

## Appendix 1

### Quarter 1 - AGS Action Plan for 2011/12

Action	Timescale for Completion	Responsible Officer	Monitoring Body	Progress Update
<p><u>Actions carried forward from 2010-11:</u> 1) To monitor actions to address the improvements identified by Internal Audit in relation to information governance relating to: (a) external data transfers, which include the approval and implementation of the Secure Transfer of Information Policy</p>	1a) 30 November 2011	1a) Data Controller	Corporate Governance Assurance Group	<p>(a) The external data transfer policy has been drafted and is now subject to agreement from Cllrs Mitchell and Robertson. Following agreement the policy can then be launched, communicated and monitored.</p> <p>Part of the delay in finalising the policy has been due to waiting for the findings of the Information Commission following a number of high level data breaches by other local authorities.</p> <p>Alongside the development of the policy work has also been ongoing to implement an Information Asset Register for all directorates. This will enable data to be categorised and make it easier for people to assess the risks associated with the transfer of the data and to apply the Secure Transfer of Information Policy effectively and appropriately.</p>

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(b) end user developments, which include the approval and implementation of the Access Strategy and Excel Development Policy.	1b) 31 December 2011	1b) Head of ICT Business Delivery	Corporate Governance Assurance Group	<p>(b) The policy has been to the ICT programme board and accepted by representatives of services and directorates. The aim is to get them to take responsibility for end user developments before they go ahead.</p> <p>As part of the Windows 7 and Office 2010 rollout, a process is ongoing to eliminate as many databases as possible. So far 16,000 databases identified have been rationalized to 7,000, many of these were used as front ends to other databases. It is also planned to improve the acceptable use of ICT policy to be more specific about the appropriate use of a range of applications.</p>

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<p>2) To address the lack of resilience within ICT infrastructure, which include a back-up facility to be sited at Kidlington, review of priorities for recovery of applications and systems used by Group 1 Services, installation of stand-by generators in County Hall and Clarendon House, and improved Telephony resilience.</p>	<p>31 August 2011</p>	<p>Business Continuity Corporate Lead.</p>	<p>Corporate Governance Assurance Group</p>	<p>A standby DR centre has been established at Kidlington Fire Service HQ and holds a replicated data set for all OCC applications. The hardware is limited to the support of ICT P0 and P1 systems which are based on the requirements of Group 1 services and have been agreed with BCSG. The standby generator at Kidlington has been upgraded to support the new facility.</p> <p>A temporary generator has been installed to power the communications room in County Hall, including telephony; the permanent generator is scheduled for installation on 17 Sept. There are also plans to split telephony equipment between County Hall and a location yet to be decided to provide increased resilience.</p> <p>The generator for Clarendon House has been manufactured. The lease for the basement is still to be resolved to allow access for the contractor to start works. OCC legal are currently liaising with the landlord to provide an acceptable level of commitment in order for the landlord to grant a licence to access.</p> <p>Expected date of resolution is 5 September. Contractors need one week's notice for mobilisation of workforce, so the earliest start on site would realistically be Tuesday the 13 September. The installation works will take 6 weeks from start to finish.</p>

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<p>3) To implement improvements to Schemes of Delegation to reflect significant organisational change, which includes the issue of clear guidance on how changes should be made and approved.</p>	<p>30 September 2011</p>	<p>Financial Management Corporate Lead</p>	<p>Corporate Governance Assurance Group</p>	<ul style="list-style-type: none"> <li>• 2011/12 Schemes of Delegation reflecting new Directorate structures are available on the Intranet.</li> <li>• Scheme of Delegation for Schools available on the Intranet.</li> <li>• Guidance on how changes should be made and approved on and linked to SAP authorisations will be added to the Intranet by 30 September 2011 following consideration by SFG on Monday 19 September and any subsequent amendments.</li> <li>• SAP approvals matrix being developed to improve visibility of substitutes to ensure these are appropriate.</li> <li>• List of current procurement card holders available on Intranet along with Approvals Matrix.</li> <li>• Per feedback from SFG on 11 July Directorates have been using the Approvals Matrix to ensure that SAP authorisations are consistent with the formal SoD.</li> </ul> <p><u>Future Improvements</u> Move to a standardised format for September 2011 SoD update to summarise all responsibilities by Group/Post. Ensure routing of debt write offs is consistent across Directorates.</p>

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<p>4) To implement effective governance of SAP roles, to ensure management of segregation of duties.</p>	<p>30 September 2011</p>	<p>Financial Management Corporate Lead</p>	<p>Corporate Governance Assurance Group</p>	<p>The SAP operations group has been put in place to address the governance issues around SAP roles. They will be monitoring changes to roles (particularly around critical transactions) and the papers for the meeting 15 September include background to the implementation of the SAP Security Standard.</p> <p>Mike King and Deb Allen have drafted the SAP Security Standard that will document the process for changing SAP once a request to ICT has been received to ensure that this process is working effectively and with adequate controls.</p> <p>Previous SAP Operations Group discussed changes to roles and whether they should have an overview of changes requested/made.</p> <p>Updates still required to Intranet forms and documentation of ICT processes to transact changes.</p>

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<p>5) To address improvements in respect of weaknesses identified by HSE for not having robust systems in place when awarding, managing and monitoring service provider contracts, which include improvements to health and safety clauses in contracts and related documentation, targeted training of relevant staff to increase their knowledge and ability to challenge providers, and safeguard the authority by supporting providers in improving their health and safety management system performance.</p>	<p>Updates to be provided at end of each quarter throughout 2011/12</p>	<p>Health and Safety Corporate Lead</p>	<p>Corporate Governance Assurance Group</p>	<p><b>SCS LD</b> – review of H&amp;S element of annual review of MENCAP provision for OCC clients. Working with LD QMOs to develop questionnaire that will adequately cover H&amp;S issues while enabling QMOs to concentrate on quality of provision. 1st Draft completed, to be reviewed 12<sup>th</sup> September then circulated to appropriate Managers for comment. Interviews with service providers have shown a positive attitude to enhanced H&amp;S monitoring particularly as it will be looked on favourably when tendering in the future.</p> <p><b>Schools</b> – project underway to identify schools needs for contracting support. Interviews with school Premises/ Business Managers show that there is room for improvement in competence and contracting practice is variable in quality and extent. Guidance specific to schools needs being drafted through into September.</p> <p><b>Training</b> – Selection and Management of Contractors continuing although uptake is under par. Delegates so far include from Waste Management, Property Services, and a few school business managers.</p> <p><b>Documents</b> –documents relating to contractor management in H&amp;S A-Z have been rewritten to reflect current best practice across all establishments and settings.</p>