

Division(s): N/A

AUDIT AND GOVERNANCE COMMITTEE – 11 JANUARY 2017

PROGRESS REPORT ON THE ACTIONS IN THE 2015/16 ANNUAL GOVERNANCE STATEMENT

Report by the Chief Legal Officer and Monitoring Officer

Introduction

1. The Audit & Governance Committee approved the Annual Governance Statement (AGS) for 2015/16 in September 2016. This included eight actions to be followed up by the relevant corporate lead and/or directorates during 2016/17. This report gives an update on the progress with these actions as at the end of December 2016.

Update on actions.

2. The Annex to this report sets out the progress on each of the actions. As at the end of December, progress has been made on all of the actions. Some of the actions are now complete or have moved on to the next phases and will therefore continue to be monitored, under the revised timescales indicated in the Annex.
3. A further update on the actions will be provided to Audit & Governance Committee on 26 April 2017 as part of the process of finalising the Annual Governance Statement.

RECOMMENDATION

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

NICK GRAHAM

Chief Legal Officer and Monitoring Officer

Background papers: Annual Governance Statement 2015/16 is published as part of the “Statement of Accounts” and is available on the council’s website (see pages 173 to 202 of the linked pdf.): <https://www.oxfordshire.gov.uk/cms/content/annual-accounts-and-audit>

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ANNEX – ANNUAL GOVERNANCE STATEMENT

ACTIONS FOR 2016/17 - UPDATE

	Action 2016/17	Update
1	<p>Staff supporting, managing and maintaining ICT systems and supplier relationships.</p> <p>Review to be carried out to identify how the systems are being managed and the effectiveness of the controls.</p> <p>31 December 2016</p>	<p>A review is being undertaken as part of the Business Efficiencies workstream within the Transformation Programme to identify staff, contracts and expenditure outside the control of ICT with the intention to consolidate within ICT. Updated timescale to 31 March 2017.</p>
2	<p>Data reporting and information governance by third party partners and suppliers of services</p> <p>Review to be carried out to verify that our data is being secured, maintained and reported in accordance with agreed service responsibilities.</p> <p>31 October 2016</p>	<p>The suppliers of the priority 1 systems have been contacted and provided their data governance standards; these are being reviewed and actioned in line with item 3 below. Updated timescale to 31 March 2018.</p>
3.	<p>Data quality, duplication and storage</p> <p>De-duplication of data collection and storage prior to migration of data ahead of decommissioning of Data Centre; to include verification that commissioned/partnership services follow Council's data storage policies</p> <p>31 October 2016</p>	<p>The Managing Information Effectively proposal was approved at CCMT subject to some revision of timescales for data retention. This will be implemented as part of the Master Data Management initiative within the Transformation Programme. Updated timescale to 31 March 2018.</p>

	Action 2016/17	Update
4	<p>Financial Control Improvement Plan</p> <p>Improve the clarity of financial roles, procedures and data issues and the oversight of financial controls – through implementation of a Financial Control Improvement Plan developed in consultation with stakeholders, partners, with the Financial Leadership Team.</p> <p>31 March 2017</p>	<p>There has been good progress with defining roles and responsibilities, updating procedures and oversight of financial controls through management reporting. Further improvements are on-going. Renamed Finance Improvement, this is now part of the Business Efficiencies work stream within the Transformation Programme. The scope of activity has extended to reflect the integration with that Programme, with the focus on strategic review and redesign of financial systems and related internal controls. Progress updates are routinely being presented to Audit Working Group and Audit & Governance Committee meetings.</p>

	Action 2016/17	Update
5	<p data-bbox="264 309 762 340">Commercial Services Board (CSB)</p> <p data-bbox="264 380 826 667">To strengthen/extend the role and effectiveness of the CSB (including the quality assurance/management information) through the action plans of the Gateway Review Panel, the Commercial Gateway Process and the work of the dedicated Corporate Procurement Lead.</p> <p data-bbox="264 707 481 739">31 March 2017</p>	<p data-bbox="888 380 1390 958">The Gateway Review Panel is now embedded as part of the commissioning cycle, and reports to the CSB. A new contract management system is currently being procured that will be a major improvement to the management oversight of contracts and the future commissioning pipeline. The Transformation Programme is looking at decision making and a project is underway to review the role of meetings and advisory boards in supporting decisions. The CSB will be included in that review.</p> <p data-bbox="888 1003 1366 1178">The decision making process will be integral to the future operating model in the Council, so the CSB will be developed depending on the outcome of that review.</p> <p data-bbox="888 1223 1358 1361">From January the CSB will be receiving routine monthly performance highlight reports for all “Platinum” contracts.</p> <p data-bbox="888 1406 1393 1912">One area that is still to be delivered by the CSB is reporting to CCMT. It was anticipated that a commentary on the outcomes of the CSB meetings would be presented to CCMT, for information and to support decision making. This process is still not established, but it is expected will be more clearly defined by the project considering the operating model and decision making which should be complete by 31 March 2017.</p>

	Action 2016/17	Update
6	<p>Transformation</p> <p>Organisational transformation necessary during 2016/17 to meet the Council's plans, priorities and challenges (including any changes to senior management structures), will put sound governance at the core – including effective consultation, and legal and constitutional compliance.</p> <p>31 March 2017</p>	<p>Update at the meeting.</p>
7	<p>Health & Safety – repairs and maintenance (R&M) in schools</p> <p>To support schools (community, voluntary controlled, special and maintained nurseries) in the deployment of their delegated funding for R&M. To ensure compliance through the provision of information, training and effective monitoring procedures. Additional action will include schools completing a building maintenance annual return which will be collated as part of the schools H&S Monitoring visit and used to monitor statutory compliance. Completed returns will be feedback to Property and Facilities for review and action.</p> <p>31 March 2017</p>	<p>To gain greater assurance that schools are meeting their delegated responsibilities, commencing in January 2017 Property and Facilities will be arranging six monthly premises visits to monitor compliance and performance and to inspect repairs and maintenance items (through a Premises Visit Report, in place of the previously proposed action through the Schools H&S monitoring visits programme.</p> <p>Carillion do offer compliance services to schools although only a small number of schools buy back (Approx. 18 out of 161) since the majority appear to prefer to use their own local contractors.</p> <p>Currently schools are able to access training provided by the Council including Health and Safety for Managers, Asbestos Awareness, Legionella Awareness etc. The Schools H&S Team (CEF) are currently looking to develop further training aimed at premises maintenance management.</p>

	Action 2016/17	Update
8	Corporate Security Implement actions to ensure the ongoing security of the Council's buildings, principally those with public access. 31 March 2017	Update at the meeting.