

**DRAFT**  
**Colchester Borough Council**  
**Annual Governance Statement – Action Plan for 2020/21**

**Significant Internal Control Issues – Relating to 2019/20 Financial Year**

No.	Issue	Action	Due Date	Responsible Officer	How this Issue was Identified
1	<p><b><u>Procurement / Purchasing</u></b>  The internal audit of the procurement process identified several areas for improvement. It was recommended that a strategic review of the procurement process is undertaken that includes risks and opportunities for collaborative working and joint procurement, assessing training needs, benchmarking with other authorities and ensuring the strategy complies with LGA National Procurement Strategy 2018. Management should ensure that cumulative expenditure is reviewed regularly and that the contracts register is updated across the organisation. The procurement SharePoint site should be developed to ensure that is captures all documentation relating to procurement, including evidence of quotation decisions.</p>	<p>All of the recommendations were accepted, and several have already been actioned. The progress will be followed up by Internal Audit during 2020/21.</p>	<p>31 October 2020</p>	<p>Assistant Director of Corporate &amp; Improvement Services</p>	<p>Internal Audit process.</p>

## Appendix 2

No.	Issue	Action	Due Date	Responsible Officer	How this Issue was Identified
2	<b><u>IT- Social Media</u></b> The increasing use of social media to promote Council business creates additional opportunities for information and data to become corrupted or inappropriately accessed. Therefore, the internal audit review highlighted further controls that should be implemented to increase data security. These included the strengthening of password controls, completion of a business needs assessment for new social media platforms, use of external monitoring tools to ensure appropriate use of accounts, inclusion of social media in the Information Security Policy and regular training of officers responsible for the social media accounts.	All of the recommendations were accepted, and several have already been actioned. The progress will be followed up by Internal Audit during 2020/21.	31 October 2020	Assistant Director of Corporate & Improvement Services	Internal audit process
3.	<b><u>Payment Controls</u></b> During the course of the Internal Audit review of the payment system there were some control improvements identified. These included reviewing how payment files could be amended after authorisation, ensuring officers only had one level of authorisation, strengthening password controls and ensuring two officer authorisations to process payment runs.	All of the recommendations were accepted, and several have already been actioned. The progress will be followed up by Internal Audit during 2020/21.	30 June 2020	Assistant Director Customers	Internal audit process