



**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: 22 May 2015

Reference: 10260/011



representatives of Corporate Information Governance Group (CIGG) should take this forward within their directorate.

## Overall Conclusions

- 3.0 Overall, the council is well protected against accidental disclosure of information. The vast majority of information is stored in cupboards and most cupboard doors are closed. The clear desk policy is largely adhered to throughout West Offices and this now appears to be the case for most teams at Hazel Court. In addition, the reception building (and therefore, the site as whole) was more secure, though there were still some improvements that could be made.
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- 3.2 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 **Reasonable Assurance**.

## Actions

- 4.1 This report will be presented to the Corporate Information Governance Group (CIGG) in order to agree actions to be taken at a corporate and directorate level to address the issues identified.
- 4.2 Internal audit will also agreed specific actions with 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 (those items listed as 'significant items' in Annex 2).
- 4.3 A series of information security checks will be conducted in 2015-16. Discussions will be held with the Transparency and Feedback manager to agree how these will be conducted, with a view to varying the locations visited and method, scope and objectives of the checks.

# Audit Opinions

## Audit Opinions

Audit work is based on sampling transactions to test the operation of systems. It cannot guarantee the elimination of fraud or error. Our opinion is based on the risks we identify at the time of the audit.

Our overall audit opinion is based on 5 grades of opinion, as set out below.

Opinion	Assessment of internal control
High Assurance	Overall, very good management of risk. An effective control environment appears to be in operation.
Substantial Assurance	Overall, good management of risk with few weaknesses identified. An effective control environment is in operation but there is scope for further improvement in the areas identified.
Reasonable assurance	Overall, satisfactory management of risk with a number of weaknesses identified. An acceptable control environment is in operation but there are a number of improvements that could be made.
Limited Assurance	Overall, poor management of risk with significant control weaknesses in key areas and major improvements required before an effective control environment will be in operation.
No Assurance	Overall, there is a fundamental failure in control and risks are not being effectively managed. A number of key areas require substantial improvement to protect the system from error and abuse.

**Detailed Findings**



March Sweep  
findings - consolidated

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