

EFDC Internal Audit Recommendation Tracker (Overdue and High Priority)

Last updated: 15 November 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	3	A mechanism should be devised for monitoring compliance against agreed information sharing protocols. For example, a sample should be selected, say annually, to see if the relevant department or business is complying with the agreed sharing protocol.	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	<p>April 17: This process will be developed along with the review process in recommendation 1, once the Information Asset Register is complete.</p> <p>May 17: The review process in recommendation 1 has begun and will include a process for monitoring compliance with information sharing protocols.</p> <p>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.</p> <p>October 17: The GDPR working group continues to meet monthly and is making progress with the action plan which includes a review of the information sharing protocols.</p>	Overdue
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	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	<p>April 17: This process will be developed along with the review process in recommendation 1, once the Information Asset Register is complete.</p> <p>May 17: The review process in recommendation 1 has begun and will include a process for gaining third party assurances over shared data.</p>	Overdue

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		legislative requirements.						<p>August 17: Processes around third party data assurances are included in the GDPR action plan.</p> <p>October 17: The GDPR working group continues to meet monthly and is making progress with the action plan which includes a review of the data processing agreements.</p>	
Audit Recommendations 2016/17									
Health and Safety - Townmead Depot Report No. 05.16/17 September 2016	1	EFDC should implement a formal agreement for Waltham Abbey Town Council's (WATC) 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 controlled. This is a longstanding issue which will require negotiation on both sides.	Director of Neighbourhoods Assistant Director (Technical Services)	30/06/17	31/12/17	<p>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.</p> <p>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 explore the options. In light of this development it is prudent to put on hold the formal agreement for the time being.</p> <p>October 17: Following a preliminary discussion with WATC, negotiations are ongoing to agree the most</p>	Overdue

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								appropriate form of legal agreement between the two authorities.	
Audit Recommendations 2017/18									
Health and Safety - Townmead Depot follow-up Report No. 11.17/18 November 2017	1	The following action should be taken as outlined in the Fire Risk Assessment (FRA) report: <i>It is recommended that the actions in this fire risk assessment are undertaken within the timescales suggested. Management to sign off and date when actions are completed.</i> <i>Review this fire risk assessment on a regular basis (six monthly) at first and then annually once management procedures have been addressed.</i>	High	The nature of issues raised and the complexity of site requires a collective effort. It is proposed that the Assistant Director Technical Services will lead the effort with the support of: Health and Safety Officer, Facilities Manager, Chief Estates Officer, Fleet Operations Manager, and Countryside Manager	Assistant Director (Technical Services)	Following an inter-disciplinary site visit at the end of November an action plan to address the FRA will be drawn up beginning December 2017. Internal Audit will monitor progress being made to implement the action plan.			In progress