

Appendix A: Data Security and Protection Toolkit (DSPT) - BTHFT 04/2022 Summary Position

There are 38 Assertions (5 non-mandatory) in total.

104 of 110 mandatory Assertion evidence items have been provided.

The table below summarises the position of incomplete Assertions as of 29th April 2022. Incomplete means some or all that Assertion's items (as listed) require full or partial evidence still.

Once Assertion Owners have provided evidence / a statement against an item, this indicates it is ready for IG review. Some may be reviewed but require further clarity. Once all items for an Assertion are complete and have been reviewed the Assertion is considered 'met'. Some non-mandatory items are included e.g. 2.1.3

Final submission is 30th June 2022.

The items highlighted in yellow are Assertions which are subject to this year's internal audit review by Audit Yorkshire. The audit began 19th April 2022.

Significant work has been completed to this point; however, evidence is still outstanding and reviews cannot take place until it is in place. Assertion Owners have been asked to provide evidence as a matter of priority. Assertions that are subject to audit should ideally be complete at this stage. Where they are not, audit opinion will be formed based on status at the time of the audit taking into account 'plans' for evidencing an Assertion prior to submission.

Subject to audit

Position as of 04/2022		
Assertions	Incomplete Assertion items	Notes as of 28/04/2022
1.1	1.1.6	Item is non-mandatory
1.2	None	
1.3	1.3.2	Spot checks evidence to provide, self-assessment May/June
1.4	None	
2.1	2.1.3	Non mandatory but survey completed, awaiting results
3.1	3.1.1	Training needs analysis is current, it has a review date of Feb 2024 and was reviewed in June 2021 when confirmed no significant changes to the current document. Checks being made prior to 30 June 2022.
3.2	3.2.1	Evidence of 95% organisation IG training compliance needed
3.3	None	
3.4	3.4.2	Board members IG training to be undertaken by 30 June 2022
4.1	None	
4.2	None	
4.3	None	
4.4	None	
4.5	None	
5.1	None	
6.1	None	
6.2	None	
6.3	None	
7.1	7.1.4	Ian Scott to update, non-mandatory
7.2	None	
7.3	None	
8.1	None	

8.2	8.2.1, 8.2.2	Ian Scott to update statement
8.3	None	
8.4	8.4.1, 8.4.3	Ian Scott to update statement. 8.4.3 non-mandatory.
9.1	None	
9.2	9.2.1, 9.2.2	Awaiting Pen Test Report
9.3	9.3.8, 9.3.9	Pen Test report outstanding, statement update required. 9.3.9 non-mandatory
9.4	None	
9.5	None	
9.6	None	
10.1	None	
10.2	None	
Non-Mandatory		
5.2	None	
5.3	None	
10.3	None	
10.4	None	
10.5	None	