<Name of Information Asset>



Governance Document

Version:

Date:

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# Abbreviations

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# [insert title of Information Asset]

Grey text has been added to assist the completion of this document. The [Information Management Governance Model](https://ww2.health.wa.gov.au/~/media/Corp/Policy-Frameworks/Information-Management/Information-Management-Governance-Policy/Supporting-Information/Information-Management-Governance-Model.pdf) can also assist. Remove as you go.

## Background

Provide background information about the information asset such as:

* **the purpose of the information asset** – why was the information asset developed. This does not need to be long but should provide an understanding of the information asset.
* **Legislative requirements** – outline any legislative obligations for the information asset. For example: the applicable act requires the collection of all applications for treatment within an information asset or health information management system.
* **what information is contained within the information asset** – for example, the type of clinical data pertaining to cancer or visual and audio data pertaining to security breaches or imaging data of MRI or scans
* **information asset allocation** (i.e. Local or Systemwide) – explain the reasoning for the allocation, for example, Local as it is only available at EMHS or Systemwide as it available at CAHS, DOH, EMHS, NMHS PathWest, SMHS and WACHS.

## Contact information

Provide contact information for Users to obtain further information. For example, generic email address and/or other contact details.

# System Description

## Architecture

Provide a description of the information asset including feeder systems. For example:

* what information feeds into the information asset (i.e. webPAS, iCM). If available, diagrams or flowchart of what goes into and out of the information asset.

## Classification of information

Provide information on the classification of the information contained within the information asset, refer to the [MP 0146/20 Information Classification Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Classification-Policy).

## Products

Provide information on the products available for Users to access, use and disclose. For example:

* Clinical or non-clinical data
* Types of analysis
* Self-service reports
* Dashboards

# Roles and Responsibilities

The <insert name of information asset> has established the following Governance roles.

Further information is provided in the [Information Management Governance Model](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Governance/Information-Management-Governance-Policy). Also document the role and responsibilities of any Business User Groups (BUGs)/Business Advisory Groups (BAGs) that have been set up for the information asset.

## Steward

The Steward for <insert name of information asset> is the <insert position title of the Steward>. The responsibilities of the Steward are to:

* Implement and support the Information Management Governance Model
* Support and provide leadership to the management of Information Assets
* Provide support to the Custodians on the management of information management practices
* Support information sharing that promotes the access, use and disclosure of information when it is permitted or required by law
* Assign functions to the Custodians and Administrators, and ensure these functions are detailed within the associated Instrument of Delegation and the WA health system Information Register
* Ensure policies under the relevant Policy Frameworks are supported and implemented
* Support the participation to the information management communications and education programs
* Review and manage all risks and issues that arise
* Escalate to the Information Management Governance Advisory Group as required
* Ensure physical and technical controls are reviewed, maintained and improved
* Ensure continual improvement to the Information Assets such as quality of information, security, metadata and record management.

## Sponsor

If the Local Steward has allocated a Sponsor, then document as per below, if not please remove.

Please note: The Systemwide Steward has not allocated a Sponsor, so please remove this section for systemwide information assets.

The Sponsor for <insert name of information asset> is the <insert position title of the Sponsor>. The responsibilities of the Sponsor are to:

* Provide support and leadership to the Custodians of allocated Information Assets in the day-to-day management
* Support the Steward in implementing policies, processes and procedures
* Support the Custodians on the management of information management practices including access, use and disclosure issues
* Support information sharing that promotes the access, use and disclosure of information when it is permitted or required by law
* Ensure functions are appropriately assigned to the Custodians and Administrators and are detailed within the associated Instrument of Delegation and the WA health system Information Register
* Support the Steward in the implementation of relevant policies within the Policy Frameworks
* Support the Steward in organising participation in information management communications and education programs
* Review and manage all risks and issues that arise
* Escalate to the Steward as required
* Support the Custodian in reviewing and maintaining physical and technical controls to the Information Asset
* Support the Custodian in reviewing and maintaining quality improvements including quality processes, security, metadata and record management.

## Custodian

The Custodian(s) for <insert name of information asset> is the <insert position of the Custodian(s)>. The responsibilities of the Custodian(s) are to:

* Manage the Information Asset in line with policy and relevant legislation and other written laws
* Support information sharing that promotes the access, use and disclosure of information when it is permitted or required by law
* Provide advice on the proper use and interpretation of the information to authorised users
* Ensure the Custodian and Information Asset details are current and accurate within the associated Instruments of Delegation and the WA health system Information Register
* Supports and implements the relevant policies, processes and procedures
* Participation in all information management communication and education programs
* Maintain a work plan for the asset highlighting risk and mitigation strategies
* Highlight risks and associated mitigation strategies to the Steward if deemed operationally required by the Steward
* Escalate risks associated with access, use and disclosure of information to the Steward or the Sponsor if deemed operationally required by the Steward
* Report and manage information breaches in a timely manner as outlined within relevant policies
* Control the access to the Information Asset including regular reviews of users
* Ensure the safe transmission of information to authorised users
* Maintain the security of the Information Asset to ensure privacy and confidentiality of information contained within
* Maintain the quality of the data within the Information Asset including accuracy, completeness, relevance, timeliness, reliability, integrity and consistency to the business needs of the WA health system
* Maintain documentation of metadata, data dictionary and any technical documentation required by policies, legislation or other written laws
* Ensure the record management (retention, storage and disposal) of information is in accordance with policies, legislation and other written laws
* May participate within Business User Groups.

## Administrator

This role is optional, remove if not required. If HSS is the Administrator, document the applicable position within HSS and the responsibilities.

The Administrator(s) for <insert name of information asset> is the <insert position of Administrator(s). The responsibilities of the Administrator(s) are to:

* Provide support and technical expertise to Custodians in managing allocated Information Assets
* Support the Custodian in implementing technical directions to allocated Information Assets
* Ensure Administrator details are current within the associated Instruments of Delegation and the WA health system Information Register
* Assists the Custodian in the technical implementation of the relevant policies, processes and procedures
* Participation in all information management communication and education programs
* Highlight risks to and within the Information Asset and associated mitigation strategies to the Custodian
* Report and manage information breaches in a timely manner as outlined within policies
* Ensure all physical and technical controls have been applied to the Information Asset
* Assist the Custodian in implementing quality, security, metadata and record management improvements; and
* May participate within Business User Groups.

## Users

The responsibilities of the Users of the <insert name of information asset> are to:

* Maintains compliance to the approved usage of information provided by the Custodian
* Comply to the access, use and disclosure agreements, process or procedures outlined by the Custodian
* WA health system staff members – comply to the relevant policies within the Policy Frameworks, local policies, processes and procedures
* Non-WA health system users - abide by the access, use and disclosure agreements, process or procedures outlined by the Custodian
* Report any suspected breach of information within a timely manner
* Ensure all physical and technical controls are being utilised such as passwords, multi factor authentication and separation of duties
* Report information quality, functionality or security concerns to the Custodian.

## BUGS/BAGS

If applicable, document their involvement ensuring **no approval processes** are assigned. Any recommendations from the BUGS/BAGS must be approved by the Steward/Sponsor or Custodian before implementation.

# Information Access, Use and Disclosure

## Requests for access process

Document the process (step by step) for Users to obtain access the information asset including the approval processes. Put the matrix or flow diagram as an Appendix.

For further information refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy)

## Requests for information process

Document the process (step by step) to request information from the information asset including the approval process. Put the matrix or flow diagram as an Appendix.

For further information refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy)

## Research requests process

Document the process (step by step) for Researchers to obtain information from the information asset including the approval process such as Human Research Ethics Committee (HREC).

For further information refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy) and the applicable HREC to ensure the correct process.

## Quality improvement requests process

Document the process (step by step) for Users to obtain information from the information asset including the approval process such as GEKO (Governance, Evidence, Knowledge, Outcomes).

For further information refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy) and the applicable GEKO to ensure the correct process.

## Quality assurance

Document the quality assurance process and the frequency of the assurance work. Quality assurance is checking to ensure policies, processes and procedures do not restrict the access, use and disclosure of information to perform the legal purposes stipulated in the *Health* *Services Act 2016* or other written laws.

Refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy)

## Information Breach

Document the Information Breach process. This includes actions to:

* Contain the information breach
* Assess the impact of the information breach to determine the extent of the damage and harm caused
* Remediate any risk of further harm
* Review the incident and take preventative actions including completing the [Information Breach Notification Form](https://ww2.health.wa.gov.au/~/media/Files/Corporate/Policy-Frameworks/Information-management/Policy/Information-Breach-Policy/Supporting/Word/Information-Breach-Notification-Form.docx)

For further information refer to the [MP 0135/20 Information Breach Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Breach-Policy).

# Storage

Document any storage arrangements as per the [MP 0145/20 Information Storage Policy](https://ww2.health.wa.gov.au/-/media/Corp/Policy-Frameworks/Information-Management/Information-Storage-Policy/Information-Storage-Policy.pdf). For example:

* **Paper records** – must be protected not only from unauthorised access and theft, but from damage that can be caused by vermin, fire, water, mould and natural disasters
* **Digital records** – must have the appropriate security controls in place to protect from theft, fraud, malicious or accidental damage and privacy breaches.
* **Biological** – must be stored as outlined in the Therapeutic Goods Administration: Biological Standards.

#  Quality

## Data Quality assessments

The data within the information asset must be maintain to high quality with respect to relevancy, accuracy, timeliness, coherence and interpretability. Document data quality assessment processes and frequency for the information asset.

Refer to [MP 0057/17 Data Quality Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Collection/Data-Quality-Policy).

# Metadata

Metadata is a set of data that describes and gives information about the data within the information asset.

A **data dictionary** is the document that explains the information within the information asset.

A Data Dictionary must be developed which outlines the information contained in the information asset. A separate [Data Dictionary template](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Governance/Information-Management-Governance-Policy) is available, otherwise the metadata can be placed in the Appendix.

# Security

Document any security processes required by the [MP 0067/17 Information Security Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-and-Communications-Technology/Mandatory-requirements/Information-Security-Policy) that have put in place for the information asset. For example:

* access controls
* passwords and authentication
* management of privileges
* group or generic logon accounts.

If applicable, security matrixes should be included as an Appendix.

# Retention and Disposal

Information stored within the Information Asset applies the correct retention and disposal sentencing. Refer to [MP 0144/20 Information Retention and Disposal Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Storage-and-Disposal/Information-Retention-and-Disposal-Policy).

# Definitions

Document any definitions.

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|  **Term** | **Definition** |
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# Version Control

This document must be reviewed on a regular basis to ensure currency. Document each revision made.

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# Appendix

## Access and Disclosure model

Refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy) Resource Compendium for the current template

## Disclosure Registry

Refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy) Resource Compendium for the current template

## Assurance Check

Refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy) Resource Compendium for the current template

## Audit

Refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy) Resource Compendium for the current template

## Information Request Form

Refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy) Resource Compendium for the current template

## Information Release Form

Refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy) Resource Compendium for the current template

## Information Release Contract

Refer to the [MP 0015/16 Information Access, Use and Disclosure Policy](https://ww2.health.wa.gov.au/About-us/Policy-frameworks/Information-Management/Mandatory-requirements/Access-Use-and-Disclosure/Information-Access-Use-and-Disclosure-Policy) Resource Compendium for the current template

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