

EFDC Internal Audit Recommendation Tracker (Overdue and In Progress)

Last updated: 24 January 2018

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	31/05/18	<p>April-June 17: This process will be developed along with the review process in recommendation 1, once the Information Asset Register is complete.</p> <p>August 17: The processes around information sharing protocols will be addressed as part of the General Data Protection Regulations (GDPR) Working Group, which has started meeting monthly.</p> <p>October 17: The GDPR working group continues to meet monthly and is making progress with the GDPR project action plan which includes a review of the information sharing protocols.</p> <p>Jan 18: A process for monitoring compliance will be established as part of the GDPR working party action plan.</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 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	31/05/18	<p>April-Jun 17: The mechanism for monitoring data shared with third parties will be developed once the Information Asset register is complete.</p> <p>August 17: The processes around third party data assurances will be addressed as part of the General Data Protection Regulations (GDPR) Working Group, which has started meeting monthly.</p> <p>October 17: The GDPR working group continues to meet monthly</p>	Overdue

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Townmead Depot Health and Safety follow up Report No. 11.17/18 November 2017	1	As outlined in the Fire Risk Assessment (FRA) report: 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. Review this fire risk assessment on a regular basis (six monthly) at first and then annually once management procedures have been addressed.	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 will lead the effort with the support of: Health and Safety Officer, Facilities Manager, Chief Estates Officer, Fleet Operations Manager, and Countryside Manager	31/12/17	30/06/18	Jan18: Following an inter-disciplinary site visit at the end of November an action plan has been drawn up and is in the process of implementation to address the FRA recommendations. Internal Audit continues to monitor progress being made to implement the action plan through the working group meetings held.	Overdue