

Essex County Council Information Governance Framework

Contents

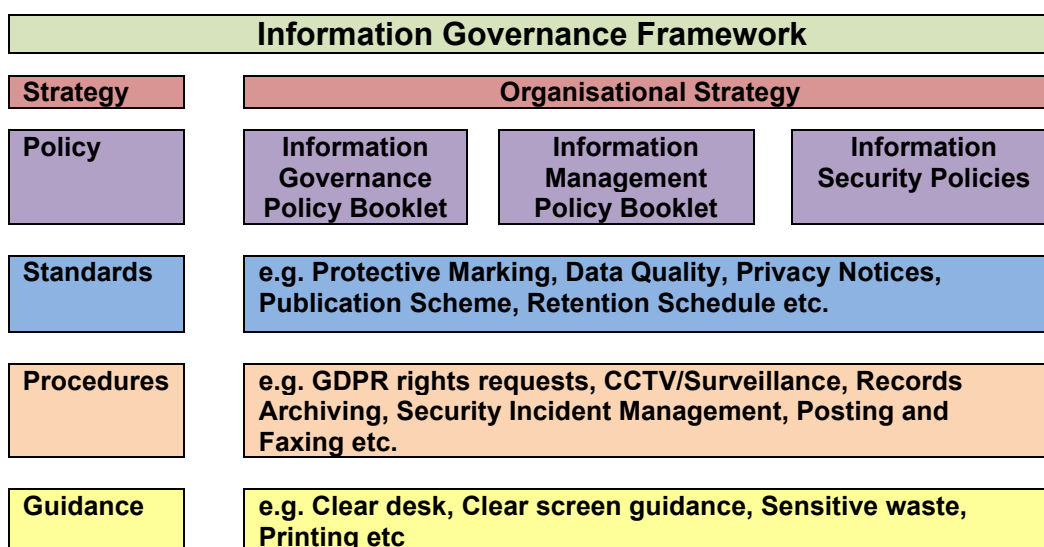
1. Context.....	3
2. Key Principles	3
3. Responsibility and accountability	4
4. Administration, Monitoring and Compliance	5
5. Training and Guidance	6
6. Monitoring and review	6
7. Further Information.....	7

1. Context

- 1.1. Essex County Council (ECC) requires information to be handled in the most effective and efficient way to meet the changing needs of the people who live, learn or work in Essex along with the Council's staff, members and partners.
- 1.2. Information governance is concerned with how information is held, obtained, recorded, used and shared. Information is used here as a collective term to cover terms such as data, documents, records and content (electronic and paper).
- 1.3. ECC's information governance arrangements ensure that we maintain an effective framework for managing information, enabling business needs to be met within an agile and flexible environment and allowing us to work closely with our partners, exchanging information legally, safely and securely.
- 1.4. This information governance framework supports the implementation of ECC policies and strategies for the way we handle information and the provision of advice and guidance to ECC staff and members to help them understand and meet the legislative and regulatory requirements and promote good information management practice.

2. Key Principles

- 2.1. This information governance framework comprises ECC policies, standards, procedures and operational guidance for the way we handle information in ECC.



- 2.2. Our project and technology governance mechanisms include appropriate checkpoints to ensure compliance with our information governance framework, including the implementation of data privacy impact assessments when information about people is involved.

3. Responsibility and accountability

- 3.1. The **Corporate Leadership Team (CLT)** brings together ECC's Chief Executive and Executive Directors to provide overall strategic business planning and management for ECC and working with the political leadership in providing overall strategic direction.
- 3.2. The **Performance Board** monitors the strategic performance of the organisation covering, delivery of the Organisation Strategy including KPI performance, financial performance, risk and mitigation, audit recommendations and capital and revenue project delivery.
- 3.3. The **Corporate Governance Steering Board (CGSB)** take decisions on policy and procedural issues. They validate and authorise all changes to ECC's information-related policies, procedures and guidance, taking a risk-based approach to ensure that proportionate and consistent guidance is provided to all staff and making recommendations to CLT when appropriate. To ensure consistency of approach, the CGSB also arbitrate, should it be necessary, on matters of interpretation and associated disciplinary or other action. The Monitoring Officer/DPO attends the CGSB.
- 3.4. The role of the **Operations Board** is to monitor functional performance against KPI's, Governance (e.g. Health and Safety), Workforce effectiveness, and Customer service. Monitor and provide Performance Board with assurance on the operational performance of the organisation.
- 3.5. The **Senior Information Risk Owner (SIRO)** is ultimately responsible for all information risks across the council the SIRO ensures information risks are managed effectively to deliver business goals.
- 3.6. The **Caldicott Guardians** are responsible for protecting the confidentiality of patient and service-user information and enabling appropriate information-sharing. The Guardian plays a key role in ensuring that NHS, councils with social services responsibilities and partner organisations satisfy the highest practical standards for handling service user identifiable information.
- 3.7. The **Data Protection Officer (DPO)** is responsible for advising, monitoring and reporting the ECC's compliance with the General Data Protection Regulation (GDPR) and data protection legislation. The role is defined by the GDPR and includes raising awareness of data protection requirements, information audits,

advising on and reviewing data protection impact assessments, information sharing and managing security incidents.

- 3.8. The **Chief Information Officer** heads ECC's Technology Services (TS) department and is responsible for ensuring that ECC has appropriate technical measures in place to achieve information and data confidentiality, integrity and accessibility.
- 3.9. **Information Asset Owners (IAOs)** are Directors who are accountable for information assets within their business area. Their role is to understand what information is held, what is added and what is removed, how information is moved, and who has access and why. As a result, they are able to understand and address risks to the information, ensure that information is fully used within the law for the public good.
- 3.10. **Information Asset Managers (IAMs)** are appointed by the IAO to assist with carrying out their duties including the day-to-day maintenance of the information held within an asset and reviewing the access controls in place are appropriate.
- 3.11. **Functional Leadership Teams (FLT)** ensure that working practices across their functions comply with our rules for handling information as laid out in our information management framework and that changes to those rules are implemented promptly.
- 3.12. **Individual Managers** ensure that those who work for or with them are aware of and follow ECC's rules for handling information. They do this using relevant ECC policies and processes, including induction, support success and training, as well as through day to day working practices.
- 3.13. **Everyone** who undertakes duties on behalf of the Council (including third parties, suppliers, partners and contractors etc) who has access to ECC information must ensure it is handled in accordance with the information management framework and comply with current data protection legislation.

4. Administration, Monitoring and Compliance

- 4.1. The **Information Governance Team** is the core function for managing information governance across the council and with ECC's partners. Ensuring processes are robust and security breaches are dealt with and escalated appropriately in line with the GDPR and data protection requirements.
- 4.2. The **Transparency Team** are responsible for managing Subject Access Requests (SAR) and Freedom of Information (FOI)/Environmental Information Regulations (EIR) requests.

- 4.3. **Internal Audit (IA)** examines, evaluates and reports on the degree to which ECC's rules for handling information support and promote the proper, economic, efficient and effective use of ECC's resources.
- 4.4. The **Commercial Team** monitors and review contracts with third party suppliers and raises non-compliances regarding information breaches with the Information Governance Team.
- 4.5. **Technology Service (TS)** lead on cyber management and advice for ECC on IT infrastructure, and for the annual IT Health Checks that support compliance accreditation regimes such as Public Sector Network (PSN).

5. Training and Guidance

- 5.1. Information Governance training for all staff who undertake duties on behalf of the Council (including third parties, suppliers, partners and contractors etc) is mandatory at induction and every two years thereafter.
- 5.2. Further modules, as appropriate, for specific information governance and / or certain business roles are available through classroom/virtual sessions.
- 5.3. Information Governance training compliance is monitored by each FLT within the Council.
- 5.4. Awareness sessions may be given to staff as required, at team meetings or other events.
- 5.5. Regular reminders on information governance messages are made through local team briefings, staff news and emails and, on occasions, through targeted publicity campaigns.
- 5.6. Advice on our Information Policies and/or Data Protection is available to staff at any time from the Information Governance Team via the [online portal](#).

6. Monitoring and review

- 6.1. This Information Governance Framework will be monitored and reviewed annually or in line with legislation changes.
- 6.2. The policies, procedures, standards and guidance that form part of our Framework will be reviewed annually, whenever legislation changes or when an operational need arises. This is to ensure they continue to deliver legislative and regulatory compliance and meet business needs.

- 6.3. A detailed review and change log of all documents which comprise this Framework will be maintained by the Information Governance Team.

7. Further Information

Please contact the Information Governance Team on telephone: 033301 39824 |
Email: informationgovernanceteam@essex.gov.uk

Document Control

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