

Appendix 2

EFDC Internal Audit Recommendation Tracker (Overdue and In Progress)

Last updated: 05 March 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	31/03/18 25/05/18	<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> <p>March 18: The Record of Processing Activities (RoPA) which is currently being completed across the Council will include a process for monitoring information sharing protocols.</p>	Overdue

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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 25/05/18	<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 and is making progress with the action plan which includes a review of the data processing agreements.</p> <p>Jan 18: A process for third party assurances will be established as part of the GDPR working party action plan.</p> <p>March 18: The Record of Processing Activities (RoPA) which is currently being completed across the Council will include a process for obtaining assurances from 3rd parties in line with the GDPR.</p>	Overdue
Audit Recommendations 2016/17									
Health and Safety - Townmead Depot Report No.	1	EFDC should implement a formal agreement for WATC's usage of Townmead Depot.	Med	The process of drafting the agreement will be led by the Assistant Director (Technical Services) and require additional help	Director of Neighbourhoods Assistant Director (Technical Services)	30/06/17	31/12/17 31/05/18	April 17: Legal Services have produced the first draft of the agreement, this is currently being reviewed internally, once any changes are agreed	Overdue

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05.16/17 September 2016		<p>The agreement should include the following:</p> <ul style="list-style-type: none"> • Terms of use • Operational arrangements • Roles and responsibilities of both parties 		<p>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.</p> <p>This is a longstanding issue which will require negotiation on both sides.</p>				<p>WATC will be invited to comment on the document</p> <p>July 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</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 appropriate form of legal agreement between the two authorities.</p> <p>Jan 18: Negotiations are still ongoing with WATC.</p> <p>March 18: Following a meeting with WATC on 20 February 2018 it has been agreed to jointly prepare a Depot Operational</p>	

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								Management Plan instead of a formal legal agreement. The Plan will cover the roles and responsibilities of users and occupiers. Information is currently being collated to prepare a draft Plan.	
Audit Recommendations 2017/18									
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 action in this fire risk assessment is 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	30/04/18	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. March 18: Significant progress has been made in addressing the issues raised in the action plan. The only matter remaining relates to external training, which is in hand.	Overdue