

# Renfrewshire Council

## Data protection audit report

Executive summary  
January 2013

## 1. Background

The Information Commissioner is responsible for enforcing and promoting compliance with the Data Protection Act 1998 (the DPA). Section 51 (7) of the DPA contains a provision giving the Information Commissioner power to assess any organisation's processing of personal data for the following of 'good practice', with the agreement of the data controller. This is done through a consensual audit.

The Information Commissioner's Office (ICO) sees auditing as a constructive process with real benefits for data controllers and so aims to establish a participative approach.

Renfrewshire Council (RC) has agreed to a consensual audit by the ICO of its processing of personal data.

An introductory meeting was held on 13 September 2012 with representatives of RC to identify and discuss the scope of the audit.

## 2. Scope of the audit

Following pre-audit discussions with RC, it was agreed that the audit would focus on the following areas:

Data protection governance – The extent to which data protection responsibility, policies and procedures, performance measurement controls, and reporting mechanisms to monitor DPA compliance are in place and in operation throughout the organisation.

Security of personal data – The technical and organisational measures in place to ensure that there is adequate security over personal data held in manual or electronic form.

Requests for personal data - The processes in place to respond to any requests for personal data. This will include requests by individuals for copies of their data (subject access requests) as well those made by third parties and sharing agreements.

### 3. Audit opinion

The purpose of the audit is to provide the Information Commissioner and RC with an independent assurance of the extent to which RC, within the scope of this agreed audit is complying with the DPA.

The recommendations made are primarily around enhancing existing processes to facilitate compliance with the DPA.

| <b>Overall Conclusion</b>   |  |
|-----------------------------|--|
| <b>Reasonable Assurance</b> | <p>The arrangements for data protection compliance with regard to governance and controls provide a reasonable assurance that processes and procedures are in place and being adhered to. The audit has identified some scope for improvement in existing arrangements.</p> <p>We have made 1 limited and 2 reasonable assurance assessments of scope areas where controls could be enhanced to address the issues which are summarised below and presented fully in the 'detailed findings and action plan' at section 7 of this report</p> |

## 4. Summary of audit findings

### Areas of good practice

There are local risk registers in place that incorporate information risk and are used to drive the Internal Audit plan.

The Council security controls in place surrounding identity access management include complex passwords and monitoring of starters, leavers and movers.

There are appropriate network access controls in place including the encryption of mobile devices.

Data Protection Officers in each service receive additional training that includes the handling of requests.

There is a central log of SARs which includes details of key dates and who is responsible for completing the request.

### Areas for improvement

There are few reporting measures in relation to data protection reported through the governance structure.

Reporting of compliance does not routinely inform the Annual Statement of Governance.

There are no corporate logs for security incidents.

There is no mandatory refresher training for data protection in place.

Third party requests are not recorded or reported corporately.

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**The matters arising in this report are only those that came to our attention during the course of the audit and are not necessarily a comprehensive statement of all the areas requiring improvement.**

**The responsibility for ensuring that there are adequate risk management, governance and internal control arrangements in place rest with the management of Renfrewshire Council.**

**We take all reasonable care to ensure that our audit report is fair and accurate but cannot accept any liability to any person or organisation, including any third party, for any loss or damage suffered or costs incurred by it arising out of, or in connection with, the use of this report, however such loss or damage is caused. We cannot accept liability for loss occasioned to any person or organisation, including any third party, acting or refraining from acting as a result of any information contained in this report.**