

Ref	Audit	Year	Action Owner	Priority	Report Issued	Original Target	Revised Target	Finding	Recommendation	Progress Update
01	Information Governance	2020/21	Group Manager of Community Risk Management	Medium	07/07/2020	31/07/2020	31/03/2022 31/12/2021 31/03/2021 31/12/2020	<p>The information asset register details that no data protection impact assessments (DPIAs) are required or have been undertaken. It was confirmed that DPIAs were not carried out as these were already existing, established processes, that had been assessed for security and stored and processed in line with expectations. However, there is no written evidence of this decision being made.</p> <p>The service are to change the way they process some data received with the introduction of iPads rather than using paper records. The ICO suggests that a DPIA should be undertaken for projects which require the processing of personal data to identify and minimise the data protection risks of a project. The introduction of iPads would fall under this as it is changing the way that data is processed.</p>	<p>The screening checklists developed by the ICO should be used to determine if data protection impact assessments (DPIA) are required for Community Risk Managements processes for collecting data.</p>	<p>January 22 Update - CRM is currently coming towards the final part of a CS Person Centred project which has altered elements of the data collected during SWVs and section will be doing a DPIA for this. This will be in conjunction with the Data protection officer.</p> <p>Timescale further revised to 31/03/2022</p> <p>July 21 Update - The service no longer has a Data Protection Officer. This is now looked after by an officer from Cleveland Fire Service.</p> <p>Timescale further revised to 31/12/2021</p> <p>Feb 21 Update - The Team Leader responsible for CFRMIS & CPOMS is currently absent with COVID 19 and we are unsure of the progress in these areas at this time.</p>

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02	Information Governance	2020/21	Group Manager of Community Risk Management	Medium	07/07/2020	31/07/2020	31/03/2022 31/12/2021 31/03/2021 31/12/2020	<p>Disposition logs for personal data destroyed in fire investigation records (Orcuma) are maintained.</p> <p>However, records in CFRMIS are not currently deleted as the auto deletion policy has not yet been activated. There are a number of complexities with CFRMIS that still need to work through before this process can be introduced.</p>	<p>All records held by the service should be disposed of in line with the retention schedule.</p> <p>Disposition logs should be maintained of the records disposed.</p>	<p>January 22 Update - Final checks on CFRMIS and CPOMS being carried out to determine if auto deletion is possible after a determined period. CS Team leader to be consulted on what a relevant determined period should be.</p> <p>Timescale further revised to 31/03//2022</p> <p>July 21 Update – There is now a module in place but this needs to be tested</p> <p>Timescale further revised to 31/12/2021</p> <p>Feb 21 Update - The Team Leader responsible for CFRMIS & CPOMS is currently absent with COVID 19 and we are unsure of the progress in these areas at this time.</p> <p>The Fire Safety Privacy Notice has been updated to include a retention period and the information regarding paper records has been removed.</p>

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03	ICT Procurement	2021/22	ICT Manager	Medium	28/07/2021	30/09/2021	31/01/2022	<p>Although a Whole Life Cycle Procedure has been developed and covers the procurement of goods, services and works, it does not detail what staffing levels/posts are able to make a procurement request.</p> <p>The ICT Procurement Information Note outlines the roles and responsibilities of ICT, but does not detail what staffing levels/posts are able to make a procurement request.</p> <p>The Whole Life Cycle Procedure has not been updated since the UK's exit from the EU. Consequently, the financial thresholds contained within the procurement policies do not reflect the revised Public Sector thresholds for 2020/21.</p>	<p>Procedures should be updated to include the relevant staffing levels/posts that are authorised to make a procurement request.</p> <p>The Whole Life Cycle Procedure should be reviewed and updated.</p> <p>The financial thresholds contained within the procurement policies need to be revised to reflect those held in the Public Sector thresholds for 2020/21.</p>	<p>January 22 Update – Policy is under review</p> <p>September 2021 Update – Policy to be reviewed in December 2021 so timescale revised to 31/01/2022</p>

04	Key Financial System Review	2021/22	Financial Services Manager	Medium	20/07/2021	30/11/2021	31/03/2022	<p>A sample of 30 invoices with a total value of expenditure exceeding £4.7million that had been paid without a purchase order being raised, were reviewed.</p> <p>It was identified that although the name of a 'service representative' was recorded within Oracle and used as the control measure in place for the authorisation of invoices payments, there was no information recorded to reflect what the review and approval process entailed, which falls short of the control measure which is expected to be in place.</p> <p>Furthermore, it was identified that it may have been appropriate purchase orders to be raised for some of the purchases to obtain approval of the expenditure in advance of the invoice being received, for example:</p> <ul style="list-style-type: none"> •Quarterly payments for the standard charge associated with pagers •Provision of Proxy Servers with Engineering Support for a specified number of days 	<p>A full review should be undertaken of the process in place for the payment of invoices to ensure that all controls are robust. This review should include, but not be limited to, the following areas:</p> <ul style="list-style-type: none"> •The process for review and approval of invoices paid without a purchase order. Consideration should be given to documenting the authorisation process, for example the capturing of the authorisation via email. •A review and clarification of the circumstances in which invoices can be paid without a purchase order being raised. 	<p>January 2022 – Update provided by Financial Services Manager "I will be reviewing the Privacy notices at some point in in the next few weeks"</p> <p>Timescale revised to 31/03//2022</p>
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								<ul style="list-style-type: none"> •Annual system maintenance •Insurance premiums 		
05	User Education and Awareness	2021/22	ICT Manager	Medium	12/10/2021	31/12/2021	31/03/2022	<p>The induction process does not confirm that new starters have read and acknowledged that they have understood the required security procedures / policies and the relevant Code of Conduct prior to accessing the organisation's ICT systems including Mandatory Data Protection training.</p> <p>Discussion with the ICT Manager confirmed that he is not aware if staff have read the policies prior to granting access to ICT systems.</p>	As part of the induction process, there should be documentary evidence that employees have read and acknowledged that they have understood the policies and procedures relating to ICT Security prior to accessing the organisation's ICT systems.	<p>January 22 - New induction process is under development.</p> <p>Timescale revised to 31/03//2022</p>
06	User Education and Awareness	2021/22	ICT Manager	Medium	12/10/2021	31/12/2021	31/03/2022	There was no evidence of Information Security training being provided to staff as part of an induction programme.	Staff should be provided with Information Security training as part of the induction programme. Refresher training should also be given to staff.	<p>January 22 - New induction process is under development.</p> <p>Timescale revised to 31/03//2022</p>