

# Information Governance Framework Draft

Item	Details
Author:	Interim Information Governance Lawyer
Owner:	Director for Corporate Services
Version No:	1.0
Date:	16 <sup>th</sup> of August 2023

## Approvals

Designation	Title	Date of Approval	Version
SLT	SLT		
Council	Council		

## Distribution:

Title	Date of Issue	Version
SLT		
Council		
MIKE		

## Contents

- 1 Introduction
- 2 Accountability and Responsibility
- 3 Policy Structure
- 4 Corporate Operational Procedures
- 5 Security of Processing
- 6 New Systems and Data Sharing
- 7 Training and Support
- 8 Transparency and Individual Rights
- 9 Reporting
- 10 Records Management
- 11 Review

# 1 Introduction

## Information Governance Framework

The fair and lawful processing of information is essential to maintain trust between The Council and the citizens and others it serves.

Accordingly, the Council recognises and fully endorses its obligations as set out in The UK General Data Protection Regulation, The Data Protection Act 2018, The Privacy and Electronic Communication Regulations, The Freedom of Information Act 2000, The Environmental Information Regulations 2004 and The Public Records Act. The Council will follow the supplementary guidance in the codes of practice supporting same.

This framework sets out the Council's key strategic policies and procedures in place and operational structure.

# 2 Accountability and Responsibility

In order, to implement its objectives the Council has established the following:

Ultimate Responsibility will rest with the Cabinet who will receive regular reports as and when required and, in any event, at least once a year.

Practical day to day implementation will be achieved through the following key officers:

- Directors who have an obligation to ensure compliance with data protection and other information legislation in their service areas,
- The Senior Information Risk Owner,
- The Information Governance Lead who will implement and provide day to day advice on policy and case work and provide the link with the services. They will keep the central records up to date.
- The Data Protection Officer.

These will in turn be assisted, by the auspices of an Information Governance Working Group who will comprise of representatives from the service areas as nominated by the relevant Director from time to time. This is to ensure all relevant initiatives and projects are considered by the group as and when necessary, without unduly requiring officers to attend every meeting.

The remit of the Group will be to consider any relevant issues pertinent to Data Protection, Freedom of Information and Records Management. The Group will consider policy, practical implementation and specific issues referred to it in relation to Information Management.

The Group will be chaired by the Information Governance Lead and administrative support will be provided by Democratic Services.

The Council's Audit Service and The Audit and Standards Committee will provide oversight.

The Corporate Risk register will manage and mitigate strategic corporate risks including information management.

### **3 Policy Structure**

The Council will ensure that there are clear and easily accessible policies in place for:

Data Protection,

Freedom of Information,

Records Management.

These will set out the Council's key commitments to ensure compliance with the legislation.

The policies will be regularly reviewed to reflect changes in the legislation and guidance.

Information Management will support the Council's corporate objectives.

### **4 Corporate Operational Procedures**

To effectively embed the data protection principles into daily staff practices it is essential that easily accessible and easy to read Corporate Operational Practices are in place and staff are trained on them. All staff will be required to undertake training.

The practices will include all the data protection principles, so staff are conversant and empowered to comply with all the requirements in their daily work from collecting information, using, holding securely, sharing, and ultimately securely disposing of same.

### **5 Security of Processing**

The Council will ensure that appropriate technical and organisational measures are in place to protect data.

Organisational measures will represent a range of measures, including, policies, corporate operational practices and procedures, guidance and training, risk assessments and audit.

Technical measures will again include a range of measures including:

- Encryption,
- Physical Security,
- The security of the network and information systems,
- Security of the data held within the system ensuring appropriate access controls,
- Online security and device security.

The Council will seek to comply with principles of privacy by design and default, data minimisation and purpose limitation and adopt where practical Privacy Enhancing Technologies.

## **6 New Systems and Data Sharing**

The Council will only instigate new systems that affect personal data after carefully considering the data protection implications and undertaking if appropriate a Data Protection Impact Assessment.

The Council will only share personal data where it is appropriate and lawful to do so.

Corporate systems will be established to ensure compliance with same.

The Council will only share data with suppliers where appropriate safeguards have been put in place to ensure the security of the processing and data.

## **7 Training and Support**

All employees, Members and other who have access to Council data have an obligation to protect data and will be required to undertake full training every two years with a reminder on a yearly basis.

To support staff on a day- to- day basis, a dedicated page on the intra- net will be established with details of the main requirements and a point of contact for advice and assistance.

## **8 Transparency and Individual Rights**

The Council is fully committed to openness and transparency in its dealings and accordingly fully endorses and supports the public access provisions of The Freedom of Information Act 2000 and The Environmental Information Regulations 2004.

Accordingly, the Council will ensure the proactive publication of Information in its publication scheme and shall ensure appropriate procedures are in place to process all individual requests for information.

The Councils seeks to answer requests within the statutory timescale and provide as much information as possible, accepting of course in certain situations it is not appropriate to release information for instance if it would provide personal information in relation to another individual.

Where this is the case, the individual will be advised as to the relevant exemption and advised as to their right to have the decision reviewed and their rights if they remain dissatisfied to refer the matter to the Information Commissioners Office.

The Council fully endorses the rights of individuals to request information and other rights over their data, such as the right to rectification, and erasure and its procedures will ensure that individuals can exercise those rights as easily as possible, and without undue complication.

## 9 Reporting

Regular reporting will take the form of the following Key indicators:

- Number of Freedom of Information Requests per quarter.
- Number of Subject Access Requests per quarter.
- Percentage of requests processed within the statutory time frame.
- Number of Data Incidents reported to the Information Commissioner per quarter.
- Number of Data Sharing Agreements entered per quarter.
- Number of Data Protection Impact Assessments carried out per quarter.
- The number trained in Information Governance per year.

This information will be reported to the Working Group and to The Senior Leadership Team and the Audit Committee annually.

## 10 Records Management

Effective and efficient records management supports both data protection and Freedom of Information and supports efficiency. Accordingly, the Council's Records Retention and Disposal policy will ensure compliance with The Council's obligations. Administrative arrangements will ensure practical compliance. Statistical compliance levels will be reported to senior leadership team.

## 11 Review

This framework will be reviewed as and when appropriate and in any event after 5 years.