

Anthony Smith
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30 April 2016

Dear Anthony,

SIRO's ANNUAL OPINION TO SUPPORT THE GOVERNANCE STATEMENT IN THE ANNUAL REPORT AND ACCOUNTS

I am required by HMG Security Policy Framework to provide you with an annual assessment on information risk to help inform the governance statement in the annual report and accounts. This annual assessment must be based on the views of the several Information Asset Owners within Transport Focus and be countersigned by the Chairman of the Audit and Risk Assurance 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 matters of information risk. This includes issues that we consider to be relevant and proportionate, based on guidance from the Audit and Risk Assurance Committee. ISG has endorsed this letter. The ISG also conducts a quarterly risk assessment for each information asset which is then reviewed by the Audit Committee. An annual return has also been made to the Sponsorship Team at the Department for Transport. ISG bases its work on meeting the requirements of HMG Security Policy Framework.

No internal audit in respect of Data Handling and Information Risk has been conducted in 2015-16. During the course of the year, Transport Focus has been using the Cabinet Office information risk e-learning package which new staff have completed to level 1, data handlers to level 2, and Information Asset Owners to level 3. A refresher exercise will be conducted during 2016-17.

Privacy impact assessment screens continue included as part of the project framework to ensure the privacy of individuals is protected when information is collected for research projects. They now form a mandatory part of the project brief.



I am also preparing my annual review on changes to risk levels as they apply to information assets, my annual consideration of how better use could be made of information assets, and an assessment of compliance against HMG Security Policy Framework mandatory measures. This work will be informed, as it is required to be, by the views of the various IAO's, and will be provided to the July meeting of the Audit and Risk Assurance Committee.

I am of the opinion that Transport 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. Other than a breach of a media embargo in respect of the 2015 NRPS Spring wave publication, which has been duly reported to the Office for National Statistics, **there have been no reportable data incidents during the year.** I would therefore advise you that we should have no concern in claiming broad, proportionate, compliance with HMG Security Policy Framework as it relates to information risk within our annual governance statement.

I am copying this letter to Shahid Mohammed.

Yours sincerely,

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