

Audit and Governance Committee paper

How this paper relates to our strategy	Setting standards	<input type="checkbox"/>	Increasing and informing choice	<input type="checkbox"/>	Demonstrating efficiency, economy and value	<input checked="" type="checkbox"/>
Paper title	Information Assurance and Security					
Agenda item	7					
Paper number	[AGC (01/10/14) 424 DM]					
Meeting date	1 October 2014					
Author	David Moysen, Head of IT					
For information or decision?	Information					
Recommendation	The Committee is asked to note this update					
Resource implications	As noted					
Implementation	Continually in progress.					
Communication	Annual review by AGC					
Organisational risk	Medium.					
Annexes						

1. Introduction

This paper appraises the Committee as regards ‘information security’ and the steps in place to ensure ongoing integrity. At its last meeting the Committee recognised that the Information for Quality Programme is likely to change the basis on which information security risks are considered but that focus should not be lost in the context of ‘business as usual’ matters.

As such, this report addresses:

- Security incidents in the past year;
- Information Management actions
- Progress with the Information Governance Toolkit
- The future direction of information governance and assurance looking towards the year ahead

2. Security Incidents

- a. No serious untoward incidents relating to the loss of personal data or breaches of confidentiality have been reported in the preceding twelve months.
- b. The HFEA's remote access system was affected by the Heartbleed issue (CVE-2014-0160). The system was patched as soon as the manufacturer issued new software and the certificate used was re-issued.

3. Information Management

- a. The HFEA has considered initiating a project to review its record classification scheme as regards its record management system – currently HP Trim. This will also entail ensuring that records have to correct retention schedules applied allowing for the permanent deletion of irrelevant historical documents. Currently, we are in the process of identifying suitable external expert advice to ensure that we use best practice.
- b. All staff now have access to IG training material on the Civil Service Learning Gateway and have completed the mandatory refresher training for the year.
- c. The number of HFEA information assets remains unchanged for the year.

4. Information Governance Toolkit (IGT)

- a. The HFEA is assessing its approach to managing risks to information using the Information Governance Toolkit. This is an online system which allows organisations processing healthcare information to assess themselves against Department of Health Information Governance policies and standards. There are 29 high level areas of risk that are assessed at 3 levels of competence. Unless an area is recognised as not being relevant we are required to meet level 2 compliance in each area and provide supporting evidence.

- i. Of the 29 high level requirements, the HFEA achieves level 2 or 3 in 21 areas..
- ii. 5 requirements are currently met at level 1, primarily as the HFEA does not currently have specific policies or document procedures in these areas. These will be addressed over the coming months.
- iii. 3 requirements are not relevant.

5. Future Direction

Over the coming months the HFEA will complete assessments against the IGT and for cyber security, in line with the guidance issued by Cabinet Office and the Department of Health. We plan to introduce a report from the Senior Information Risk Officer (SIRO) on these items as part of the end year reporting. The report will be made to the HFEA's Senior Management Team and AGC in June 2015.

IfQ

The IFQ programme has now reached the stage where we are looking at potential solutions and suppliers. Any third party supply of future systems will have to be compliant with the requirements set out in the IGT with a specific focus on IG12-210 *“All new processes, services, information systems, and other relevant information assets are developed and implemented in a secure and structured manner, and comply with IG security accreditation, information quality and confidentiality and data protection requirements”*.

Also, see paper on agenda as regards risks management in IfQ programme.