



IG Framework Roles and Responsibilities

1. Document information

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| Document name | SLMS-IG32 Information Governance Framework - Roles and Responsibilities |
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| Issue date | 07/02/2020 |
| Approved by | Chair of SLMS IGSG |
| Next review | 03/02/2023 |

2. Document history

| Version | Date | Summary of change |
|---------|------------|---|
| 0.1 | 11/12/2014 | First draft for discussion |
| 1.0 | 11/12/2014 | Approved by Chair of SLMS IGSG |
| 1.1 | 07/12/2015 | Include Data Safe Haven Support Officer |
| 1.2 | 08/02/2016 | Incorporated feedback from K Kingan, clarified overview and responsibilities |
| 2.0 | 22/02/2016 | Approved by Chair of SLMS IGSG |
| 2.1 | 03/02/2020 | Updated to include reference to role descriptions, Terms of Reference and the Operational Group |
| 3.0 | 06/02/2020 | Approved by Chair of IGSG |

3. To be read in Conjunction with

| Title | Document reference Number |
|--------------------------------------|---------------------------------|
| IG Steering Group Terms of Reference | SLMS-IG01 |
| OG Terms of Reference | SLMS ISMS Operational Group ToR |
| IG Lead Role Description | SLMS-IG05 |
| IG Officer Role Description | SLMS-IG07 |

Overview

One person alone cannot ensure an effective information governance programme is in place and working. A truly effective framework includes bringing the right people together, co-ordinating efforts, communicating between departments, empowering staff to make decisions in their area and engaging each employee to take accountability. This document sets out the roles and responsibilities of those within the University, who have delegated responsibility for safeguarding the University's information & data assets.

Key roles and responsibilities

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| SLMS Senior Information Risk Owner (SIRO) | A senior UCL executive with overall accountability for the IG Framework, the SIRO receives assurance that relevant Information Governance processes, procedures and policies are in place. SIRO role: https://www.ucl.ac.uk/isd/sites/isd/files/migrated-files/SLMS-IG02_SIRO_role.pdf |
| Information Governance Steering Group | Provide advice and assurances to SIRO in respect of: <ul style="list-style-type: none"> ▪ Changes in internal and external issues ▪ Non-conformities and corrective actions ▪ Monitoring and metrics ▪ Audit results ▪ Fulfilment of information security objectives ▪ Feedback from interested parties ▪ Management of risk ▪ Oversight of effectiveness of the IG Framework • Continual improvement of the Information Security Management System (ISMS) IGSG Terms of Reference: https://www.ucl.ac.uk/isd/sites/isd/files/migrated-files/SLMS-IG01_IG_Steering_Group_ToR.pdf |
| Operational Group | Manages the operation of the ISMS, tracking operational metrics, risk, controls and audit. Provides assurance to the IGSG on the operation the ISMS OG Terms of Reference: https://www.ucl.ac.uk/isd/sites/isd/files/migrated-files/SLMS-IG35_ISMS_Operational_Group_ToR.pdf |
| UCL Data Protection Office | Provide advice to SIRO on data protection requirements Data Protection Office: https://www.ucl.ac.uk/data-protection/ |
| Information Governance Lead | Responsibility for the managerial operation of the SLMS IG Framework and Data Safe Haven ISO27001 ISMS. Provides expertise to and liaises between the SIRO and the IGSG. Acts as the primary IG contact for all external parties. IG Lead role: https://www.ucl.ac.uk/isd/sites/isd/files/migrated-files/SLMS-IG05_IG_Lead_Role.pdf |
| Information Governance Support Officer | Operational responsibility for the SLMS IG Framework and ISO27001 ISMS, including but not limited to the maintenance of associated records and the provision of IG training. IG Officer role: https://www.ucl.ac.uk/isd/sites/isd/files/migrated-files/SLMS-IG07_IG_Officer_Role.pdf |
| Head of Information Security | Responsible for UCL's corporate information security agenda. Advises and guides the SIRO on information security matters. |

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| | Information Security Group: https://www.ucl.ac.uk/information-security/ |
| Data Safe Haven support staff | Provide technical expertise in the various service areas that comprise the Data Safe Haven; respond to incidents; develop services in response to emerging requirements, changes and non-conformities |
| Researchers | Are responsible for: <ul style="list-style-type: none"> ▪ Safely handling all information assets in accordance with the law and UCL policies and procedures. ▪ Prompt reporting of information security and confidentiality incidents and near misses. ▪ Undertaking IG training relevant to their role ▪ Complying with UCL policies and procedures |
| Research study Principal Investigator (PI) / Information Asset Owner (IAO) | Delegated accountability from the SIRO for their study's information assets and ensuring that those assets are handled and managed in accordance with the IG Framework, including: <ul style="list-style-type: none"> ▪ Properly protecting assets against risk and ensuring that their value to UCL is recognised ▪ Seeking to improve the accuracy, integrity and quality of the data / information within their teams / study ▪ Ensuring all staff undertake relevant IG training, understand their responsibilities and have awareness of the SLMS IG framework Information asset owner responsibilities: https://www.ucl.ac.uk/isd/it-for-slms/research-ig/articles/information-asset-owner-owner |

IG Framework reporting structure

