NORTH LINCOLNSHIRE COUNCIL

AUDIT COMMITTEE

INFORMATION GOVERNANCE & ICT SECURITY UPDATE – 2016-17

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1.   OBJECT AND KEY POINTS IN THIS REPORT

1.1   To provide the Audit Committee with an annual position statement on the council's Information Governance and ICT Security Functions.

1.2   Key points are:

➢   The council is required by law to comply with a range of information related requirements.

➢   An Information Governance and ICT Security Policy Framework with associated policies is in place to support the council in complying with legislative requirements.

➢   The council has undertaken a number of internal and external assessments, which indicate assurance in its operation of these functions.

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2.   BACKGROUND INFORMATION

2.1   An annual assurance report is presented to the Audit Committee in June of each year detailing the current position of the council's Information Governance and ICT Security arrangements.

2.2   Since June 2016 further improvements have been made to the control frameworks for Information Governance and ICT security or previous good standards have been maintained. Key developments included:

2.3   At the end of March 2017 the fifth NHS Information Governance Self-Assessment was made at the level required to maintain the council's access to certain health information.

2.4   The annual IT Security Health Check was carried out over the summer as part of our Public Services Network (PSN) compliance application. All security remediation actions were carried out immediately.

2.5   We successfully received our annual PSN compliance certificate in January 2017 without qualification or challenge from the assessor.

2.6   The Information Governance and ICT Security Policy Framework and associated policies have been reviewed and will be released when they have been combined into a single framework with those policies in place at North East Lincolnshire Council.

2.7   The Humber Information Sharing Charter has been successfully reviewed by the Humber Steering Group. This group works across sectors to implement consistent policies enabling organisations to work closely together under a common framework.

2.8   A campaign to raise awareness of Information Governance and IT Security good practice has been produced and rolled out to both councils. This comprised of six weekly council wide messages, an electronic booklet containing all messages and a week-long screen saver.

2.9   The following other ICT Security enhancements have been made:

> Enhanced Microsoft patch management
> New Mobile Device Management software
> Implemented a secure email file transfer system called MoveIT
> Widened the scope of external IT Health checks
> Improved training and awareness for users

2.10   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. This had a positive impact and improved our response time in line with our statutory duty.

2.11   If concerns about privacy are raised with the Information Commissioner's Office (ICO) as the regulator of the Data Protection Act they can ask to see the council's associated Privacy Impact Assessment (PIA). We have successfully submitted our first PIA to the ICO who were satisfied with our PIA process and who were reassured about the privacy concerns raised.

2.12   The use of the Corporate Records Store at Glanford House is now embedded into council process and the recent further rationalisation of buildings has seen additional records placed into storage there. Security has been enhanced at the facility with the implementation of external CCTV and more alarm sensors.

2.13   There have been no challenged from the ICO about how the council is taking care of information.

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.

6.   OUTCOMES OF INTEGRATED IMPACT ASSESSMENT (IF APPLICABLE)

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

7.   OUTCOMES OF CONSULTATION AND CONFLICTS OF INTERESTS DECLARED

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

8.   RECOMMENDATIONS

8.1   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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