

AUDIT & GOVERNANCE COMMITTEE – 19 NOVEMBER 2014

PROGRESS ON THE ACTIONS IN THE 2013-14 ANNUAL GOVERNANCE STATEMENT

Report by the County Solicitor & Monitoring Officer

Introduction

1. Audit & Governance Committee approved the Annual Governance Statement (AGS) for 2013/14 in July 2014. The AGS lists six 'Actions' to be carried out in 2014/15. This report is the first of three during 2014/15 which will describe progress and any other plans that we have for each of these Actions.

The Progress Report

2. Annex 1 gives the 'First Progress Report on the Six AGS Actions' for 2014/15. Progress has been made on all of the six AGS Actions.

RECOMMENDATION

3. **The Audit & Governance Committee is RECOMMENDED to note the progress on the AGS Actions.**

PETER CLARK

County Solicitor & Monitoring Officer

Background papers: The Annual Governance Statement 2013/14, which is at the back of our Annual Statement of Accounts for that year

<https://www.oxfordshire.gov.uk/cms/sites/default/files/folders/documents/aboutyourcouncil/accestoinformation/StatementofAccounts2013-14.pdf>

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November 2014

Annex 1 - First Progress Report on the Six AGS Actions

Action	Progress
<p>1. Data Transfers and Security (on-going from 2012/13)</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>	<ul style="list-style-type: none"> • The authority now holds 240 PSN email licenced accounts (replacing Government Connect GCSx accounts) and 1,469 Egress Switch licences, in addition to CJSM accounts • A comprehensive communications plan has been drafted and is now in operation so that messages about sending data securely are consistently reinforced • Guidance has been drafted and issued to staff on the correct system to use when communicating with other public partners, Schools and voluntary organisations. • Targeted emails have also been sent to licence and account holders to ensure they are using the systems appropriately • All staff that have PSN secure email accounts have signed up to the PSN Acceptable User Policy (AUP). • At the beginning of 2014 a new PSN Email system was delivered, with training to support account-holders in the use of the new system • 'Tell Us Once' teams in Registration Service and CSC were migrated to PSN in May 2014 • The ICT Newsletter that was handed out at this year's Staff Conference included details about the use of secure email. 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.

Action	Progress
<p>2. Data Quality (on-going from 2013/14)</p> <p>Agree, implement and report on the performance of a Data Quality Strategy within the organisation and with third parties</p>	<p>A revised version of the Data Quality Strategy has been produced and this is being taken through the various stages of approval:</p> <ul style="list-style-type: none"> • Firstly by the Information Governance Group; then by the • Corporate Governance Assurance Group – with a specific focus on the proposed organisational and policy changes required to embed Data Quality within the organisation; and then by • Chief Executive’s Office Departmental Leadership Team; and if this is referred on: to • County Council Management Team
<p>3. Commercial Services Board (on-going from 2013/14)</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>The Board continues to meet monthly.</p> <p>The pipeline of commercial activity continues to be monitored. The business case review group a subset of the Board has added further to its capacity to review the commercial aspects of business cases. The Board’s sponsorship of Contract Management Framework implementation has led to an improved picture of baseline activity for the Platinum group of contracts with 22 or 26 assessments complete - although not all have been signed off/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 “Effective Contract Management” module is now live following a successful pilot with 8 training cohorts running through to March 15.</p> <p>Embedding the Boards work and re-enforcing its role and purpose continues to be challenging and further work on this is being undertaken,</p>

Action	Progress
	particularly by supporting the development of a more consistent approach to commissioning.
<p>4. Business Continuity</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>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>Good progress is being made within business continuity with a new Business Continuity and Resilience Officer starting in the organisation in July 2014 to undertake a review of business continuity processes and the relationship of this area to audit, assurance and directorates.</p> <p>A review of business continuity processes is underway using Good Practice principles, starting with consultation with directorate and service leads which will inform the drafting of a new suite of guidance and templates by early 2015. A review of directorate and corporate extraordinary meetings plans is underway to ensure consistency of approach throughout.</p> <p>A new joint emergency and business continuity programme will be launched by the end of the current year, offering training and exercise opportunities to individuals and key groups using online, table-top and immersive exercise techniques.</p> <p>The new BC & Resilience Officer has made good progress working with the Business Continuity Steering Group Members to review Group 1 service BC plans and to start to build a new system for the collation and management of these. The new system should enable the managers to review plans in a timely way and in response to structural or organisational change to ensure that they remain current and reflect risk, service priorities and desired return schedules.</p> <p>Overall, steady progress in being made to review requirements and to work with directorates to deliver new systems that reflect organisational priorities.</p>

Action	Progress
<p>5. Externalisation of Human Resources and Finance Services</p> <p>Setting up, implementing and embedding our new operating model includes extensive working with another public body and other work. The following action is required as a result.</p> <p>Develop for the approval of CCMT and the Audit & 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 & Governance Committee.</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 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 current design phase of the project, a series of workshops is identifying 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 will be considered and agreed by the Finance Leadership Team.</p> <p>Work over the next few months will include the development and agreement of future processes and technical solutions, where security of data issues will be considered. The Business Readiness workstream will ensure that Directorates and schools understand and are prepared for any changes as a consequence of the Project.</p>

Action	Progress
<p>6. Partnerships</p> <p>To undertake a review of governance arrangements in relation to key strategic partnerships where the council is a formal member.</p>	<ul style="list-style-type: none"> • The Head of Law & Governance gave a briefing in July that was open to all councillors. Staff were also briefed, in August. • A report was presented to the full meeting of the County Council on 9th September outlining the work being done by various strategic partnerships • The report to Council outlines the governance arrangements for each of the partnerships • More details are given in the following Annex 2. Governance arrangements for the Environment and Waste Partnership were to be reviewed in October, but will now be considered at the January 2015 meeting.

Annex 2 – Partnerships and Governance Details

All-Member Briefings

An All-Member briefing was given to County Councillors in July of this year by the Head of Policy and Head of Law & Governance. This briefing then formed the basis of a presentation to staff in August.

Oxfordshire Partnerships Report

At a Full meeting of the County Council on 9th September, a report was presented which gave an outline of the work being done across the county by various strategic partnerships;

- Local Enterprise Partnership
- Spatial Planning and Infrastructure Partnership (to become The Growth Board)
- Health and Wellbeing Board
- Environment & Waste Partnership
- Safer Communities Partnership
- Stronger Communities Alliance
- Safeguarding Children Board
- Safeguarding Adults Board

The full reports can be found [here](#).

These reports are presented to the Council on an annual basis.

In each report we ask the partnerships to tell us;

- Their current focus
- Their key achievements in the last year
- Their aims for the year ahead
- Their key challenges

This year for the first time, we asked them to outline their governance arrangements. These extracts are shown below. The Notes section also highlights where they have mentioned scrutiny and oversight.

Partnership Name	Oxfordshire Local Enterprise Partnership
Chairman	Adrian Shooter
OCC Lead Member	Cllr Ian Hudspeth
OCC Lead Officer	Sue Scane
Website Address	http://www.oxfordshirelep.org.uk
Governance Arrangements	Incorporated cross sector board

Partnership Name	Spatial Planning and Infrastructure Partnership (Growth Board)
Chairman	Chairman, Lead Officer and Programme Officer: Prior to June 2014: Cllr M Barber, Vale of White Horse District Council Anna Robinson, South Oxfordshire District Council Carolyn Organ, South Oxfordshire District Council July 2014 onwards: Cllr B Norton, West Oxfordshire district Council Andrew Tucker, West Oxfordshire District Council Programme Officer to be appointed
OCC Lead Member	Cllr Ian Hudspeth
OCC Lead Officer	Tom Flanagan
Website Address	https://www.oxfordshire.gov.uk/cms/content/spatial-planning-and-infrastructure-partnership
Governance Arrangements	SPIP core membership comprises Leaders or Cabinet/ Executive Members from each of the local authorities and the LEP and Homes and Communities Agency, as well as invitees from Thames Valley Police, Oxfordshire CCG, Environment Agency, Natural England and the Highways Agency. SPIP is supported by an executive of senior officers from the six member local authorities, the HCA, LEP and other partners.
Notes	
<ul style="list-style-type: none"> • Consideration of appointing an independent chair for member meetings, to help the process of making potentially difficult decisions and move work forward • Working to integrate the functions of SPIP and the Local Transport Board in order to establish the Oxfordshire Growth Board. 	

Partnership Name	Oxfordshire Environment and Waste Partnerships
Chairman	Cllr David Dodds, South Oxfordshire District Council (until March 2014). Moving to Councillor Reg Waite, Vale of White Horse District Council for next meeting.
OCC Lead Member	Councillor Nimmo-Smith
OCC Lead Officer	Rachel Burns (for OWP) Sarah Gilbert (for OEP)
Website Address	www.recycleforoxfordshire.org.uk
Governance Arrangements	To be reviewed and agreed at October meeting (NOW DELAYED TO JANUARY 2015)
Notes	
<p>In early 2014 Leaders agreed to dissolve the Oxfordshire Waste Partnership, although Councils will continue to work together on issues surrounding the reduction, collection, and disposal of waste.</p> <p>The scheduled meeting of OEP and OWP in June 2014 was cancelled to allow time for existing arrangements of OWP to be brought to a close, and partnership arrangements which are streamlined and fit for purpose to be developed. These will be proposed in October 2014.</p> <p>Developing appropriate arrangements to maintain joint working on waste without formal partnership structures. Identifying the scope of work sitting under OEP and ensuring participation from the correct groups of officers and members.</p>	

Partnership Name	Health and Wellbeing Board
Chairman	Cllr Ian Hudspeth
OCC Lead Member	Cllr Ian Hudspeth
OCC Lead Officer	Jonathan McWilliam
Website Address	https://www.oxfordshire.gov.uk/cms/public-site/health-and-wellbeing-board
Governance Arrangements	The Health and Wellbeing Board (HWB) members include local GPs, senior Councillors, the new Healthwatch Oxfordshire and senior officers from Local Government. Three Partnership Boards and a Public Involvement Network report into it. The HWB meets in public three times a year. Each of the three Partnership Boards does the same.
Notes	
<p>The key challenges for the Partnership and how these will be addressed going forward; Changing the relationship between the Health and Wellbeing Board and the Joint Management Groups that oversee the pooled budgets, and will take responsibility for implementing priorities for adult health and social care following dissolution of the Adult Health and Social Care Board.</p>	

Partnership Name	Oxfordshire Safer Communities Partnership
Chairman	Cllr Bill Jones (Vale of White Horse District Council)
OCC Lead Member	Cllr Kieron Mallon
OCC Lead Officer	Dave Etheridge
Website Address	https://www.oxfordshire.gov.uk/cms/content/oxfordshire-safer-communities-partnership
Governance Arrangements	The Oxfordshire Safer Communities Partnership (OSCP) Board is councillor-led (rotating Chairmanship every two years) and includes representation from all six local authorities in Oxfordshire, as well as key community safety partners including Police, Health and the Community Rehabilitation Company. The Board meets 3 times per year and is supported by a Business Group that meets 6 times per year.
Notes	
Current funding from the Police and Crime commissioner is £789k. There has been an 11% reduction in this funding since 2013/14. The funding is shared between Community Safety Partnerships, Oxfordshire County Council's Drug and Alcohol Team (Public Health) and the Youth offending Service/ Early Intervention Service.	

Partnership Name	Oxfordshire Stronger Communities Alliance
Chairman	Rt Revd Bishop Colin Fletcher & Cllr Hilary Hibbert-Biles
OCC Lead Member	Cllr Hilary Hibbert-Biles
OCC Lead Officer	Jonathan McWilliam
Website Address	https://www.oxfordshire.gov.uk/cms/content/oxfordshire-stronger-communities-alliance
Governance Arrangements	The OSCA brings together 23 members from voluntary sector support providers, faith groups, representatives of local councils, the NHS, military and police. OSCA Partnership meetings are held three times a year.

Partnership Name	Oxfordshire Safeguarding Children Board
Chairman	Maggie Blyth
OCC Lead Member	Melinda Tilley
OCC Lead Officer	Lucy Butler
Website Address	www.oscb.org.uk
Governance Arrangements	The Oxfordshire Safeguarding Children Board (OCSB) is led by an independent chair and includes representation from all six local authorities in Oxfordshire, as well as Probation, Police, OCCG, Oxford University Hospitals NHS Trust, Oxford Health NHS FT, schools and FE colleges. The Board meets 3 times per year and is supported by an Executive Group that meets 6 times per year.

Partnership Name	Oxfordshire Safeguarding Adults Board
Chairman	Donald McPhail
OCC Lead Member	Cllr Judith Heathcoat
OCC Lead Officer	Kate Terroni
Website Address	www.safefromharm.org.uk
Governance Arrangements	Our board includes members from all statutory agencies, including: Oxfordshire County Council, Thames Valley Police, NHS Oxfordshire, Oxford Health NHS Foundation Trust and the Oxford University Hospitals NHS Trust. Our Board has working relationships with other Boards and partnerships across the County, including the Oxfordshire Health and Wellbeing Board to whom we submit an Annual Report.
Notes	
<p>Safeguarding Adult Boards will become statutory bodies in April 2015 following the implementation of the Care Act 2014.</p> <p>There are six sub groups which report to the Safeguarding Adults Board, which in addition to the list below includes a Monitoring and Evaluation Sub Group, which has been established in the last year to scrutinise and hold to Board to account.</p> <p>In the last year OSAB have established the Monitoring and Evaluation sub group to review the effectiveness of the Board in achieving meaningful outcomes.</p>	