

## Final Report on progress - Six AGS Actions for 2014/15

Action	Progress
<p><b>1. Data Transfers and Security (on-going from 2012/13)</b></p> <p>Ensuring that where appropriate, data is transmitted securely either using 'Government Connect', or Egress Switch email and file transfer software or another secure software system.</p> <p><b>COMPLETE</b></p>	<ul style="list-style-type: none"> <li>• The authority now holds 250 PSN email licenced accounts (replacing Government Connect GCSx accounts) and 1,511 Egress Switch licences, in addition to CJSM (Criminal Justice Secure Mail) accounts</li> <li>• A comprehensive communications plan has been drafted and is now in operation so that messages about sending data securely are consistently reinforced</li> <li>• <a href="#">Guidance</a> has been drafted and issued to staff on the correct system to use when communicating with other public partners, Schools and voluntary organisations.</li> <li>• Targeted emails have also been sent to licence and account holders to ensure they are using the systems appropriately</li> <li>• This campaign has proved to be successful as evidenced by a recent email from Thames Valley Police: <ul style="list-style-type: none"> <li><i>"I am pleased to confirm that I have seen an increased use of secure email by county colleagues over the last 6 months. As you are aware, Thames Valley Police do not use Egress as it does not have sufficient security level. As such, when I have received Egress emails from county colleagues I have notified them that TVP are unable to accept Egress emails and to contact the ICT Business Delivery team to arrange access to secure email. This has proved successful and I now very rarely receive such emails, so thank you for your support with this.</i></li> <li><i>DCI Katy Barrow-Grint, Oxfordshire Protecting Vulnerable People Unit, Thames Valley Police</i></li> </ul> </li> <li>• Schools have been advised of the correct procedures for secure data sharing and transfer through the regular Schools Bulletin</li> <li>• All staff with PSN secure email accounts have signed up to the PSN Acceptable User Policy (AUP).</li> <li>• At the beginning of 2014 a new PSN Email system was delivered, with training to support account-holders in the</li> </ul>

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	<p>use of the new system</p> <ul style="list-style-type: none"> <li>• ‘Tell Us Once’ teams in Registration Service and CSC were migrated to PSN in May 2014</li> <li>• The ICT Newsletter that was handed out at the last Staff Conference included details about the use of secure email.</li> <li>• We also take the opportunity to remind staff of the need to communicate securely, and the arrangements in place, at our regular on site, support visits.</li> <li>• Work is underway to update Information Asset Registers (IARs) across the Authority. This will give us an up-to-date record of Information Asset Owners in the business.</li> <li>• Visits to Information Asset Owners to complete the IARs has also provided an opportunity to explore methods of secure data sharing and transfer currently in use in a given service area, and to advise and inform about best practice where necessary, thereby increasing awareness and improving compliance</li> <li>• This improved intelligence on Information Asset Owners will enable us to better target communications with a group of interested and engaged staff in the authority, through the use of a dedicated online ‘Group Page’ and forum. This will enable us to issue updates, build a knowledge hub and encourage peer to peer discussion in the wider field on information management and security</li> <li>• The new Acceptable Use Policy was launched in early March 2015, and all relevant staff, elected members and contractors are required to undertake the associated eLearning course, with sanctions if this is not done (without good reason) by the end of April 2015. The course contains comprehensive guidance on the importance of data and information security, along with guidance on secure sharing and transfer</li> <li>• A more consistent approach to investigating Data Security Breaches (including incorrect file transfer and sharing) has been implemented since late 2014. This involves Information Management Consultants liaising with service IG leads, investigation into causes of breaches with service managers, and advice and</li> </ul>

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	guidance issued to ensure the breaches are not repeated. These breaches are reported to IGG, to enable any patterns or priorities to be discerned
<p data-bbox="188 434 502 504"><b>2. Data Quality (on-going from 2013/14)</b></p> <p data-bbox="188 544 502 797">Agree, implement and report on the performance of a <b>Data Quality Strategy</b> within the organisation and with third parties</p> <p data-bbox="188 835 371 869"><b>COMPLETE</b></p>	<p data-bbox="528 434 1321 539">A revised version of the Data Quality Strategy has been produced and is now being taken to the County Council Management Team.</p> <p data-bbox="528 577 1321 651">The key actions that will be taken forward to ensure the policy is put into practice are:</p> <ul data-bbox="528 689 1385 2020" style="list-style-type: none"> <li data-bbox="528 689 1321 835">• The development of a common set of operating standards, with the aim of reducing costs, reducing duplication, increasing resilience, development of a shared pool of knowledge and skill</li> <li data-bbox="528 875 1385 1021">• Existing job descriptions involving work with data will be updated to reflect this new approach to common operating standards, and to encourage a common approach across organisational boundaries</li> <li data-bbox="528 1061 1362 1167">• The improvement of data management to ensure data sets are centrally stored with clearly assigned ownership, with accurate metadata</li> <li data-bbox="528 1207 1385 1312">• The increased use of data warehousing and information hubs to enable data to be rationalised and centralised, leading to more efficient cleansing, linking and analysis</li> <li data-bbox="528 1352 1347 1391">• Revised and strengthened processes around sign-off</li> <li data-bbox="528 1431 1362 1615">• Extended use of 'Single view of data' and 'Single view of truth' practices, already in use in CEF, leading to more effective and reliable sharing of data, particularly relating to vulnerable clients, thereby improving citizen outcomes</li> <li data-bbox="528 1655 1331 1727">• Enhanced information sharing with partners through better use of the JSNA</li> <li data-bbox="528 1767 1353 1912">• improved contracts with commissioned services to ensure a better flow of data from them, and to ensure that they meet the required standards of information security</li> <li data-bbox="528 1953 1347 2020">• Strengthened processes to govern ownership of data quality within case management and service delivery</li> </ul>

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	<p>systems</p> <ul style="list-style-type: none"> <li>• Continuing review and improvement of our legacy data sources, ensuring that ownership and access is appropriate to roles</li> <li>• The development of a comprehensive communications plan to support this strategic approach, with audience and stakeholder segmentation to ensure that the right messages go to the right groups of staff, partners and contractors</li> <li>• The provision of training and guidance to support this strategic approach, as necessary</li> </ul>
<p><b>3. Commercial Services Board (on-going from 2013/14)</b></p> <p>The Board's framework should be embedded and implemented effectively. This will provide an on-going robust overview of the adequacy of procurement and contract management arrangements across the organisation including contract performance and visibility of issues/risks.</p> <p><b>ONGOING</b></p>	<p>The Board continues to monitor significant commercial activity.</p> <p>The business case review group - a subset of the Board - has added further to its capacity to review the commercial aspects of business cases.</p> <p>The Board's sponsorship of Contract Management Framework implementation has led to an improved picture of the Platinum group of contracts (those that are both particularly critical and involve spending of more than £1m per year). 22 or 26 assessments of these contracts have been completed - although not all have been signed off and had action plans developed.</p> <p>Over 240 people have identified themselves as contract managers and of these 114 have been validated for one of the contract management training events.</p> <p>The first module "Effective Contract Management" is now live following a successful pilot and the first 6 groups of managers have been trained and are working towards the award of a "Passport to Practice" accreditation. A further three advanced contract management modules have been developed with 9 delivered so far.</p> <p>For those managing lower value contracts a comprehensive e-learning module has been launched. This is expected to be completed by appx.150 employees.</p> <p>Embedding the Boards work and re-enforcing its role and</p>

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	<p>purpose continues to be challenging and further work on this is being undertaken. In particular we are supporting the development of a more consistent approach to commissioning.</p> <p>Work is underway to look at how the commissioning cycle and the Commercial Services Board fit into the wider context. Further work is required and an action plan is being taken to CCMT in April.</p> <p>Some recent developments suggest that work needs to continue in this area. Currently areas where more work is needed are as follows:</p> <ol style="list-style-type: none"> <li>1. Embedding and communicating the role of the Commercial Services Board.</li> <li>2. Implementation of the Contract Management Framework</li> <li>3. Development of the County Procurement Team including resources to support the ongoing work of the Commercial Services Board and implementation of the contract management framework.</li> <li>4. Tackling instability arising out of the externalization agenda and the effect on SAP governance and control mechanisms</li> </ol>
<p><b>4. Business Continuity</b></p> <p>a. Undertake a review of Business Continuity processes, guidance documents and templates to ensure that they reflect contracted services and rationalised process.</p> <p>b. Ensure that appropriate BC toolkits, training and testing information is available to staff and managers.</p>	<p>Good progress is being made within Business Continuity (BC) and a new BC and Resilience Officer started in the organisation in July 2014. He undertook a review of business continuity processes and the relationship of this area to audit, assurance and directorates.</p> <p>The review of BC processes used Good Practice principles, starting with consultation with directorate and service leads. This will inform the drafting of a new suite of guidance and templates in 2015. A review of directorate and corporate extraordinary meetings plans is underway to ensure that there is a consistency of approach throughout.</p> <p>A new joint emergency and BC programme was launched towards the end of 2014, offering training and exercise opportunities to individuals and key groups using online, table-top and immersive exercise techniques.</p> <p>The new BC &amp; Resilience Officer has made good progress</p>

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<p>c. Ensure that all necessary plans exist, can easily be accessed on a central database and are up to date and realistic.</p> <p>d. Ensure that plans are updated when there is organisational change, estate rationalisation or increasing flexible or agile working.</p> <p>e. Ensure that business continuity arrangements are reviewed and if necessary changed when commissioning or externalising services.</p> <p>f. Ensure that Tier 3 managers sign off the plans.</p> <p><b>ONGOING</b></p>	<p>working with the BC Steering Group Members to review Group 1 service BC plans and are building a new system for their collation and management. The new system should enable the managers to review plans in a timely way and in response to structural or organisational change ensure that they remain current and reflect risk, service priorities and desired return schedules.</p> <p>Extended CCMT were involved in an Emergency Planning exercise in December 2014.</p> <p>Work needs to continue in this area. Currently areas where more work is needed to:</p> <ol style="list-style-type: none"> <li>1. Introduce robust BC scrutiny into outsourcing/commissioning activity.</li> <li>2. Embed BC into agile working approach and new project/programme commencement.</li> <li>3. Improve links between Directorate risk management and core BC programme through the BC Steering Group.</li> <li>4. Improve the Priority 1 exercise programme with integrated exercising, a new schedule and framework.</li> <li>5. Improve understanding of BCMS across the organisation through training and briefings.</li> <li>6. Implement the Good Practice Guidelines as BC framework for organisation and raise awareness to management.</li> <li>7. Scrutinise the BC resilience of new projects. Notably the Integrated Business Centre (run by Hampshire) and the Joint Fire Control, to support bedding in for the first year.</li> </ol>
<p><b>5. Externalisation of Human Resources and Finance Services</b></p> <p>Setting up, implementing and embedding our new operating model includes extensive working with another</p>	<p>An extensive programme of work to ensure the successful transfer of Human Resources and Finance Services to Hampshire County Council began in September 2014.</p> <p>There is an established governance framework for the project. The Chief Finance Officer and Chief HR Officer attend regular Joint Board Meetings with Hampshire County Council. A Project Initiation Document (PID) has been signed by both authorities to clearly identify the deliverables and scope of the project. Within OCC, the Externalisation</p>

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<p>public body and other work. The following action is required as a result.</p> <p>Develop for the approval of CCMT and the Audit &amp; Governance Committee a robust assurance framework for the governance and systems of internal control for the planned externalisation of services including explicitly those where there may be a transfer in full or in part of key control processes.</p> <p>Risks arising as our partners access our data and other information assets will need to be explicitly considered.</p> <p>The output of this process is to be reviewed by CGAG, approved by CCMT and Audit &amp; Governance Committee.</p> <p><b>ONGOING TO JULY</b></p>	<p>Board comprising the Sponsors and other senior officers oversees the project and receives reports from relevant workstream leads, including any risks and issues that they have highlighted.</p> <p>During the initial design phase of the project, a series of workshops identified all the operating differences in processes between the two authorities, including any internal control issues. The risks and issues log is a fundamental part of the project management arrangements and is reviewed frequently at both workstream and Board level. Any proposed changes to internal controls are considered and agreed by the Finance Leadership Team.</p> <p>Work over the next few months will include continued development, agreement and build of future processes and technical solutions, where security of data issues will be considered. The Business Readiness work stream now underway will ensure that Directorates and schools understand and are prepared for any changes as a consequence of the Project.</p> <p>Following the completion of the initial design phase there is now agreement over the functions that are in scope for transferring to the IBC. There are a small number of functions that have been identified as being out of scope currently; as a result a new "Impacts" project, is being scoped to look at the management and operation of these retained functions going forward. The "Impacts" project will operate under the same internal governance board arrangements as the Externalisation programme.</p> <p>The formal staff consultation has been completed, jobs are being advertised and interviews starting. Steps are now being taken to ensure both a successful transfer and continuation of service. (Steve Munn 12/3/15)</p> <p>Annex 2 gives further details of progress on this issue.</p>
<p><b>6. Partnerships</b></p> <p>To undertake a review of governance arrangements in relation to key strategic partnerships where the council is</p>	<p>The Council is now necessarily involved in a complex system of Partnerships. Steps are being taken to ensure that Councillors and staff are aware of and understand these new arrangements:</p> <ul style="list-style-type: none"> <li>• The Head of Law &amp; Governance and the Head of Policy gave a briefing in July 2014 that was open to all</li> </ul>

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<p>a formal member.</p> <p><b>COMPLETE</b></p>	<p>councillors. Staff were also briefed, in August.</p> <ul style="list-style-type: none"> <li>• A report was presented to the full meeting of the County Council on 9<sup>th</sup> September outlining the work being done by various strategic partnerships. A similar report was put to the Oxfordshire Partnership, with verbal updates where necessary, on 2<sup>nd</sup> October.</li> <li>• The report to Council outlines the governance arrangements for each of the partnerships. Next year's report will look at the formal and informal feedback mechanisms.</li> <li>• Details of the main partnerships that the Council is involved in were set out in the report to this Committee, in November 2014.</li> <li>• Since then functions of the 'Spatial Planning and Infrastructure Partnership' have been incorporated into the Oxfordshire Growth Board. The Oxfordshire Growth Board is a Joint Committee charged with the delivery, on behalf of the Local Enterprise Partnership, of the projects agreed in the City Deal and Growth Deal that fall to the councils - working collaboratively - to deliver. It also exists to advise on matters of collective interest, to seek agreement on local priorities and influence relevant local, regional and national bodies.</li> <li>• Governance arrangements for the Environment Partnership were reviewed were agreed at the January 2015 meeting. This partnership brings together the former Oxfordshire Waste Partnership (a statutorily constituted Joint Committee) and the Oxfordshire Environment Partnership. The Environment Partnership meets again on 19<sup>th</sup> June.</li> </ul>