

Information Governance Framework

From: Chief Information Officer

Date: October 2017

HEADING	REQUIREMENT	NOTES
Senior Roles	Chief Operating Officer	Ian Dunn
	Chief Information Officer ("CIO") and Senior Information Risk Owner ("SIRO")	Simon Cox
	Data Protection Officer	Barbara Halliday
	Head of Information Security	Kevin Shaw
Key Policies & Guidance	Information Governance Policy	
	Draft Information Security Policy	
	Data Protection Policy	http://www.southampton.ac.uk/inf/dppolicy.pdf
	Publication Scheme	http://www.southampton.ac.uk/inf/publication-scheme.html
	Draft Access Control Policy	
	Risk Management Policy	
	Draft Records Management	
	Drafting Policies	
	Draft Keeping Information Confidential	
	Draft ISMS Incident Management Policy	
	Electronic Communications Policy	https://groupsite.soton.ac.uk/Administration/About_University_SharePoint/Documents/Electronic_Communications_Policy.pdf
	Data Quality Policy	

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	Draft Information Classification and Handling Policy		
	Draft Personnel Security Policy		
	Draft Outsourcing and Third Party Security Policy		
	Draft Network Security Policy		
	Acceptable Use policy		
	Guidance on the University's duties under the Prevent programme and the Counter Terrorism and Security Act	https://www.gov.uk/government/publications/prevent-duty-guidance	
	Human Resources Disciplinary Policy	(available via SUSSED)	
	Whistleblowing Policy	http://www.southampton.ac.uk/about/governance/regulations-policies-guidelines.page	
	Library Collection and Archives Policies	(available via Sussed)	
	Research Data Management Policy	http://www.calendar.soton.ac.uk/sectionIV/research-data-management.htm	
	Open Access Policy	http://www.calendar.soton.ac.uk/sectionIV/open-access.html	
	Dignity at Work Policy	https://www.southampton.ac.uk/diversity/policies/dignity_at_work.page?	
Key Legislation and Regulations	Data Protection Act 1998	http://www.legislation.gov.uk/ukpga/1998/29/contents	
	Data Protection Bill	https://services.parliament.uk/bills/2017-19/dataprotection.html	
	Freedom of Information Act 2000	http://www.legislation.gov.uk/ukpga/2000/36/contents	
	General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679)	http://ec.europa.eu/justice/data-protection/reform/files/regulation_oj_en.pdf	
	Regulations for the Use of iSolutions Resources	http://www.calendar.soton.ac.uk/sectionIV/isolutions-resources.html	
	Regulations Covering Student Discipline	http://www.calendar.soton.ac.uk/sectionIV/discipline.html	
	National Institute for Health and Care Excellence Guidelines	https://www.nice.org.uk/guidance	

	NHS Information Governance Toolkit	https://www.igt.hscic.gov.uk/
Key Governance Bodies	University Executive Board	Responsible for advising the Vice-Chancellor on day-to-day management and decision making at the University.
	Information Governance Group ("IGG")	Has appropriate authority & responsibility for the University's information governance agenda
	Charity Commission	Is responsible for regulating registered charities and exempt charities.
	Fund Raising Regulator	Is responsible for setting and maintaining standards for charitable fund raising.
Key Resources	The Audit Committee	Has the responsibility for commenting upon questions of control and governance and to recommend appropriate action to be taken.
	Chief Operating Officer	Has ultimate responsibility for the University's information governance framework.
	Chief Information Officer ("CIO") and acting as the Senior Information Risk Owner ("SIRO")	Has overall operational accountability for University information governance including the preservation and long term retention of institutional information, for establishing and maintaining an effective electronic and paper document management system, maintaining awareness of information governance issues, reviewing and updating policies as a member of the IGG ensuring this remains aligned with legal and regulatory requirements, investigating reported security breaches and implementing steps to ensure that Users are aware of the requirements of the information

		governance policies.
	Head of Information Security	Has responsibility for drafting and maintaining policy & procedures for security administration, conducting investigations, analysis and reviews following security breaches and managing security incidents and recommending appropriate control improvements. To deliver and contribute to the design and development of specialist IT security education and training for all Users.
	Data Protection Officer	Has responsibility for all matters relating to the protection of personal data.
	Director of iSolutions	Has responsibility for formulating and implementing ICT related policies, developing a Disaster Recovery Plan, ensuring firewalls and secure access servers are in place and acting as the Information Asset Owner.
	Deans /Directors/Academic Unit Heads	Have responsibility for ensuring that the University's information governance policies and procedures are maintained and complied with within their Faculty or Academic Unit and for ensuring that any issues are reported at FEG meetings and escalated to the CIO where appropriate.
	Data Quality Group	Has responsibility for assuring data quality of external returns and reporting to the Audit Committee and supports the aims and objectives of data assurance and related policies for the University.
	Student and Academic Administration	Has responsibility as an Information Asset Owner and is directly accountable to the SIRO and ICO. They provide assurance that information risk is being managed effectively in respect of the information assets that they own.
	Professional Service Group Directors of HR, Finance, ODR , Communications and Marketing,	Have responsibility as Information Asset Owners and are directly accountable to the SIRO and CIO.

	Isolutions, Legal (Corporate Services), Estates and Facilities, Finance, FOS, International Office, Library, RIS, Health and Safety Directorate, Student Services,	They provide assurance that information risk is being managed effectively in respect of the information assets that they own.
	Caldicott Guardian/Clinical Governance Leads	Have responsibility for ensuring standards for handling patient identifiable information are met, for facilitating and enabling appropriate information sharing, ensuring that confidentiality issues are appropriately reflected in strategies, policies and procedures and overseeing all arrangements, protocols and procedures where confidential patient information is shared with external bodies such as the NHS.
	Library	Has responsibility for developing an appropriate retention and preservation framework for archives and information assets of long term research interest or value to the institution, providing assurance that such resources can be accessed appropriately subject to the agreements governing use.
Governance Framework	University Council	Has the overall responsibility for the activities of the University.
	The Audit Committee	Responsible for commenting upon questions of control and governance and to recommend appropriate action to be taken.
	University Executive Board	Responsible for advising the Vice-Chancellor on day-to-day management and decision making at the University.
	Chief Operating Officer	Responsible for strategic accountability for University information governance and championing it to the University Executive Board.

	Information Governance Group ("IGG")	Senior group at University Level with overall responsibility for Information Governance chaired by the Chief Information Officer as SIRO who is responsible for championing outcomes to the Chief Operating Officer.
	Information Asset Owner	Director of iSolutions and other significant Asset Owners, as set out above, reporting to the Chief Information Officer.
	Deans /Directors/Academic Unit Heads	Senior group at Faculty/Academic Unit level with responsibility for information governance compliance within their Faculty/Academic Unit.
Training & Guidance	All staff members	Policies and guidelines will be drawn to the attention of all staff so that every individual is aware of the University's information governance policies and procedures and are bound by their provisions.
	Students	Policies and guidelines will be drawn to the attention of all students so that every individual is aware of the University's information governance policies and procedures and are bound by their provisions.
	All independent contractors, visitors and external organisations that have access to the University's information or conduct any information processing on its behalf	Policies and guidelines will be drawn to the attention of all contractors, visitors and external organisations so that they are aware of the University's information governance policies and procedures and are bound by their provisions.
Incident Management	Draft Information Security Policy	
	Draft ISMS Incident Management Policy	
	Whistleblowing Policy	http://www.southampton.ac.uk/about/governance/regulations-policies-

		guidelines.page
	Draft Information Security Incident Procedures	

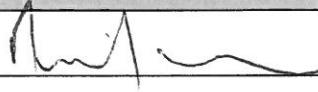
Document Control

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Version History

Version	Date	Author(s)	Notes on Revisions
0.1	June 2017	FTVB	Initial Draft
0.2	September 2017	FTVB	Amends after IGG meeting to discuss ratification
0.3	October 2017	FTVB	Amends to reflect governance structure

Document Sign Off

Name	Role	Doc version	Signoff date	Signature*
<i>Ian Dunn</i>	<i>COO</i>		<i>8/12/2017</i>	

*If signoffs are received by email, print names here and archive the sign off emails. Add location of signoff emails here:

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