

Information Security Checks 2013/14 City of York Council Internal Audit Report

Service Area: Corporate and Cross-Cutting

Responsible Officer: Director – Customer and Business Support Services

Date Issued: 14/03/2014 Reference: 10260/009

Summary and Overall Conclusions

Introduction and objectives

1.0 In accordance with the agreed audit plan, quarterly information security checks have been undertaken at council offices during 2013/14. The purpose of these visits is to assess the extent to which confidential, personal or sensitive data is stored securely and to ensure that data security is being given sufficient priority within council departments. The third of this year's visits has recently been completed.

Scope of the Audit

- 1.1 Both West Offices and Hazel Court were visited as part of this audit. This was the third information security visit since the opening of West Offices and the council-wide implementation of a clear desk policy.
- 1.2 The buildings were visited after most staff had left for the day. This enabled auditors to assess the extent to which data is being left out overnight without appropriate security.
- 1.3 Detailed findings are set out below, separated between the two buildings visited.

Findings

- 2.0 Overall, while there has been progress made from information security checks in earlier years and some individual departments have improved recently, there have been only minor improvements during this year and there are still weaknesses that need to be addressed. Individual feedback will be sent to service managers where significant issues have been identified.
- 2.1 The lists of information found unsecured are longer than in some previous reports but it was felt that the increase in findings didn't represent an increase in the amount of cupboards left unlocked, rather that the contents of the cupboards was becoming greater and more varied. Therefore one cupboard left unlocked without consideration of information security could lead to a wide range of documents being identified in our checks.

Hazel Court

- - XXXXXXXXXXXXXXXX

 - XXXXXXXXXXXX

West Offices

- XXXXXXXXXXX

- XXXXXXXXXXXXXXXX
- XXXXXXXX
- XXXXXXXXX
- XXXXXXXXXX

Overall Conclusions

- 3.2 The clear desk policy is not being followed by all staff members at either site.
- 3.3 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 **Moderate Assurance**.

Recommendations

- 4.0 Directorate Information Governance Champions should ensure that:
 - all departments are reminded to lock cupboards at the end of the working day.
 - keys for locked cupboards are not stored unsecured in open cupboards.
 - there are suitable facilities, such as key safes, installed where they are not already in place for keys to be stored securely,
 - no sensitive or confidential data is stored on open bookcases

4.1	This report will be presented to the Corporate Information Governance Group (CIGG) in March 2014, where Directorate Information Governance Champions will agree what actions will be taken to address the highlighted issues.