

Information Security Checks 2014/15 City of York Council Internal Audit Report

Service Area: Corporate and Cross-Cutting

Responsible Officer: Director – Customer and Business Support Services

Date Issued: 16 December 2014

Reference: 10260/011

Status: Final

Summary and Overall Conclusions

Introduction and objectives

1.0 In accordance with the agreed audit plan, regular information security checks will be undertaken at council offices during 2014/15. The purpose of these visits is to assess the extent to which confidential, personal or sensitive data is stored securely and to ensure that data security is being given sufficient priority within council departments. The first of this year's visits was completed in September 2014.

Scope of the Audit

- 1.1 Both West Offices and Hazel Court were visited as part of this audit. This was the fourth information security visit since the opening of West Offices and the council-wide implementation of a clear desk policy.
- 1.2 The buildings were visited after most staff had left for the day. This enabled auditors to assess the extent to which data is being left out overnight without appropriate security.
- 1.3 The findings are summarised below, categorised according to the reasons for the breach and the action needed to address these weaknesses.
- 1.4 Detailed findings are set out in the attached annex 1, separated for the two buildings visited.

Findings

- 2.0 Overall, progress observed from checks undertaken in 2013-14 seems to have stalled. Areas that have previously improved their practice seem to have maintained this improvement but there were areas where the same weaknesses observed previously still need to be addressed.
- 2.1 Individual feedback was sent to service managers where significant issues have been identified. Where these are recurring weaknesses for a service area, specific action has been requested from service managers. Annex 2 contains a summary of all the service areas provided with feedback, whether specific action was requested and where the service identified the action that would be taken.

Hazel Court

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West Offices

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Overall Conclusions

- 3.2 Compliance with the clear desk policy is much improved but not complete across either site.
- 3.3 Overall, the council is generally well protected against accidental disclosure of information as the majority of information is stored in cupboards and most doors of those cupboards are closed.
- 3.4 Overall, there is currently satisfactory management of risk but a number of weaknesses were identified. An acceptable control environment is in operation but there are a number of improvements that should be made. Our opinion of the controls within the system at the time of the audit was that they provided **Moderate Assurance**.

Actions

- 4.1 The draft report was issued to members of the Corporate Information Governance Group (CIGG) in September 2014. An update and this final report will be presented to CIGG in December 2014, for Directorate Information Governance Champions to agree what actions will be taken at a corporate level to address the highlighted issues.
- 4.2 Feedback was provided to all service areas where there were findings. Specific actions have been requested from service managers in relation to those areas where the risks are greatest; either because of the nature of the documents left unsecured or because the weaknesses in information security are a recurring issue. The results of this are detailed in

	Annex 2, along with the proposed follow up action to be taken by internal audit where service areas have not identified what action they will take.
4.3	The next round of visits will take place shortly and where weaknesses are recurring internal audit will seek to agree actions and may escalate issues to CIGG if services do not identify appropriate action.

Detailed Findings

Hazel Court			
Issue / Item Identified	Directorate	Service area ¹	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	Facilities Management	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS / CES	Housing and Community Services / Highways	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Building Services	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Building Services	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Building Services	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Building Services	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Neighbourhood Pride	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Public Protection	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Public Protection	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Public Protection	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Highways	
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Highways	

¹ The service area has been deduced as far as possible from the available floor plan for Hazel Court and the nature of the items found. Individual service managers will be sent details of specific cupboard numbers, desks and location descriptions to enable them to identify exactly where the items were found.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Transport	
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West Offices				
Issue / Item Identified	Directorate	Service area ²		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Housing		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Housing		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Housing		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Housing		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	York Learning		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	York Learning		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	York Learning		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	York Learning		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	York Learning		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS / CES	Business Support		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS / CES	Business Support		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	Customer Services		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	Customer Services		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	Customer Services		

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² The service area has been deduced as much as it is possible to do so from the available floor plan for West Offices and the nature of the items found. Individual service managers will be sent details of specific cupboard numbers, desks and location descriptions to enable them to identify exactly where the items were found.

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX		
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	Customer Services
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	ICT
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	ICT
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	Property
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	Property
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CBSS	Transactional Services (Council Tax & NNDR)
xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx	CBSS	Transactional Services (creditors)
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	OCE	All teams – used for powerpoint in meetings
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Building Control
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Building Control
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Development, Planning and Regeneration
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Development, Planning and Regeneration
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Transport
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Transport

xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx	CSES	School Services
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CSES	SEN
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CSES	Youth Services (PSI)
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CSES	Youth Services (YOT)
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS	Housing
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CANS / CES / Health and Wellbeing	Sport and Active Leisure / Business Support / Various previously under 'Leisure services'
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	CES	Development Services Planning & Regeneration

Detailed feedback provided to service managers

	Service Area	Action explicitly requested	Action taken / agreed	Next steps / follow up
1	Facilities Management	No	Yes	To re-assess as normal in next round of visits.
2	ICT	No	No	To re-assess as normal in next round of visits.
3	Building Services	Yes	No	To re-assess in next round of visits and possibly escalate if there is no improvement.
4	Neighbourhood Services	Yes	Yes	Action taken satisfactory. To re-assess as normal in next round of visits.
5	Highways	Yes	No	To re-assess in next round of visits and possibly escalate if there is no improvement.
6	Transport	No	No	To re-assess as normal in next round of visits.
7	Public Protection	Yes	Yes	To assess in next round of visits whether action has been taken and information now being stored securely.
8	York Learning	No	No	To re-assess as normal in next round of visits.
9	Youth Offending Team (YOT)	No	No	To re-assess as normal in next round of visits.
10	Children's Strategy / SEN	Yes	Yes	To assess in next round of visits whether action has been taken and information now being stored securely.
11	Transactional Services	No	No	To re-assess as normal in next round of visits.
12	Housing	Yes	Yes	Action taken satisfactory. To re-assess as normal in next round of visits.
13	CANS / CES Business Support	Yes	No	To re-assess in next round of visits and possibly escalate if there is no improvement.

14	Sport & Active Leisure / CANS & CES Business Support	Yes	Yes	To assess in next round of visits whether action has been taken and information now being stored securely.
15	Building Control	No	No	To re-assess as normal in next round of visits.
16	Development, Planning and Regeneration	No	No	To re-assess as normal in next round of visits.
17	Customer Services	No	Yes	Action taken satisfactory. To re-assess as normal in next round of visits.
18	School Services	No	No	To re-assess as normal in next round of visits.
19	Property	No	No	To re-assess as normal in next round of visits.
20	Personal Support & Inclusion	No	No	To re-assess as normal in next round of visits.
21	Community Stadium	No	Yes	Action taken satisfactory. To re-assess as normal in next round of visits.
22	Health and Wellbeing	Yes	N/A	Replies confirmed cupboards identified belong to Housing and action taken as noted above. To re-assess Health and Wellbeing as normal in next round of visits.