

**DRAFT**  
**Colchester Borough Council**  
**Annual Governance Statement – Action Plan for 2019/20**

**Significant Internal Control Issues – Relating to 2018/19 Financial Year**

No.	Issue	Action	Due Date	Responsible Officer	How this Issue was Identified
1.	<p><b>Data Protection</b>  During the governance review it was noted that, whilst there were no reportable data breaches during the year, there still needs to be some strengthening of the controls around the protection of data and use of personal information, including respecting individuals' rights and access arrangements.</p>	<p>Compile a complete register of Information Assets and Data Flows.</p> <p>Develop and deliver refresher data protection training to the whole organisation.</p> <p>Apply retention policy to all information assets, including corporate email.</p> <p>Introduce standard supplier controls covering contract clauses and procurement processes to manage information governance activities.</p> <p>Implement processes for managing privacy impact assessments which is compliant with GDPR requirements.</p> <p>Implement security measures as agreed by SMT.</p> <p>Conduct data protection audits at remote sites, e.g. leisure world, shrub end, museums etc.</p>	31/03/20	Information Services Manager	Review of previous actions, Internal Audit & ICT testing.

## Appendix 2

No.	Issue	Action	Due Date	Responsible Officer	How this Issue was Identified
2.	<b>Project Management</b> Whilst the project management processes have continued to be embedded and a robust framework exists, which is beginning to demonstrate good management during the project initiation and implementation phases, there is still some improvement required to the post implementation stage. It should be ensured that there is a robust post-implementation review process that includes an honest assessment of what worked well and what didn't, monitoring and reporting of delivery against performance indicators, and knowledge sharing for future projects.	Cabinet agreed in January 2019 to review governance processes and programme reporting for all CBC transformation activity to provide greater oversight, strengthen programme management (pre- and post-implementation) and coordinate resources across Policy and Corporate and other services. A new Corporate Programmes and Projects Sharepoint site, SMT governance and training will be established.	30/09/19	Strategic People & Performance Manager	Review of previous actions and review of processes.

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3.	<b>Long Term Decision Making</b> Senior officers, and Members, recognised that the closeness of the political balance during the year had had an impact on longer term decision making, with the focus being on more reactive and shorter-term goals. This has caused some constraints on resources and officer ability to respond.	Working relationships between SMT and Cabinet members continue to be strengthened through informal meetings, member training, awareness raising and Portfolio briefings on key internal and external factors, demographics, legislation, policy development and trends affecting the Council. Refresher training on Members' code of conduct to be provided to all Members. Officers are supporting the administration to ensure political priorities are aligned with the three year Strategic Plan and MTFF issues.	31/03/20	Chief Operating Officer	Governance review process
4.	<b>Finance System</b> The internal audit IT review of one of the financial systems highlighted a significant number of control weaknesses. Including licensing of the system, backup of data, disaster recovery plans and service level agreements with the supplier.	The current Finance system is scheduled to be upgraded by end of financial year 19/20. The contract is in place and initial technical work has been completed. The new version of the software will be implemented alongside an updated contract with SLAs, a review of process and is expected to resolve the significant control weaknesses identified. ICT and Finance see this new system implementation as a critical priority in this financial year	31/03/20	Strategic ICT Manager & Finance Manager (Technical)	Internal audit process