

NORTH LINCOLNSHIRE COUNCIL

AUDIT COMMITTEE

INFORMATION GOVERNANCE & IT SECURITY UPDATE – JANUARY 2016

1. OBJECT AND KEY POINTS IN THIS REPORT

- 1.1 To provide the Audit Committee with an interim progress update following the annual assurance report presented in June 2015.

2. BACKGROUND INFORMATION

- 2.1 An annual assurance report was presented to the Audit Committee in June 2015 detailing the current position of the council's Information Governance and IT Security arrangements. It was agreed that an interim update would be presented in January 2016.
- 2.2 Since June 2015 further improvements have been made to the control frameworks for information governance and IT security. Key developments included:
- A recent internal audit of the council wide FOI process concluded with an "adequate assurance" opinion.
 - Awareness of the importance of the Freedom of Information (FOI) legislation was promoted via communications and discussions at senior management meetings. Performance on FOIs is now reported monthly to all directors. The purpose is to maintain appropriate council response times in line with legislative requirements.
 - The annual IT Security Health Check was carried out over the summer as part of our Public Services Network (PSN) compliance application.
 - We successfully received our annual PSN compliance certificate in November 2015 without qualification or challenge from the assessor.
 - An Information Governance and IT Security Knowledge Base has been created on the TopDesk system. This provides answers to frequently asked questions, details of key roles, processes and provides a clear and secure way to report any information related concerns. This is now available council wide.

- Privacy Impact Assessments (PIAs) are now being carried out for key council decisions, projects and/or spend where there is a need to consider how personal information will be handled. This now forms part of the Integrated Impact Assessment. This ensures that all risks to personal information are considered and either removed or reduced to an acceptable level.
- The amalgamation of Information Governance and IT Security functions was further strengthened under the recent Shared Services IT Services review. A dedicated Information Governance officer post and assistant were created as part of the new IT Services structure to support the Principal Information Governance Officer.
- The Records Management Policy was updated to include a comprehensive Records Retention Schedule. This provides guidance on what information should be retained and for how long for. It is based on legal requirements and nationally recognised best practice.
- The Records Management Improvement Project has continued to improve storage facilities at Glanford House. Enhancements to the security of the site have been made together with relocation of key records from other sites.

3. OPTIONS FOR CONSIDERATION

3.1 As detailed below.

4. ANALYSIS OF OPTIONS

4.1 **Option 1** – The Audit Committee agrees that the current position provides sufficient assurance in our approach to Information Governance and IT Security.

4.2 **Option 2** –The Audit Committee do not agree that the current position does not provide sufficient assurance and requests that additional work is undertaken.

5. RESOURCE IMPLICATIONS (FINANCIAL, STAFFING, PROPERTY, IT)

5.1 Not applicable.

OUTCOMES OF INTEGRATED IMPACT ASSESSMENT (IF APPLICABLE)

5.2 An integrated impact assessment is not required for this report.

6. OUTCOMES OF CONSULTATION AND CONFLICTS OF INTERESTS DECLARED

6.1 There are no consultations or conflicts of interests to report.

7. RECOMMENDATIONS

- 7.1 The Audit Committee should consider whether the report provides sufficient assurance of the adequacy of the council's Information Governance and IT Security arrangements.

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