



FMS information Governance Steering Group

Terms of Reference

1. Document information	
Document name	FMS Information Governance Steering Group Terms of Reference
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2. Document history		
Version	Date	Summary of change
0.1	02/06/2015	First draft for discussion
0.2	08/06/2015	Incorporated comments from TG
0.3	18/06/2015	Changed to report into FSRC following feedback from Chris
0.4	28/07/2015	Updates to proposed membership
0.5	01/09/2015	Updates to proposed membership, Incorporating feedback from first Steering group. Addition of reporting structure.
1.0	03/05/2016	Updates as agreed, merging with the roles and responsibilities document.
1.1	18/01/2017	Reporting channels refined 3.1
1.2	21/04/2017	Introduction of deputy chair, reviewed group aims to include university wide responsibility for IGT. Clarification of roles.
1.3	26/01/2018	To update name of Faculty Research and Innovation Committee
1.4	23/04/2018	Update reference from IGT to Toolkit, and to list positions on the steering group. Update reference from IRO to TIRO.

1.0 Objective

1.1 The FMS Information Governance Steering Group (IGSG) is a standing committee accountable to the Faculty Research and Innovation Committee (FRIC). Its objective is to support and drive the broader information governance agenda, ensure effective management of information risk and provide the FRIC with the assurance that best practice mechanisms for information governance are in place within the Faculty of Medical Sciences. The group also has responsibility for the Data Security and Protection Toolkit(DSPT) across the University.

2.0 Composition

2.1 Membership

The members of this group shall be appointed and reviewed annually by FRIC. The membership can be found in appendix 1.

2.2 The chair

The Chair of the group will be a senior academic with experience in clinical research and shall be the Toolkit Information Risk Officer (TIRO). He/she will be appointed by the PVC, Faculty of Medical Sciences.

2.3 Deputy Chair

The Deputy Chair shall be a member of the FMS IGSG. He/she will undergo the same training as the TIRO and if the TIRO is not available act on his/her behalf.

3.0 Meetings

3.1 Frequency and Reporting

This group will meet quarterly or more frequently if required to do so to fulfil its remit. The group will report directly to the Faculty Research and Innovation Committee (FRIC) and inform the University Research Committee (URC) via the FMS Dean of Research & Innovation on progress and issues on a regular basis. The FRIC will also provide reports to the Faculty Executive Board as and when required. The group also reports into the Digital Campus Steering Group (DCSG) as part of the university Information Security Management Framework.

Agenda and papers

The agenda comprises reports or briefings from each of the IG areas, updates on progress with work programmes, and policy, process and procedure reviews.

Standing agenda items include:

- Status of actions from previous management reviews
- Review of risk assessment and risk treatment plan
- Non-conformities and corrective actions
- Monitoring and evaluation of progress
- Review of audit results
- Fulfilment of information security objectives

3.2 Actions/decisions

Decisions will be reached by consensus or a majority vote if agreement cannot be reached. In the event of a tie the chair will have the casting vote. Actions/decisions will be noted from the meeting and circulated to members for approval/action before the next IG Steering Group. Information governance related policies and procedures will be approved by the Steering Group.

3.3 Other

In order to fulfil its remit, the IG Steering Group may obtain any professional advice it requires and invite, if necessary, external experts and relevant staff representatives to attend meetings. A meeting will be deemed to be quorate when at least three members identified in Appendix 1, or their nominated deputies are present.

4.0 Remit

Key responsibilities of the Information Governance Steering Group:

- 4.1** To ensure that an appropriate comprehensive Information Governance Framework and systems are in place throughout the organisation in line with national standards, gained through feedback from interested parties.
- 4.2** To provide assurances to FRIC of the management and accountability arrangements for information governance within FMS.
- 4.3** To develop an IG Statement and associated IG implementation strategy and/or maintain the currency of the policy.
- 4.4** To prepare for the annual Information Security Management System (ISMS) audit
- 4.5** To prepare the annual information governance assessment for sign-off by the FRIC.
- 4.6** To develop and monitor the information governance work programme.
- 4.7** To ensure that the FMS-approved approach to information handling is communicated to all FMS staff and made available to the public.
- 4.8** To coordinate the activities of staff with data protection, confidentiality, security, information quality, records management and freedom of information responsibilities.
- 4.9** To offer support, advice and guidance to the FMS information technology and communication services and data protection programme.
- 4.10** To monitor FMS information handling activities to ensure compliance with law, policy and guidance.
- 4.11** To ensure that new FMS processes introduced which include confidentiality and data protection requirements comply with information governance and related policies.
- 4.12** To ensure that training made available is taken up by staff as necessary to support their role.
- 4.13** To ensure effective management and continual improvement of FMS information risk.
- 4.14** To provide a focal point for the resolution and/or discussion of FMS information governance issues and information risks.

5.0 Management and accountability

FRIC membership includes chair of the IG steering group who will report back to the FRIC on any of the IG Steering Group's progress and agenda items which may need FRIC level approval. The Chair of FRIC, the Associate Dean of Research and Innovation will report back to the Pro Vice Chancellor at the Faculty Executive Board (FEB). The Pro Vice Chancellor has overall accountability for ensuring that FMS operates in accordance with the law with the support of his/her subordinates.

6.0 Authority

The Steering Group is authorised by the FEB to investigate any activity within its Terms of Reference. It is authorised to seek any information it requires from any employee and all employees are directed to co-operate with any request made by the group. The group is also authorised to assess opportunities for continual improvement and implement any activity

which is in line with the Terms of Reference, as part of the IG work programme, which shall be agreed by the FEB.

7.0 Roles and Responsibilities

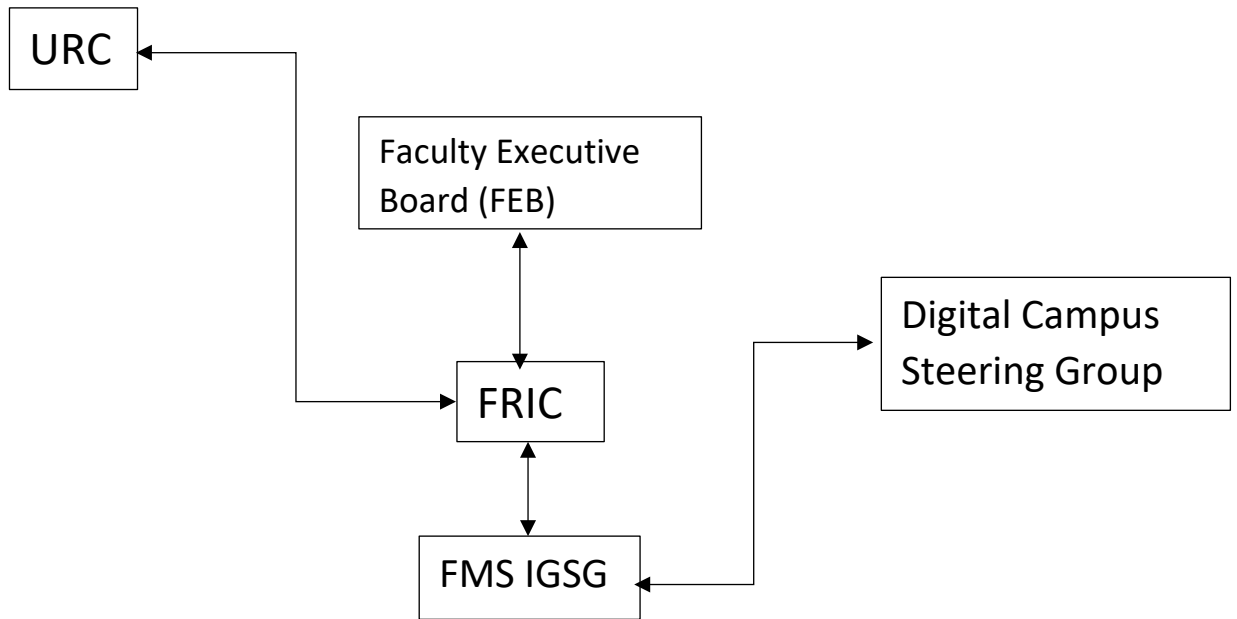
Information Governance is everyone's responsibility. The Toolkit Information Risk Officer (TIRO) has overall accountability for the IG Framework's effectiveness, though delegates this to Information Asset Owners. Other aspects of the framework are delegated as detailed in the table below

Key roles and responsibilities

Toolkit Information Risk Owner (TIRO)	The TIRO operates at an executive level and receives assurances that all relevant Information Governance processes, procedures and policies are in place. The TIRO takes ownership of the IG Framework.
Information Governance Steering Group	Provide expert advice and assurances to TIRO 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) The IG Steering Group's Terms of Reference are detailed in FMS IG01.
Information Security Officer (Compliance)	Provide expert advice to TIRO on data protection requirements
Information Governance Lead / Information Security Officer(FMS)	Acts as a research IG interface for the TIRO and IGSG, providing expertise and facilitation. Primary contact for external interested parties. Takes day-to-day responsibility for the operation of the FMS IG Framework
Information Security Officer (Technical)	Provide expert advice to T and represent the University corporate information security agenda
NUIT support staff	Provide technical expertise in the various service areas that comprise NHS approved storage; respond to incidents; develop services in response to emerging requirements, changes and non-conformities
Researchers working on Toolkit registered Projects.	Responsible for: <ul style="list-style-type: none"> ▪ Ensuring information assets are handled appropriately ▪ Promptly reporting non-conformities and information security incidents. ▪ Completing all IG training ▪ Complying with relevant policies and procedures provided by FMS

Research study Principal Investigator (PI) / Information Asset Owner (IAO)	<p>Senior researchers, accountable for documenting, assessing and addressing the risks relevant to their study's information assets and providing assurances to the TIRO in this respect.</p> <p>PIs also have responsibility to take ownership of, and seek to improve, the quality of the data/information within their teams/Project.</p> <p>Also accountable for ensuring all members of the research team receive adequate IG training and awareness of the FMS IG framework</p>
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FMS IG Framework reporting structure



Chair / Toolkit Information Risk Officer	Professor Andrew Blamire, Acting Dean of Translational Medicine
Deputy Chair /Deputy Toolkit Information Risk Officer	Vacant
Information Security Officer (FMS) – NUIT IG Lead for Toolkit.	Wendy Craig
Chief Information Security Officer, Data Protection Officer	Maureen Wikinson
Faculty IT Manager (FMS) – NUIT	Andrew Lambert
Infrastructure – NUIT	Jason Bain
Information Security Officer (Technical) - NUIT	Paul McDermott
Research Manager, Faculty Medical Sciences	Kay Howes
Joint Research Office	Lesley McShane
Chief Clinical Information Officer, NUTH	
Chief Clinical Information Officer, NTW	Joe McDonald
Head of Information Governance, NUTH	
Research & Enterprise Services	Pete Wheldon
Research Data Services	Chris Emmerson
Institute of Cellular Medicine	Ben Hargreaves
Institute of Genetic Medicine	Neil Rajan
Northern Institute for Cancer Research	Anthony Moorman
Institute of Health and Society	Paul Burton
Institute of Neuroscience	Jeremy Parr
Faculty of Science, Agriculture and Engineering	Anil Wipat
Faculty of Humanities and Social Sciences	
Policy, Ethics and Life Sciences (PEALS) Research Centre	Madeline Murtagh
Newcastle Clinical Trials Unit	Emily Swinburne