

DRAFT
Colchester Borough Council
Annual Governance Statement – Action Plan for 2018/19

Significant Internal Control Issues – Relating to 2017/18 Financial Year

No.	Issue	Action	Due Date	Responsible Officer	How this Issue was Identified
1.	<p>Security of premises / information. During the security audit of one Council building, that is open to the public, access was gained to private office areas. During the year the ICT team also carried out two random tests of data security - one on-line based, involving a spam email to which several officers responded and one building security related, with a non-employee being able to access offices and paper files unchallenged. With the changes to the General Data Protection Regulations due to come into force at the end of May 2018, it is essential that the Council ensures that all buildings and data are robustly protected, both physically and virtually.</p>	<p>The internal audit report and the ICT assessment both identified for improvement. These included physical changes such as re-setting building access cards, issuing role specific lanyards (such as contractor and visitor) and ensuring a robust signing in procedure for visitors, as well as virtual changes such as password changes. These were accompanied by a comprehensive awareness programme for all staff. During 2018/19 further assessments need to be conducted to ensure that these changes have been embedded and are effective.</p>	On-going throughout the year	Assistant Director of Policy & Corporate	Internal Audit & ICT testing.
2.	<p>Contract Management The Council has a number of ongoing contract arrangements and makes a number of decisions during any year for new or additional services. Contract procedures are in place, however, it is essential that all staff are aware of processes and these are followed and documented appropriately</p>	<p>During the year there is a planned internal audit of contract arrangements and also the opportunity will be taken to build this issue into other relevant audits. Promotion of contract management rules and responsibilities will also been carried out during the year.</p>	On-going throughout the year	Senior Management Team	Internal Audit and Senior Management Team

Appendix 2

No.	Issue	Action	Due Date	Responsible Officer	How this Issue was Identified
3.	Project Management With the ambitious digital challenge programme and major investment activities there have been challenges to the delivery of certain projects. Steps have been put in place to improve project management through additional governance and monitoring. However, given the importance of this area, it continues to be recognised as an issue.	During 2018/19 training programmes will continue to be run to provide staff with relevant project management skills. In addition, the new commercial company arrangements produced will result in revised governance arrangements for the management of economic growth projects. Post implementation reviews and “lessons learned” exercises will be carried out to ensure issues can be embedded into future project management exercises.	On-going throughout the year	Assistant Director of Policy and Corporate	Senior Management Team
4.	Financial Management The challenging financial climate and the need to continually look to new ways of working means staff need to have access to financial information and relevant training to support them in carrying out their duties.	During 2018/19 all budget managers will receive financial training to reinforce the importance of budget management and support to develop financial management skills. Budget management systems and processes will also be reviewed.	On-going throughout the year	Assistant Director of Policy and Corporate	Senior Management Team