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31 March 2010

Dear Anthony

SIRO's ANNUAL REPORT TO INFORM YOUR STATEMENT ON INTERNAL CONTROL

I am required by cross-government *Minimum Mandatory Measures* to provide you with an annual assessment on information risk to help inform your statement on internal control. This annual assessment must be based on the views of the several Information Asset Owners within Passenger Focus and be countersigned by the Chairman of the Audit Committee.

All Information Asset Owners keep their information assets under review during the year, and provide a monthly statement to the Resources Director in their budget holder declaration.

The Information Strategy Group (ISG) meets quarterly, and reviews our rolling action plan and checklist. This includes such issues from *Minimum Mandatory Measures* that we consider to be relevant and proportionate, based on guidance from the Audit Committee. ISG has endorsed this letter.

During the course of the year, I have introduced a quarterly SIRO report to Audit Committee, setting out progress as described above, and issues that have arisen over the quarter in respect of requests under the Freedom of Information Act 2000, the Data Protection Act 1998 and *Minimum Mandatory Measures*.

I have re-published our Information Risk Handbook twice during the year, and it now forms part of the basis for our corporate services roadshows which we will conduct six monthly for all staff.

In January 2010, I published my annual statement on changes to risk levels as they apply to information assets (MMM4.2), and my annual consideration of how better use could be made of information assets (MMM6.0).

A key issue during the year has been lack of progress for technical reasons in installing user-friendly encryption software on portable devices. We hope to have this issue fully resolved early in the new business year.



The above risk is largely mitigated by:

- (a) Successful penetration testing conducted during the year; and
- (b) An updated IT security policy which makes clear that personal-protect data must not be stored on portable devices or removable media.

In February 2010, DfT Information Management Division introduced further controls on assurance for delivery partners via HMG's Information Assurance Maturity Model and Assessment Framework. This model had apparently been published in October 2009 although no one thought it necessary to advise Passenger Focus. It represents a further piece of unnecessary work; I have cooperated on this occasion, despite a clear steer from the Audit Committee Chairman to ignore the matter.

Lastly, I am awaiting the final report from Internal Audit in respect of the recently completed audit of data handling and information risk.

I am of the opinion that Passenger Focus remains a low risk organisation, and that the actions I have taken as described above are relevant and proportionate to the risks we face. **There have been no reportable data incidents during the year.** I would therefore advise you that you should have no concern in respect of claiming broad, proportionate, compliance with *Minimum Mandatory Measures* on information risk within your statement on internal control.

Yours sincerely,

JON CARTER
Head of Corporate Services
Senior Information Risk Owner (SIRO)

Countersigned by:

DEREK LANGSLOW CBE
Chairman
Passenger Focus Audit Committee

Date: 14 04 10