

GDPR Audit - Follow Up

Cabinet Member for Finance, Procurement, Customer Services and Revenues & Benefits

Date:	25 March 2021
Agenda Item:	6
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Key Decision?	NO
Local Ward Members	If any Wards are particularly affected insert the name of the Ward Members and their Ward. Ensure that the Ward Members have been consulted.



**AUDIT &
MEMBER
STANDARDS
COMMITTEE**

1. Executive Summary

- 1.1 To provide an update to the Committee on the GDPR limited assurance internal audit report.

2. Recommendations

- 2.1 To note the update.

3. Background

- 3.1 An audit of GDPR was completed during 2018/19. The initial audit opinion was limited assurance which means - 'weaknesses in the system of internal controls are such as to put the organisation's objectives in this area at risk. There is a moderate level of non-compliance with some of the control processes applied'.
- 3.2 As the assurance opinion on this audit was limited, a follow up audit undertaken. The first follow up was undertaken in May 2020 and the audit opinion remained limited assurance, concluding that of the 14 actions within the original report, 4 had been implemented and 10 were outstanding. The Audit & Member Standards Committee have since been tracking progress on this follow up and have requested regular updates.
- 3.3 A second follow up audit has now been undertaken and the full follow up audit report was issued to accountable officers and members of the Committee on 15 March 2021. In summary:
 - Of the 10 outstanding actions (6 high and 4 medium), 8 were found to have been fully implemented and the remaining 2 partially implemented.
 - The revised audit opinion based on the progress noted above and assuming there has been no significant break down in controls in areas previously audited as part of this audit, is that substantial assurance is given.
 - The 2 (1 high, 1 medium) remaining partially implemented recommendations are expected to be fully implemented by the ICT Manager by 30 April 2021 and comprise:
 - Completion of the process for obtaining a full record of GDPR compliant contracts / agreements with all 3rd party data processors. This was a high priority action.

- Following the completion of the information audit and identification of the processes that rely on consent as the lawful basis for processing data - that a full list of GDPR compliant consents is in place. This was a medium priority action.

3.4 These partially implemented recommendations will be tracked through to their full implementation and progress reported through the routine internal audit progress updates.

Alternative Options	1. None required.
Consultation	1. Leadership team, which includes the Council's Section 151 Officer, have been consulted.
Financial Implications	1. None noted.
Contribution to the Delivery of the Strategic Plan	1. Having sound arrangements for GDPR contributes to the strategic plan objective of being 'a good Council'.
Equality, Diversity and Human Rights Implications	1. No equality, diversity or human rights implications arising from this report.
Crime & Safety Issues	1. None arising.
Environmental Impact	1. None arising.
GDPR/Privacy Impact Assessment	1. This update is to provide assurance to the Committee of the progress made on improving the Council's internal control environment in respect of GDPR.

	Risk Description	How We Manage It	Severity of Risk (RYG)
A	Significant / high risk GDPR control weaknesses fail and go un-addressed.	The audit planning process ensures that audit resources are directed to areas of most significance / highest risk, including GDPR. The audit follow up process ensures that where significant weaknesses in the control environment are identified, these are followed through until they are addressed / resolved.	Likelihood - Green Impact – Yellow Severity of Risk – Green (tolerable)
B			
C			
D			

Background documents

Internal Audit Progress Reports
Minutes of the Audit & Member Standards Committee

Relevant web links