

Appendix 2b: Audit Assurances and Summaries

Assurance



Building Control (Feb 2019)

Objective

To assess the robustness of arrangements to ensure a consistent, effective and commercial Building Control service is delivered to the residents of Southend in accordance with the statutory requirements of the Building Act 1984 and Building Regulations 2010.

Summary

Building Control continue to deliver a suitable service to the residents of Southend, but their market share of Building Control applications is reducing each year.

There is a need for the Building Control team to introduce a strategy to set out the overall objectives for the service, performance quality targets that can be used to assess the quality of the service that Building Control deliver and how Southend-on-Sea Borough Council will respond to market changes so that it can retain a stable market share.

Number of actions agreed: 10

Information Governance - GDPR (Feb 2019)

Objective

To assess whether Southend on Sea Borough Council (the Council) has an appropriate programme of work to ensure compliance with General Data Protection Regulations (GDPR) and the Data Protection Act 2018.

Summary

A comprehensive programme of work was scoped in advance of GDPR, supported by a specialist third party review to ensure it covered the necessary areas. Implementation was overseen by a range of governance forums, most importantly the Corporate Information Governance Group (CIGG), with senior membership. However, there are a number of significant issues which need to be addressed before the Council can regard GDPR compliance as ‘business as usual’. As a result of these shortcomings the audit assurance that has been issued is “partial assurance”. The highest priority issues are:

- Subject Access Requests (SARs): the Council has not met statutory response deadlines for 27 of the 78 SARs initiated since the 1st April 2018.
- Contracts: the Council has not quantified the number of contracts that will require variations to comply with GDPR.

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- IT Systems: the Council has seven systems from which it may not be possible to delete data (required to comply with GDPR), including key systems such as the Business World system, used for HR, the widely used Civica Document Management System (DMS) and the archived care management system, CareFirst.

Number of actions agreed: 14