

Information Framework

Version Number 1.0

Effective from 10th March 2016

**Authors: Head of Information Governance & Senior Information Security
Officer**

Legal, Planning & Governance

Document Control Information			
Status and reason for development			
New as no previous policy			
Revision History: (most recent first)			
Author	Summary of changes	Version	Authorised & Date
M. Stephenson & C. Price	<i>New Policy</i>	V1.0	UMT: 07/03/2016 Dir LPG: 09/12/15 CIO: 18/11/15 ITMG: 30/09/15
Policy Management and Responsibilities:			
Owner:	This Policy is issued by the Information & Technology Management Group, which has the authority to issue and communicate policy on information management. The Group has delegated day to day management and communication of the policy to the Head of Information Governance, (LPG).		
Others with responsibilities (please specify):	All subjects of the Policy will be responsible for engaging with and adhering to this policy.		
Have you completed formal assessment with the following advisory teams:			
Equality Analysis (E&D, HR) Equality Initial assessment form	1. <i>March 2016. No issues identified. Equality Assessment attached at end of document.</i>		
Legal implications (LPG)	2. <i>N/A</i>		
Information Governance (LPG)	3. <i>N/A as policy developed by Information Governance</i>		
Student facing procedures (QEO)	4. <i>N/A</i>		
Consultation:			
Staff Trades Unions via HR	1. <i>N/A</i>		
Students via USSU	2. <i>N/A</i>		
Relevant external bodies (specify)			
Authorisation:			
Authorised by:	University Management Team (UMT) on recommendation of the Information & Technology Management Group (ITMG). Minor changes to the policy may be authorised by ITMG on behalf of UMT.		
Date authorised:	07/03/2016		
Effective from:	10/03/2016		
Review due:	3 years by March 2019		
Document location:	University Policy & Procedure Pages		
http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures			
Document dissemination and communications plan:			
US Online article, In Brief strategic update			

1.0 Purpose

Information is the lifeblood of the University. Improving its use, storage, accessibility, sharing and reliability for decision making is fundamental to being an efficient organisation that exploits information to its full potential.

The purpose of this document is to specify the framework for how we expect University information to be managed, thereby supporting the strategic aims of the University. The Information Framework specifies that all those who are authorised to, should be able to easily access all the information they need to fulfil their role.

2.0 Scope

This framework applies to all members of the University community who use and manage University information. This includes (but is not limited) to:

- Students
- Employees (including temporary, part time & contract staff and honorary employees)
- Council members
- Third parties who access or use University information to complete a service or contract on behalf of the University

This framework does not include detailed guidance or procedures; these supporting documents are listed in the Related Documentation section.

3.0 Policy Statements

Information is an organisational asset; similar to property, people and money. Information can be in any format whether it is electronic or paper based.

Information is relied upon to carry out the core University activities of student and staff administration, teaching, research and enterprise and those functions which support them.

This Information Framework outlines seven guiding Information Duties which shall always be considered in partnership with one another and not in isolation. These ensure that information is captured, stored, used and shared in ways which enable the University to meet its objectives and meets the requirements of its members. These seven duties will sometimes pull in different directions so the balance and agreed priorities will need discussion and determination by relevant parties.

3.1 Information Custodian

All information (such as an information system or set of data) shall have a clearly defined custodian who shall be the senior person responsible for the function which creates and uses that information. The custodian is responsible for implementing the duties and overseeing usage throughout its lifecycle i.e. from creation or receipt to disposition.

The custodian shall apply this information framework to his / her information **and** understands:

- what the information is
- why the information is held
- where the information is used
- who does and does not have access to the information
- how the information changes
- how the information is shared, with whom and why.

All custodians shall contribute to an Information Inventory which will ensure a consistent overview of information held by the University. Further guidance on these undertakings is included in the Information Custodian and Information Inventory Codes of Practice.

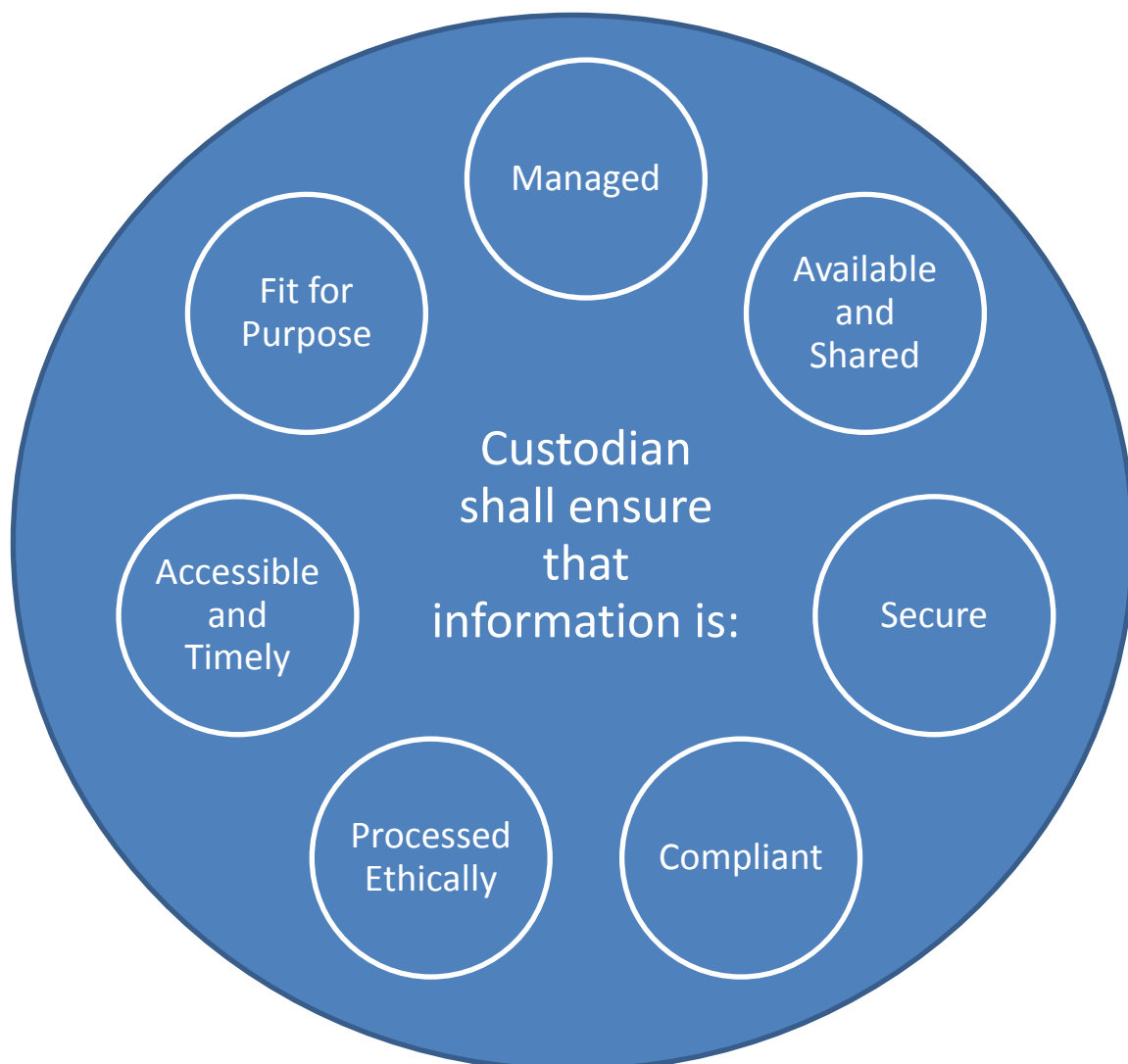
The University's Intellectual Property Policy documents the arrangements relating to the ownership rights of different types of information.

The custodian shall be required to provide a written undertaking that the information for which they are responsible meets the University's requirements and the information duties in this framework.

3.2 The Information Duties

The Information Custodian shall ensure that their information is:

- Managed
- Available and Shared
- Secure
- Compliant
- Processed Ethically
- Accessible and Timely
- Fit for Purpose



3.2.1 Managed

Information shall be organised, structured and managed appropriately in as few places as possible, avoiding duplication and double entry, with version control and an audit trail, thereby providing a single authoritative resource.

Where possible, information shall be integrated and accessible to users across systems.

Retention periods shall be established and the method of any long term storage as well as disposal shall be determined.

The Information and Records Management Policy provides more detail on this subject.

Specific types of records, information and data are subject to distinct rules relating to their management, e.g. Data Management Plans as outlined in the Research Data Management Policy.

The custodian shall ensure that the staff handling the information are trained in and remain aware of the responsibilities relating to the use and processing of University information.

3.2.2 Available and Shared

Information shall be available to all unless there is a good reason for it not to be: it shall be available where they need it and when they need it.

Information shall be shared both internally and externally with relevant stakeholders while ensuring that such sharing takes place in accordance with best practice, user expectation and legal requirement.

Appropriate technical controls shall be in place to ensure that the platforms making information available are resilient: providing access to that information 24/7.

3.2.3 Secure

Information shall be protected according to its content, sensitivity and value. The custodian shall be aware of the risks that their information faces and ensures these are addressed appropriately. Information which is deemed to require protection due to its nature is defined as Confidential Information. There shall be appropriate rules, procedures and training made available for members of the University to be able to protect the University's Confidential Information.

This duty supports the requirements of the Data Protection Act 1998 which regulates how organisations process information relating to people; which is one type of Confidential Information.

The Information Security Policy goes into greater detail on this subject, defining Confidential Information and advising how it should be managed. This is supported by the Mobile Devices Policy.

3.2.4 Compliant

Information shall meet all University policies and external obligations, be they legislative and regulatory.

In most cases, these obligations do not prevent the University from processing its information in the way it wishes, but can place legal or other requirements on how such processing takes place.

Processing information in accordance with such obligations reduces likelihood of damage to our reputation and can prevent serious legal or financial repercussions.

Examples of such legislation and regulations include (but are not limited to):

- The Data Protection Act 1998
- The Freedom of Information Act 2000
- The Copyright Designs and Patents Act 1988
- HEFCE Requirements
- RCUK and other funding bodies requirements in the case of research information and data
- NHS requirements for relevant information
- Other specific legislation for specialist subject areas
- Information & Records Management Policy
- ICT Acceptable Use Policy

3.2.5 Processed Ethically

The University is committed to ethical teaching, research, consultancy and other related institutional activities. The University joint Ethics Committee of Senate and Council will develop an ethical framework for the University and will oversee the development, implementation and monitoring of policies, procedures, codes of practice and guidelines (reflecting guidance from professional bodies and funding councils) in this area as well as the operation of ethical approval at School level.

The Ethics Committee will include the ethical processing of information in its work.

3.2.6 Accessible and Timely

Information shall be accessible by those who need it, irrespective of their location and the equipment they are using.

Information shall be in an appropriate format, independent of technology, enabling sharing of information across systems providing seamless access to related information.

Information shall be maintained in a manner that makes it fit for purpose, timely and easily accessible by all relevant users.

3.2.7 Fit for Purpose

Information shall be used for the purposes it was provided and or requested and shall meet the University's requirements.

Information shall not be collected and held 'just in case' it may become useful in the future.

Information which is not high quality is worthless: it shall therefore be authoritative, appropriate and consistent.

Information shall be clear, accurate and complete to support understanding and good decision-making.

People handling or using the information shall identify errors and incorrect records as soon as possible to update information and ensure it is suitable for the use to which it is put. Only authorised staff shall be able to alter or delete information.

As a result, people can be confident in the information they use and trust it to be reliable and fit for purpose.

4.0 Related Documentation


The following information related policies sit under the umbrella of the Information Framework and provide clear rules on the seven duties of an information custodian (and all staff accessing the information). They can be found on the University Policy pages (under 'P' on the Staff Channel A-Z index):

<http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures>

- Data Protection Policy
- Freedom of Information Policy
- Information & Records Management Policy
- Information Security Policy
- ICT Acceptable Use Policy
- Mobile Devices Policy
- Network Security & Connection Policy
- Associates IT Access Control Policy
- Intellectual Property Policy
- Research Data Management Policy
- Open Access Policy
- Data Quality Policy

The following documents and sources provide guidance supporting the Information related Policies

- Information Custodian Guidance (to be developed)
- Information Inventory Code of Practice (to be developed)
- Confidential Information Standard (in draft)
- Information Governance pages
- Data Protection & Information Security E-learning toolkits
- Research Governance Framework (to be developed)
- Ethical Framework (to be developed)
- Research Data Management pages

	Equality and Prevent Initial Assessment / “Due Regard” Form
Proposal Title	Information Framework V1.0
Key aims and purpose	The Framework specifies how University information should be managed in order to improve its use, storage, accessibility, sharing and reliability for decision making.
Assessor Notes	The policy applies to all University members however, it does not specifically impact on any individual or group of individuals within the University as it specifies the duties and principles to consider when handling and managing University information.
Contact name & details	<u>Name: Christa Price, ext 55910</u>
Date of Assessment	09/03/2016

Answer the following questions to meet the requirements of the Public Sector Equality Duty set out in the Equality Act 2010.		Yes	No
1.	Does / could this proposal significantly affect employees, students, other service users, stakeholders, or the wider community?		No
2.	Is this a major policy affecting large numbers or specific groups of employees/job applicants, students, other service users, stakeholders, or the wider community?	Yes	
3.	Does this proposal affect any groups where there are known / historic / likely or suspected inequalities, disadvantage or other equality risks?		No
4.	Is this proposal “relevant” to the general duty / is there scope to...		
4.1	<i>...eliminate discrimination, harassment, victimisation and any other conduct that is prohibited under the Equality Act 2010?</i>		No
4.2	<i>...advance equality of opportunity between persons who share a relevant *protected characteristic and persons who do not share it?</i>		No
4.3	<i>...foster good relations between persons who share a relevant *protected characteristic and persons who do not share it?</i>		No
Confirm next steps:			
5.1	The proposal is not relevant to the equality duties - no further action required		NFA
5.2	The proposal is relevant to the equality duties - further assessment required		
<i>*Protected characteristics = age, disability, gender reassignment, religion and belief, race, sex, sexual orientation, pregnancy and maternity and marriage and civil partnership.</i>			
Answer the following question to meet the requirements of Section 26 of the Counter-Terrorism and Security Act 2015 which places a legal duty (Prevent) on Universities to have “due regard to the need to prevent people from being drawn into terrorism” when exercising their functions.		Yes	No
6.2	<i>Is a risk assessment of this proposal required?</i>		No
Confirm next steps:			
6.1	The proposal is not relevant to the Prevent duty - no further action required		NFA
For further information: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/445916/Prevent_Duty_Guidance_For_Higher_Education_England_Wales_.pdf			