

Action	Timescale	Responsible Officer (at the time action created)	Update/Outcome
<p>Mental Health:</p> <p>Carry out the remaining governance actions identified in the follow-up audit (March 2018)</p>	<p>March 2019</p>	<p>Deputy Director, Adult Social Care</p>	<p>Update/Outcome:</p> <p>Actions to improve the delivery of services to people who require support from a mental health perspective are ongoing, having made considerable progress. The difficulties identified in the shared delivery of services, and in the commissioning, quality and purchasing processes identified by the audit in 2016/2017 are being addressed as required through the Action Plan. Seven agreed management actions are fully implemented, the remaining five are on target for implementation by the end of April 2019.</p> <p>The mental health service is delivered through a section 75 partnership agreement with Oxford Health NHS Foundation Trust, with some shared commissioning and transactional work delivered from finance and commissioning teams within the County Council. In 2017, officers carried out a strategic review of the Section 75 arrangements to consider how service users' needs are best met and to ensure that our statutory duties are being delivered.</p> <p>Following the review, a decision was taken to move staff in the older adults' mental health service back into the County Council where they are now currently working as a separate team. This arrangement enables a single point of access for social care mental health ensuring social care is delivered for the whole population to a single set of standards, processes and procedures in line with the social work provision in the locality teams. The adults of working age mental health service is still provided by Oxford Health and will be governed by a variation to the section 75</p>

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			agreement. A draft of that agreement has been produced but is not yet finalised as it is affected by the proposed changes to mental health budgets. The Council and Oxford Health are working closely together to determine the future of Working Age Adults' service.
<p>General Data Protection Regulations:</p> <p>Action plan for ensuring compliance with the incoming GDPRs – including policy review, organisational awareness.</p> <p>Action plan for reviewing and monitoring ongoing compliance</p>	<p>May 2018</p> <p>March 2019</p>	<p>Director for Law and Governance</p>	<p>Work started in 2017 to prepare for GDPR implementation, researching as much as we could by attending conferences, webinars, talking to other local authorities and keeping up to date with news from the Information Commissioners Office. The information gathered along with the ICO guidance - "Preparing for the General Data Protection Regulations (GDPR) 12 steps to take now" – was used to create the implementation plan.</p> <ul style="list-style-type: none"> • The main actions to ensure compliance were: • All relevant policies were revised • All Information Asset Registers were updated • A new privacy notice was created • A process for handling individual rights requests was created • The information security investigation process was revised, • A template was created for Data Privacy Impact Assessments (DPIA's) • The Information Management Risk Assessment (IMRA's) template was updated • Guidance created for privacy by design • Coordination of contacting of all providers and suppliers to ensure their GDPR compliance • All consent guidance was revised and updated

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			<ul style="list-style-type: none"> • The data protection e-learning was re-written • A GDPR toolkit was created for the intranet • 60 individual team briefings were done • 8 site surgeries were held • 8 briefings of providers were held • 4 briefings to schools • 4 briefings to transport providers • 2 stakeholder workshops to senior managers • Monthly intranet headlines, regular Yammer posts <p>Work did not stop on 25 May; the new regulations have increased staff awareness of data protection which has resulted in an increase in risk assessments and staff queries. Other changes such as the reporting period for information security breaches being reduced to 72 hours and the delivery period for subject access requests being reduced from 40 days to 30 days has placed a greater pressure on resource to deliver to the new deadlines. However, the increased awareness is positive for the council as it helps to ensure that we are complying with the requirements of the GDPR.</p>
<p>Fit for the Future Programme</p> <p>Implementation of the <i>Fit for the Future Programme</i> under sound project</p>	<p>July 2018 – decision making on preferred</p>	<p>Assistant Chief Executive</p>	<p>Update/Outcome:</p> <p>Overall monitoring body is now CEDR (senior management meeting, ‘Chief Executive Direct Reports’).</p> <p>The governance of the Transformation Programme (no longer called Fit for the Future) is being brought in gradually. In terms of member governance, the Joint Audit & Governance and</p>

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governance and to explore/feature governance as a key layer of the new Target Operating Model	target operating model July 2018 – March 2019: implementation of the planned two-year delivery of the model		<p>Performance Scrutiny (Transformation) Sub-Committee has been established and met for the first time on 21/1/19. The Transformation Cabinet Advisory Group has been established and met for the first time on 18/12/18.</p> <p>The officer governance arrangements for the programme are being stood up gradually, as new projects are established. The Transformation Programme Board met for the first time on 24/1/19 in order to begin to co-ordinate the overall programme of work and in particular to fulfil two important standard programme functions – as the Design Authority (ensuring changes are in line with the business case and the design principles that were set) and as the Benefits Realisation Board (ensuring the improvements and savings are made / delivered). Further programme arrangements will be stood up when there is an identified need. Standard project and programme methodologies are being deployed, with the Programme Management Office ensuring consistency of practice and rigour.</p> <p>A separate Governance Review Task Group was established during Autumn 2018 and this member group reported its findings and recommendations into Cabinet in January 2019.</p>
<p>Corporate Security:</p> <p>Early appointment of a designated project lead to drive a</p>	May 2018	Director of Property and Investment &	<p>Update/Outcomes:</p> <p>Project in place led by Assistant Director (Facilities Management) to:</p> <ul style="list-style-type: none"> • Review the level of security requirements for each type of buildings we have i.e. corporate, children’s centres, adult

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<p>planned series of activity to build and test the Council's corporate security.</p> <p>Delivery of the planned programme.</p>	<p>May 2018 – March 2019</p>	<p>Chief Fire Officer & Director of Law and Governance</p>	<p>centres, museums, libraries, fire stations, depots etc.</p> <ul style="list-style-type: none"> • Look into the different components linked to security for each type of building: <ul style="list-style-type: none"> ○ Infrastructure i.e. suitability of buildings to carry out current services, building layouts etc ○ CCTV and surveillance ○ Manned guarding ○ IT systems to support requirements ○ Staff training and awareness • Review all incidents (reported into the system and not) relating to H&S and security for the last 2-3 years so that we get an idea of type of issues/incidents we are dealing with • Link/align all of security requirements going forward with relevant OCC security policy, Emergency Planning, Business Continuity Plans, Communication Plans etc • Review and consolidate in one place the current different security provisions across OCC i.e. Facilities Management (FM) providing certain services to some buildings, Estates team carrying out keyholding, individual arrangements from historic key sites and request of manned guarding using their own budgets etc. In that way we can see the whole picture OCC wide and how we can bring everything together to be provided as a service from one focal point across all sites. • Procurement strategy in sourcing the best providers to fit security scope going forward • Explore any links with Health and Safety <p>Started to explore each one of the points above within FM and will</p>

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			engage with all other stakeholders who need to be involved into this i.e. Fire, Museum/Libraries Services, Fire etc.
<p>Financial Management:</p> <p>Deliver a detailed refresh of the assurance framework to ensure its effectiveness; and to follow through the 'case for change' under the Fit for the Future Programme in respect of streamlining systems and processes.</p>	<p>April 2018 – March 2019</p>	<p>Assistant Chief Finance Officer</p>	<p>In July -October 2018, the CIPFA Financial Management Toolkit was used to undertake a self-assessment of Financial Management across the council. This confirmed that Financial Management was adequate but from the feedback from respondents there were a number of areas highlighted for improvement. An action plan is in place to deliver those improvements by the end of March 2019. The outcome of that work will be to strengthen the governance and framework that underpins Financial Management, and the principle of self service. A Finance Review project is underway as part of Transformation, and this is looking at the delivery of Finance Functions. The Financial Management Action Plan is kept under constant review as the Finance Review develops to ensure they are both consistent and will enable effective Financial Management going forward.</p> <p>Part of the Financial Management Action Plan is to review the Financial Management Assurance Framework. Again, this is being undertaken with consideration to the Finance Review.</p>
Property:			Update/Outcome:

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<p>Deliver property compliance project to review, monitor and prioritise via Key Performance Indicators. And, particularly in the post-Carillion environment, this will include:</p> <ul style="list-style-type: none"> • a refresh, and strengthening, of systems for the assessment and tracking of health and safety risks across the Council's property and within schools • a refreshed approach to the effective use and management of the Council's properties 	<p>April 2018 – March 2019</p>	<p>Strategic Compliance Manager</p>	<p>Significant progress has been made in relation to achieving full statutory compliance across the corporate estate. Early last year audits to establish our compliance position post Carillion took place and identified substantial gaps (i.e. non-compliance). Compliance programmes were subsequently put in place to ensure full statutory compliance in these areas. A full set of compliance KPIs is in place covering all the main compliance areas.</p> <p>Much higher levels of statutory compliance have been achieved across the corporate estate, particularly in non-leased properties with some compliance areas at or close to 100% statutorily compliant. Several compliance programmes are still in place to bring the corporate estate up to full compliance (e.g. water hygiene risk assessments, electrical fixed wire safety, portable appliance testing and a Radon safety programme).</p> <p>In addition, work is also underway to ensure a robust management of an increasingly large number of remedial recommendations arising out of recent and historic risk assessments, safety certificates and surveys (all with target BAU dates between Jan and March 2019 to comply with end of April 2019 target date). A framework of remedial KPIs is being put in place to track progress in this area.</p> <p>Related activities have focused on the need to review governance, policy, procedure and process. For example site manuals/logs, processes, policy and systems relating to the management of significant compliance risk have been reviewed and updated. Both</p>

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			<p>a general compliance site manual and fire safety site manual are being introduced from February. We have also started looking at the organisational structure in relation to management of compliance to provide a more robust operating model that will deliver and sustain compliance moving forward along with a more vigorous performance reporting framework in key compliance areas.</p> <p>To ensure that the council can discharge its health & safety responsibility in respect of property compliance there is also a need to re-establish capacity for effective monitoring and development of technical policy and practice across both the corporate and schools' estate. There is a proposal to re-establish the required resource within a newly formed Health & Safety team within FM.</p> <p>Closer working with the Schools health and safety team in relation to property health and safety compliance within the school's estate is now embedded. However, for a longer-term solution it is proposed that this is re-established and located within the FM team.</p>
<p>External Reports</p> <p>Implement a robust and effective mechanism for the co-ordination and</p>	<p>December 2018</p>	<p>Assistant Chief Executive and Monitoring Officer</p>	<p>Update/Outcome:</p> <p>Mechanism in place whereby identified Law and Governance personnel are key and known contacts for co-ordinating and liaising with Directorates, keeping a log of planned and reactive external reports and the governance implications of them, for referral to the Corporate Governance Assurance Group of key</p>

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consideration of, and action plans for implementing, any governance issues arising from External Reports about the Council and its performance.			<p>statutory officers, in the first instance.</p> <p>This information then used to track actions and update this Committee and Audit Working Group as necessary.</p>
<p>Procurement:</p> <p>As part of the new Target Operating Model for the Council:</p> <p>develop/implement a refreshed Procurement Strategy and Policy</p> <p>develop and deploy the electronic Contract Management Systems (eCMS)</p> <p>refresh contract management skills</p>	<p>August 2018</p> <p>Jan 2019</p> <p>Aug – Dec</p>	<p>Head of Procurement and Commercial</p> <p>Head of Procurement and Commercial</p> <p>Fit for the</p>	<p>Update/Outcome:</p> <p>Procurement Strategy</p> <p>A draft procurement strategy was presented to CLT last July for review and approval by the then Interim Head of Procurement & Commercial.</p> <p>CLT were not comfortable accepting this as it was aligned to assumptions relating to the design of the future Provisioning Cycle. The development of the strategy was decided to be run in parallel with workstream designing the new Provisioning Cycle and this was put on hold while the process to identify the new Head of Procurement and Contract Management was undertaken.</p> <p>The new head of function commences his role in March 2019 and the Provision Cycle design is due to commence in April 2019. The Procurement Strategy will be developed in parallel in the same time frame</p>

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within the new Model	2018	Future Transformation Leads for the Procurement and Head of Procurement and Commercial	<p>Electronic Contract Management System (ECMS)</p> <p>There have been a number of tactical initiatives undertaken in support of the recorded actions for ECMS. These initiatives broadly seek to make use of the ECMS tool easier and thereby increase the use and value that can be generated from it and the data it holds. There is an ongoing plan for further tactical changes to help ensure more contract data is loaded and to maximise the use of reports that already exist. .</p> <p>Major structural changes to ECMS have not been undertaken and are not considered necessary. However, to maximise the value of the tool and the return on investment already made, a communications plan linked to the implementation of the Provisioning Cycle component of the Council’s transformation plans will be needed. This plan will be shaped, aligned and prioritised to the emerging transformation timetable and the specific Contract Management activities that are to be included.</p> <p>It is confirmed as part of the action update that all members of the procurement team have had ECMS training or their knowledge refreshed and processes put in place to ensure ECMS is updated as procurement activity hands over to in life service</p> <p>Refresh of contract management skills within the new Model</p> <p>As with the Procurement Strategy, this action is intrinsically linked to the design of Provisioning Cycle and roles established to deliver</p>

ANNEX Annual Governance Statement – Updated Actions 2018/19

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			that. This will develop in tandem with that design through the first 2 quarters of the next financial year.