

Audit Committee Paper	
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Report for	Decision <input type="checkbox"/> Information <input checked="" type="checkbox"/>
Restricted or confidential Information?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If confidential, protective marking ¹	
Date of Meeting	26 January 2010
Agenda Item	4
Report Title	Senior information risk owner's (SIRO) report for Quarter 3 2010-11
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1. Summary

This is the first of a more structured quarterly report to Audit Committee covering information risk. It is template based which it is hoped will mean all aspects of information risk and data handling are covered. The major event over the last quarter was a request for an internal review under section 45 of the Freedom of Information Act. Our response to this request probably consumed about 10 days work.

2. Recommendations for action

Please see Internal Review report and recommendations, issued separately.

3. Serious information risk incidents

None

4. Freedom of Information Act 2000

Requests for information made under the above act this quarter

Applicant reference	Information required	Response time	remarks
Mr. Richard Reay	Security Operational Policy	Within 20 working days	
Mr. James Clark	East Midland Trains Complaints	Within 20 working days	
Ms. Joanne Smith	Marketing and Communications structure for organisation	Within 20 working days	
Mr. David Behrens	Complaints related to ticket barriers at Leeds station and discourteous staff at Northern Rail	Within 20 working days	

¹ie RESTRICTED plus COMMERCIAL / POLICY / STAFF / PERSONAL PROTECT

Other FOIA Issues			
CRM System			
As a new control, the Corporate Services Executive can now access the Passenger Advice Team CRM system. This means that requests are now logged in two places to ensure two teams are aware of the requests, so that they are resolved within the specified time period of 20 working days.			
Publication Scheme			
We now have an updated Publication Scheme on our website in the format required by the Information Commissioner. Staff are being made aware of the scheme through training sessions that are taking place across the organisation.			
Section 45 issues (complaints or request for internal review) this quarter			
Applicant	Issue	Response time	remarks
09/10-01 Gilbert	Complaint handling and FOIA response	21 days	See dossier

5. Compliance

Information Strategy Group

The Information Strategy Group meets quarterly by conference call. It's last two meetings were:

- 13 October 2009
- 15 January 2010

Information Risk Assessment (attached)

The information risk assessment was reconfirmed at the last ISG meeting, and has as usual informed the basis of our quarterly return to DfT.

Data protection Act 1998

We received three Subject Access Requests this quarter relating to case notes between Passenger Focus and TOCs. All responses were sent within the specified time period of 40 calendar days.

Privacy Impact Assessments

Management team approved the process for PIA screens for all substantive projects in October 2009. These are now being implemented. A screen form is attached; the guidance that goes with it is also available.

6. New developments / other

Internal Audit – data handling and information risk

We are expecting terms of reference shortly for a follow-up audit in February 2010