

EFDC Internal Audit Recommendation Tracker (Overdue)

Last updated: 06 September 2017

Audit Year (Date Report Issued)	Rec Ref	Original Recommendation	Priority	Managers Original Response	Responsible Officer / Assistant Director	Original Imp Date	Revised Imp Date	Status Update from Management	Status
Audit Recommendations 2015/16									
External Data Transfers 2015/16 Report No. 763 July 2016	1	The Council should undertake a mapping exercise of its information flows both internally and externally of the organisation. Following the mapping exercise, the Council should produce a central information asset register to include: System details, data held, classification of the data, data owner, who the information is shared with and the process by which it is shared (electronically/manual) . If an ISP has been produced, this should also be linked to the document. Once the mapping exercise has been undertaken, a formal review process should be developed to ensure that the information flow is valid and current.	Med	Whilst some individual directorates have independent processes in place, it is recognised that there is not a corporate approach to this matter. A corporate working party to address this situation and create an Information Asset Register is being co-ordinated by the Council's Internal Audit section within the Governance Directorate.	Director of Governance	31/03/17	30/06/17 30/09/17	April 17: A Council-wide data mapping exercise has been undertaken. The data is now being collated into an Information Asset Register database, which will include a formal review process. May 17: The data has been collated and has been loaded onto the database. A review of the data has started. August 17: The Information Asset Register has been produced and is being reviewed as part of the Council's General Data Protection Regulations (GDPR) working group.	Overdue
External Data Transfers 2015/16 Report No. 763 July 2016	3	A mechanism should be devised for monitoring compliance against agreed information sharing protocols. For example, a sample should be selected,	Low	This will be considered as part of the Information Asset Register being created as part of recommendation 1.	Director of Governance	31/03/17	31/03/18	April 17: This process will be developed along with the review process in recommendation 1, once the Information Asset Register is complete. May 17: The review process in recommendation 1 has begun and	Overdue

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		say annually, to see if the relevant department or business is complying with the agreed sharing protocol.						will include a process for monitoring compliance with information sharing protocols. August 17: The processes around information sharing protocols are included in the GDPR action plan which is being delivered by via the GDPR working group..	
External Data Transfers 2015/16 Report No. 763 July 2016	6	The Council should periodically request assurance from 3rd parties that the data shared is only retained for the period it was intended, that the process for disposal in place is appropriate and in line with current best practice and legislative requirements.	Low	This will be considered as part of the Information Asset Register being created as part of recommendation one.	Director of Governance	31/03/17	31/03/18	April 17: This process will be developed along with the review process in recommendation 1, once the Information Asset Register is complete. May 17: The review process in recommendation 1 has begun and will include a process for gaining third party assurances over shared data. August 17: Processes around third party data assurances are included in the GDPR action plan.	Overdue
Audit Recommendations 2016/17									
Health and Safety - Townmead Depot Report No. 05.16/17 September 2016	1	EFDC should implement a formal agreement for WATC's usage of Townmead Depot. The agreement should include the following: <ul style="list-style-type: none"> • Terms of use • Operational arrangements • Roles and responsibilities of both parties 	Med	The process of drafting the agreement will be led by the Assistant Director (Technical Services) and require additional help from Legal and Estates. The recent site visit to the Depot highlighted the ongoing issues between EFDC and WATC. The meeting concluded the two authorities will work together to ensure the Depot is managed effectively and access is	Director of Neighbourhoods Assistant Director (Technical Services)	30/06/17	31/12/17	April 17: Legal Services have produced the first draft of the agreement, this is currently being reviewed internally, once any changes are agreed WATC will be invited to comment on the document August 17: Following a strategic review of land allocation between the Council and WATC, the Estates and Valuation Manager is revisiting the appropriate form of agreement with the Town Council. A meeting will be arranged with WATC to	Overdue

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				controlled. This is a longstanding issue which will require negotiation on both sides.				explore the options. In light of this development it is prudent to put on hold the formal agreement for the time being.	