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| <b>Audit Committee Paper</b>                     |  |
| <b>Jan 10 AC 6.0</b>                             |  |
| Report for                                       | Decision <input type="checkbox"/><br>Information <input checked="" type="checkbox"/> |
| Restricted or confidential Information?          | Yes <input type="checkbox"/><br>No <input type="checkbox"/>                          |
| If confidential, protective marking <sup>1</sup> |  |
| Date of Meeting                                  | 26 January 2010  |
| Agenda Item                                      | 4  |
| Report Title                                     | <b>Senior information risk owner's (SIRO) report for Quarter 3 2010-11</b>           |
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| Author(s)  | Shivani Kaushik  |



### 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 |         |
|                     |  |                        |         |
|                     |  |                        |         |

<sup>1</sup>ie RESTRICTED plus COMMERCIAL / POLICY / STAFF / PERSONAL PROTECT

| <b>Other FOIA Issues</b>  |                                      |                      |                |
|---|--------------------------------------|----------------------|----------------|
| <b>CRM System</b>   |                                      |                      |                |
| 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. |                                      |                      |                |
| <b>Publication Scheme</b>   |                                      |                      |                |
| 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.  |                                      |                      |                |
| <b>Section 45 issues (complaints or request for internal review) this quarter</b>   |                                      |                      |                |
| <b>Applicant</b>  | <b>Issue</b>                         | <b>Response time</b> | <b>remarks</b> |
| 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