

|  |   |
|--|---|
| <b>ISS.1 - File Security</b>   |   |
| <b>Priority Level</b>  |   |
| <div style="background-color: black; color: white; padding: 2px;"> <span style="font-weight: bold;">Risk</span> </div>   |   |
| <b>Exception</b>   |   |
| <p>The auditor carried out a security check of the Civic Offices building on Saturday 20th and the evening of Tuesday 22nd July. The following areas of the building were included in the checking (in brackets shown the number of incidents of documents containing personal data not secured): Adult Social Services (4), Children's Social Services (2), Children and Young People Services(3), Human Resources (4), Housing (0), HR (4), Revenues and Benefits (0), 2nd Floor Finance(0), Community Safety (4), Licensing (3 - no clear desk policy), Legal Services (no clear desk policy), Traffic and Environment (0), HIDS/Public Health (0). Overall most services have a clear desk policy and there were isolated incidents where cupboards and drawers had been left unlocked. Heads of Services have been informed about breaches and are taking up actions within their services and keeping internal audit informed.</p> <p>Two areas were restricted entry. These were the Legal Service mezzanine floor and Children's Services floor 5 core 5. Legal Services do not follow a clear desk policy and as a result, despite the restricted access (which includes cleaning staff, members and building maintenance staff) breaches the Data Protection Act requirements, as steps have not been taken to secure sensitive and personal information against unauthorised access. Children's Services when interviewed said they followed a clear desk policy but the Security checks during the audit found a number of areas where paperwork is being left on desks or in unlocked drawers. Licensing do not have a clear desk policy and Internal Audit recorded 3 examples of documentation not secured due to moving from a secured area and not having suitable lockable cabinets. Action is underway to rectify this.</p> |   |
| <b>Risks and Consequences</b>  |   |
| <p>Harm is caused to an individual through unauthorised access to their records, breach of the Data Protection Act results in a fine from the Data Commissioner and reputational damage.</p>   |   |
| <b>Agreed Action</b>   | <b>Person Responsible / Action by Date</b>                          |
| <p>Legal Services - have undertaken to lock items away within the mezzanine and a follow up showed that files are now securely held.</p> <p>Children's Services - took action to inform all staff and to</p>   | <p>Internal Audit to carry out a follow up in two months' time.</p> |

|   |  |
|---|--|
| <p>provide locked drawers and cupboards where needed. A follow up showed still some information is not being locked into drawers at night and further actions taken with individuals and with training and awareness.<br/>All other Heads of Services informed of individual circumstances and immediate actions taken by those Heads of Services with individuals concerned.</p> |  |
|---|--|