & Guidance

There are clear guidelines to ensure that staff understand what is expected of them in terms of managing information on behalf of the council, as well as the consequences of failing to follow policies and procedures.

Training is available for all staff, including those with specialist IG roles.

13. Incident Management

There are documented procedures for guiding staff on the management of information governance incidents. These are readily available. These include reference to the HSCIC Checklist 'Guidance for the Reporting, Managing and Investigating IG and Cyber Security Incidents Requiring Investigation' and PSN reporting requirements.

14. Resources

The key staff required, as outlined above, have roles and responsibilities clearly articulated. There is a dedicated budget and high level plan for expenditure, including outsourcing to external resources or contractors.

15. Appendix one - Named roles:

- The Senior Information Risk Owner (SIRO) is Dr Carlton Brand;
- The Caldicott Guardian for Child Social Care Services is Lynda Cox;
- The Caldicott Guardian for Adult Social Care Services is Iain Kirby.