



# Information Governance Policy Framework

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## Document Control

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## Document Approvals

Sponsor Approval	Revision No.	Date
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## Document distribution and communication

This document will be made available to all users. It will be published on the corporate intranet. Staff will be informed by periodic staff notices and induction information.

## Contents

1. Foreword by Senior Information Risk Owner (SIRO).....	4
2. Introduction .....	4
3. Purpose.....	4
4. Scope .....	5
5. Definition of information asset.....	5
6. Information Governance Policies.....	5
7. Principles .....	5
8. Information as a corporate asset .....	6
9. Policy Review and Revision .....	6
Appendix A: Glossary of Terms.....	7
Appendix B: Supporting legislation, policies, standards and guidelines .....	8

# 1. Foreword by Senior Information Risk Owner (SIRO)

North Lanarkshire Council and its Arm's Length Organisations (ALEOs) process data to support the council's operational activity, planning and decision-making, and the coordination and delivery of desired outcomes in accord with its legal duties and powers. The council and its ALEOs are committed to the secure use of information and information technology systems in order to protect the availability, integrity and confidentiality of the information under its control. This commitment is vital for public confidence and for the efficient, effective and safe conduct of our business.

The council's information governance policies introduce changes to the way we do things as part of the broader agenda to modernise and transform. I am confident that these policies and associated procedures will enable us to improve performance whilst securing the information under our control. They set out mandatory standards, define compliance and assurance arrangements and offer guidance.

Responsibility for the governance of information is delegated from the Chief Executive to Heads of Service and ALEO chief officers. Ultimately, however, it is the responsibility of everyone and our information governance policies and processes will only work well if we all comply with the standards contained within.

## 2. Introduction

North Lanarkshire Council and its ALEOs will create an environment where council information, in any form, is valued as a corporate asset. One where organisational boundaries are invisible and information is shared in a way that preserves the context, integrity, sensitivity and security of the information asset, guaranteeing that access to confidential information is available only in accordance with legislation as detailed in Appendix B, whilst ensuring that all staff have appropriate access to accurate information needed to perform their duties.

## 3. Purpose

This framework sets out the council's responsibilities and those of its ALEOs in relation to information governance in accordance with legislation and professional principles.

It summarises the relevant regulations and commits the council to their application where appropriate. It has been updated to take into account the Public Records (Scotland) Act 2011, the new UK Government Security Classification Policy and standards required by Health and Social Care integration, the Data Protection Act 2018 and General Data Protection Regulations. As such, it is presented as a framework comprising three elements:

- The corporate management of information governance
- An overarching policy drawing all the legislation and issues together
- A suite of comprehensive individual policies, standards and procedures

It is supported by information capture, storage, analysis and exchange systems that will enable NLC and ALEO staff to:

- conduct their daily business efficiently and effectively;
- have timely access to meaningful information;
- operate within the requirements of current legislation;
- support and inform NLC decision-making;
- respond promptly to information and data requests; and
- share information with colleagues, partners and customers but only where appropriate and where legally possible.

## 4. Scope

This policy applies to all NLC employees and all elected members and North Lanarkshire Council owned ALEOs when they are working on council business. We also expect anyone using council information (eg community planning partners, third party organisations, etc.) to be aware of and understand this policy and how it should be applied.

It applies to all information assets irrespective of their format:

- In the case of the Data Protection Act 2018 (DPA) it applies to all personal information acquired, held and used in written, visual, aural, electronic or other material form.
- In the case of the Freedom of Information (Scotland) Act 2002 (FOI) it applies to all recorded information held, including that on network drives, on Office 365 and in the cloud.
- In the case of Environmental Information (Scotland) Regulations 2004 (EIR) it applies to all environmental information held, in written, visual, aural, electronic or other material form.

Contractors are included in the policy, but there are some exclusions such as the voluntary sector, care home providers, nurseries, child minders, etc. However, all terms and conditions of contracts will include a section detailing the council's Information Governance compliance requirements.

## 5. Definition of information asset

This policy must be applied to all information assets used by the council and these can take many forms that include, but are not limited to, the following:

- Hard copy data printed or written on paper.
- Data stored electronically including on the Cloud.
- Communications sent by post/courier or using electronic means.
- Stored tape, video or other electronic media (e.g. call recordings).

All information assets should be included on the [Information Asset Register](#) (IAR),

## 6. Information Governance Policies

The following suite of policies are part of the Information Governance Policy Framework:

- [Records and Information Management Policy](#)
- [Data Protection Policy](#)
- [Information Security Policy](#)

## 7. Principles

The collection, storage, analysis, exchange and destruction of North Lanarkshire Council information resources will embody the following principles:

- a) **We treat council information as a North Lanarkshire Council resource.** Council information resources, regardless of where they are held, are the property of North Lanarkshire Council and not of specific groups or individuals.
- b) **We are all responsible for the council's information.** Everyone is personally responsible for the effective management of the council information they create, capture

or use. Those with specific responsibility for managing council information assets such as databases must be clearly identified.

- c) **We will share council information responsibly with our colleagues, partners and customers.** Authorised individuals will be able to access council information required for the effective performance of their role. Customers should gain access to council information to which they are entitled. Information access will be controlled where necessary due to sensitivities or legislative requirements.
- d) **We keep records of what we do and retain them in a consistent and cost-effective way.** Authorised individuals will store council records in accordance with appropriate policies, guidelines and retention schedules.
- e) **The information we produce will be accurate and meet our customers' expectations.** Information must be timely, relevant, accurate and consistent.
- f) **Our information complies with our statutory obligations.** Information management within the council and its ALEOs must comply with prevailing legislation and will do so, when managed in accordance with the council's policies, standards and guidelines.

## 8. Information as a Corporate Asset

- The council will maintain an Information Asset Register (IAR) as an inventory of its information assets.
- All information will have a defined Information Asset Owner (IAO) and this will be recorded in the IAR. It will be the IAOs responsibility to manage and protect the information and to make it available to others.
- Information will be made available unless there is a compelling reason not to, recognising all the relevant legislative and regulatory requirements. This applies to both internal and external users of information.
- The storage and organisation of information will be in accordance with the Corporate File Plan to promote its sharing, thereby minimising duplication of effort and the cost of its retrieval.
- The re-use of information for which the council holds the copyright will be granted whenever possible. The terms for re-use will be in line with legislation and clearly explained.
- The protection of information assets will be carried out in accordance with the council's Information Security Policy.
- The management and retention of information will take into account its value to the council. Information will only be retained as long as there is a business need and to ensure compliance with the relevant legal and regulatory requirements.
- Disposal of information of a personal or confidential nature will be carried out securely and when there is no longer a legal or business need to keep it.
- Information ownership rights will be observed in that information from third party sources will only be used in accordance with the license or permissions granted.

## 9. Policy Review and Revision

This policy will be reviewed whenever guidance or the law is changed but at a minimum every 24 months. Policy review will be undertaken by the Data Governance Board under the guidance of the SIRO.

## Appendix A: Glossary of Terms

Term	Description
ALL USERS	All parties who have access to Council information including employees, elected members, North Lanarkshire Council owned ALEO's and third party contractors and any other individuals or organisations who access Council information.
CDPO	Corporate Data Protection Officer
CMT	Corporate Management Team
Council Information	Council information includes data, records, paper and digital formats.
IAA	Information Asset Administrator
IAO	Information Asset Owner
DGB	Data Governance Board
DMT	Data Management Team
NLC	North Lanarkshire Council
SIRO	Senior Information Risk Owner

## **Appendix B: Supporting legislation, policies, standards and guidelines include :**

### Legislation

- Data Protection Act 2018 and the UK General Data Protection Regulation
- Public Records Scotland Act 2011
- Environmental Information (Scotland) Regulations 2004
- Freedom of Information (Scotland) Act 2002
- Information associated aspects of the Human Rights Act 1998
- Information associated aspects of the Local Government in Scotland Act 2003
- INSPIRE (Scotland) regulations 2009
- Copyright, Designs and Patents Act 1988
- Computer Misuse Act 1990
- The Privacy and Electronic Communications Regulations 2003
- Regulation of Investigatory Powers (Scotland) Act 2000
- Anti-Terrorism, Crime & Security Act 2001
- Defamation Act 1996
- Health and Safety at Work Act 1994 (Computers)
- Re-use of Public Sector Information Regulations 2005
- Civil Contingencies Act 2004

### Internal policies, standards and guidelines

- Records and Information Management Policy
- Data Protection Policy
- ICT Security Policy
- Acceptable Use of ICT Policy
- Home Working Scheme (Interim)
- Employee Code of Conduct
- Records and Information Management Guidelines
- Information Security Good Practice Guidelines
- Acceptable Use of ICT Guidelines
- Information Risk Guidelines
- Information Classification and Handling Guidelines
- Records Management Plan
- Corporate File Plan
- Information Asset Register
- STD 0125 System Access Password Standard

### External standards and guidelines

- Codes of practices issued by regulatory and statutory bodies (e.g. Information Commissioner's Office, audit Scotland etc).
- Government Connect Code of Connection/Public Services Network
- ISO 27001 and 27002 Information Security Management Standards
- Lanarkshire Data Information Sharing Partnership
- Payment Card Industry (PCI) Standards
- Cyber Essentials
- Section 61 Code of Practice on Records Management under the Freedom of Information (Scotland) Act 2002
- BS 15489-1:2016 Information and Documentation - Records Management
- BS 4971:2017 Conservation and Care of Archive and Library Collections