

Internal Audit Recommendation Tracker (Overdue)

Last Updated: 16 May 2019

Appendix B

Audit Year (Date report issued)	Rec Ref	Original Recommendation	Priority	Original Managers Response	Responsible Officer/ Head of Service	Agreed Imp Date	Revised Imp Date(s)	Status Update from Management	Status
<p>External Data Transfers December 2016</p>	<p>2b</p>	<p>Management should ensure that adequate data sharing protocols/ information sharing agreements are in place for [Veolia and] Kier Harlow. (HTS)</p>	<p>Medium</p>	<p>Agreed. Kier Harlow/(HTS) - Assistant Solicitor/ Head of Governance</p>	<p>(HTS) - Assistant Solicitor/ Head of Governance</p>	<p>01/02/17</p>	<p>25/05/18 31/01/19 31/03/19 01/06/19</p>	<p>May to Oct 2017: Information sharing processes and policies being reviewed. HTS need to appoint a DPO and have privacy notices etc. in place. A meeting to be held with HTS to go through the data they receive and process to determine if they are data controllers or data processors.</p> <p>Feb 18 to May 18: Data sharing mapping commenced and terms and conditions for Data Sharing agreements drafted. There is a data sharing protocol on the infonet which is to be used as a template for all contracts that process personal data.</p> <p>Oct 18: A draft variation deed for the Services Agreement between the Council and HTS is now in final form containing all GDPR Information Sharing obligations between the Parties.</p> <p>Mar 19: The Variation Deed for the Services Agreement is now complete; no further action required for the formal contract by the Council's legal team. Draft data sharing protocols have been prepared.</p> <p>May 19: Concluded operational discussions to get a better understanding of the data shared between HDC & HTS. The information on data shared between HDC and HTS completed and will now be used to populate the ROPA and the Information Sharing Protocol by the end of May 2019. IA note – rec will be closed when a copy of signed protocol is received</p>	<p>Overdue</p>

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Playhouse (2017/18) October 2017	5	Liaise directly with the insurance officer to ensure the lists of contents are updated and an accurate valuation is reached.	Medium	A meeting will be arranged with the Insurance and Risk Manager and identify who will be best placed to carry out the content review due to the time involved. Carry out review of 2011 inventory and update accordingly.	Technical and Projects Manager Community, Leisure and Cultural Services Manager	30/11/17 01/04/18	30/12/18 31/01/19 30/04/19 31/07/19	Feb / May 18: Meeting with insurance has taken place and works are ongoing and likely to be continued up to end of 2018. Oct 18: Working with insurance to obtain quotes for this work to be completed. Feb 19: The Community, Leisure and Cultural Services Manager and the Playhouse Director are working together to procure an Insurance consultant to complete the inventory. May 19: A quote for an inventory of playhouse assets has been undertaken on 14/05/19. Once received and agreed work will then proceed as soon as possible	Overdue
Purchase Cards (2018/19) October 2018	3.1	Policies are required to clarify the Council's approach for: <ul style="list-style-type: none"> the provision of hotel accommodation, the provision of employee uniform and subsistence and hotel allowance claims. 	Medium	Policies related to allowances , including those referred to within this audit are being reviewed or drafted as a suite of documents which will be presented to SMB by 30/12/18	HR Manager/ Head of Governance	30/12/18	30/04/19 30/09/19	Mar 19: New Head of Governance commenced in January 2019. Draft completed for review of HoS and SMB, recommendation by HR Manager accepted by SMB to expand coverage of policy to include "business travel" and mileage rates within the policy. For appropriate consultation with SMB/TU before implementation. May 19: Instruction from SMB to include rates for allowances as part of the overall review committed to by organisation and for consultation, as appropriate with trade union.	Overdue

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Software Licensing (2018/19) December 2018	1	A Software Management policy should be developed and distributed accordingly.	Medium	A Software Management Policy will be developed and distributed to all staff	Senior ICT Manager	28/02/19	31/03/19 30/06/19	Mar 19: A Software Management Policy is being developed and will be distributed as part of the updated Information Security Policy and Acceptable Terms of Use by 31/03/19. May 19: This is currently in draft format to go to the ICT Operations Board and Information Governance Group.	Overdue
IT Asset Management (2018/19) December 2018	1	The ICT Strategy should be updated and the four-year replacement strategy confirmed within it, approved and adopted	Medium	The ICT Strategy will be updated to include IT equipment life-cycle and the replacements strategy.	Senior ICT Manager	31/03/19	30/06/19	May 19: This is being included in the ICT Strategy which is in draft format.	Overdue
IT Asset Management (2018/19) December 2018	4 & 5	An annual asset to inventory reconciliation process be introduced to confirm the numbers of IT assets within departments. ICT may then undertake a compliance check on a sample basis Consideration be given to making departments responsible for the verification of the assets and locations, with IT, then undertaking a small sample test.	Low	This will be discussed with the Senior Management Board as to the practicalities and risks that this may introduce.	Senior ICT Manager	31/01/19	31/03/19 30/06/19	Mar 19 and May 19: This still needs to be discussed with the Senior Management Board	Overdue

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Safeguarding 2018/19 February 2019	4	Request that the Council's Whistle blowing document be updated as required.	Low	The HR Manager and the Head of Governance has this in hand. The policy is being updated and will be presented to Unions and Senior Management Board.	HR Manager (Head of Governance)	31/03/19	30/06/19	May 19: In progress. A revised whistleblowing policy has been approved by the Corporate Governance Group	Overdue
Asbestos Management 2018/19 April 2019	5	To record the review dates on the asbestos management policy and update the policy published on the Council's website	Low	Policy will be reviewed and updated where necessary.	Housing Asset and Business Systems Manager	30/04/19	30/06/19	May 19: Current policy is being reviewed in its entirety to simplify and align the format with the Council's preferred format. Review dates will be added to the cover page and the revised document will be uploaded to the Council's website as soon as the review is completed.	Overdue