Division(s): ALL

AUDIT & GOVERNANCE COMMITTEE – 24 FEBRUARY 2016

PROGRESS REPORT ON THE ACTIONS IN THE 2014/15 ANNUAL GOVERNANCE STATEMENT

Report by the Chief Legal Officer and Monitoring Officer

Introduction

1. Audit & Governance Committee approved the Annual Governance Statement (AGS) for 2014/15 in July 2015. This included six actions to be followed up by the relevant corporate lead and/or directorates in 2015/16. This report is the progress report on these actions as at the end of December 2015.

Update on actions

2. Annex 1 and 2 set out the progress on each of the actions for 2015/16. As at the end of December, progress has been made on all of the actions. Some of the actions are now complete or will continue to be monitored as part of business as usual. Where actions are on-going consideration will need to be given to including those as actions in the 2015/16 Annual Governance Statement.

3. A final update on the actions will be provided to Audit & Governance Committee on 20 April 2016.

RECOMMENDATION

4. **The Audit & Governance Committee is RECOMMENDED to note the progress on the actions.**

NICK GRAHAM
Chief Legal Officer and Monitoring Officer

Background papers: Annual Governance Statement 2014/15, which is published with the Statement of Accounts and available on the council's website:
https://www.oxfordshire.gov.uk/cms/sites/default/files/folders/documents/aboutyourcouncil/counciltaxandfinance/auditandaccounts/StatementofAccounts2014-15.pdf

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Annex 1 – 2014/15 AGS Actions Progress Report

Action	Progress
1. Data Quality (on-going from 2013/14) For each major or critical database held by the Council, identify what are the necessary, realistic and affordable features that there should be to ensure that an appropriate level of data quality is reached. Check if these features are in in place and effective. Then if possible make changes so that any features that are missing or weak are put in place or improved. Then report back on this process. List any remaining changes that need to be implemented and whether, when and how this will be possible.	The report to Audit & Governance Committee in November 2015 set out a series of actions in a two stage plan. • Stage 1 – Actions that could be completed or significantly progressed up to 31 March 2016 • Stage 2 – A longer run programme of work that was likely to span 2016/17 and 2017/18 **Areas for Data Quality Improvement** – a combination of the information gathered from Information Asset Registers along with the business systems priorities (as defined by the Business Continuity Stakeholders Group (BCSG) will be used to set out an approach and publish an appropriate timeline. Further work will set out the approach and publish an improvement timeline in preparation for the start of the main work from 1 April 2016. A formal project is being created to ensure that there is a clear scope and effective governance with an agreed timescale. **Data Quality on Priority 1 Systems** – Some of the Council's 30 Priority 1 systems already have mechanisms for data quality built in. ICT will ask for advice from the suppliers of the priority systems to find out what is available and then introduce changes where it is appropriate to do so and with support from the Directorates. Using the council's defined Priority Systems list (as agreed with the Business Continuity Stakeholders Group), ICT are writing to all suppliers to ask them to confirm what functionality or features already exist in their business systems and whether they are already enabled or not. Standard CIPFA definitions will be used to measure Data Quality as set out in the Council's Data Quality Policy.

Action	Progress
	Some Service areas already carry out 'data checking' activities as part of their Service Monitoring and Reporting responsibilities. Spot checks will be introduced on a regular basis for all Priority 1 systems using the standard Data Quality Principles as set out in the Data Quality Policy. ICT will publish regular reports on those findings. The intention is to have a list of Priority 1 systems and a consistent regime of basic data quality 'spot checks' in place by the end of March 2016. ICT continues to regularly publish intranet articles about security and Information Management and is working towards developing a mandatory online training course to provide a firm grounding in the principles of data quality, what that means and its importance.
2. Commercial Services Board (ongoing from 2013/14) 1. Communicate the role of the Commercial Services Board and ensure that its requirements are fixed in place in the Council. 2. Implementation of the Contract Management Framework 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. 4. Tackling instability arising out of the externalization agenda and the effect on SAP governance and control mechanisms	The Commercial Services Board terms of reference and governance arrangements have been reviewed and revised terms and responsibilities are being rolled out. A Gateway Review Panel has been created and is in the process of being implemented. A business case training programme involving 90 managers will take place in February & March 2016. The expectation is that the training will raise awareness of commercial skills and build capability across the council. 91 contract managers have also been engaged in the 'passport to practice' program relating to contract management. The implementation of a Contract Management System has been agreed by the Commercial Services Board. The Corporate Procurement Lead, who is now in post, will lead on the procurement of the system with full implementation planned for summer 2016. The Corporate Procurement team will now focus on enforcing the new Commercial Operating Model through the Gateway Review Panel which supports the Commercial Services Board

Action	Progress
3. Business Continuity (BC) (ongoing from 2014/15)	
1. Increase awareness and scrutiny of BC when buying in or outsourcing activity	This action is currently on target, but is likely to remain an issue as budgetary pressures and commissioning activity change.
2. Ensure that flexible and agile working takes account of the need for BC	Action is on target but may need to continue to accompany the agile working programme in 2016/17.
3. Improve links between Directorates and the Business Continuity Steering Group (BCSG)	Awareness of the value of BC is being raised through directorate level BC exercises and the response to events in 2015/16.
4. Improve the Priority 1 exercise programme	Directorate level BC exercises continue, and will cover Customer Services in February 2016, Children, Education and Families in May 2016 and Social and Community Services in October 2016. In November a Communications & Media exercise successfully engaged partner agencies across Oxfordshire and examined continuity arrangements around a major incident with both BC and emergency response requirements.
5. Improve awareness of Business Continuity across the organisation	This action is on target and will continue through to Business Continuity Awareness Week in 2016 and also with any new partnerships or devolution arrangements.
6. Use the good practice guide to improve BC generally	This action is ongoing - the Business Continuity Institute (BCI) Good Practice Guidelines have been adopted by BCSG and will be adopted formally by the council in the new BC strategy for 2016. This includes strategy and framework, lifecycle and review, and will introduce outstanding elements such as Business Impact Assessments.
7. Scrutinise the Business Continuity resilience of new projects. Notably the Integrated Business Centre and the Joint Fire Control, to support bedding in for the first year.	Action on target. New projects can be identified for 2016/17.

Action	Progress
4. Externalisation of Human Resources and Finance Services (ongoing from 2014/15) Setting up, implementing and fixing in place our new operating model includes extensive working with another public body and other work. This work continues as Hampshire take on this role in July 2015.	See report elsewhere on the agenda for an update on this action.
5. Strategic Risk Register The Strategic Risk Register to be refreshed and agreed by CCMT, with a quarterly review, including management assurance on the effectiveness of the mitigation for the Strategic Risks	The Corporate Risk register has been reviewed by CCMT, and updated. Risks are all owned by a member of CCMT. The risk register was presented to the Audit Working Group on 4 February 2016. CCMT will be formally reviewing the risk register quarterly.
6. Supported Transport for Children To ensure full implementation of the children's safeguarding standards framework for the transport service and the provision of assurance that these arrangements are effective.	The Supported Transport Governance Group reported progress against the safeguarding action plan to County Council Management Team in December 2015. Further progress has been made in the following areas: - All high risk assessments and passenger passports were completed by 31 October 2015. - Section 11 safeguarding report submitted to Oxfordshire Safeguarding Children Board. - The Joint Operating Framework is complete and all parties have signed the agreement. - Performance Measures have been agreed for reporting on a quarterly basis to all three directorate leadership teams. Further actions will be progressed and monitored in 2016/17 as part of the on-going project.