Public Document Pack

Information Systems Sub (Finance) Committee

Date: **TUESDAY, 23 SEPTEMBER 2014**

Time: **9.30 am**

Venue: **COMMITTEE ROOM 2 - 2ND FLOOR WEST WING, GUILDHALL**

Members:
Roger Chadwick (Chairman)
Jeremy Mayhew (Deputy Chairman)
Randall Anderson
Nigel Challis
Alderman Peter Estlin
Jamie Ingham Clark
Hugh Morris
Sylvia Moys
Graham Packham
Dhruv Patel
Chris Punter
Deputy John Tomlinson

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John Barradell
Town Clerk and Chief Executive

AGENDA

Part 1 - Public Agenda

1. **APOLOGIES**

2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**

3. **MINUTES OF THE PREVIOUS MEETING**
To agree the public minutes and non-public summary of the meeting held on 25 June 2014.

For Decision
(Pages 1 - 6)

4. **PROGRESS REPORT ON STRATEGIC PROGRAMMES AND ALL IS PROJECTS**
Report of the Chamberlain

For Information
(Pages 7 - 20)

5. **CHIEF TECHNOLOGY OFFICER UPDATE**
Report of the Chamberlain

For Information
(Pages 21 - 26)

6. **PRESENTATION FROM AGILISYS ON PERFORMANCE LEVELS AND PROGRESS**

For Information

7. **INFORMATION SECURITY AND GOVERNANCE**
Report of the Chief Information Officer

For Information
(Pages 27 - 36)

8. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

9. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

10. **EXCLUSION OF THE PUBLIC**
MOTION - That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.

Part 2 - Non-Public Agenda

11. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**
To agree the non-public minutes of the meeting held on 25 June 2014.

For Decision
(Pages 37 - 40)

12. **ACTIONS FROM IS SUB**
Report of the Chamberlain

For Information
(Pages 41 - 44)

13. **ORACLE PROGRAMME UPDATE**
Report of the Chamberlain

For Information
(Pages 45 - 48)

14. **UPDATE ON THE POLICE**

For Information

15. **CITY TELECOMMUNICATIONS STRATEGY - SEPTEMBER 2014 UPDATE**
Report of the City Surveyor & Chamberlain

For Decision
(Pages 49 - 72)

16. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

17. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

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INFORMATION SYSTEMS SUB (FINANCE) COMMITTEE

Wednesday, 25 June 2014

Minutes of the meeting of the Information Systems Sub (Finance) Committee held at Guildhall, EC2 on Wednesday, 25 June 2014 at 11.30 am

Present

Members:
Roger Chadwick (Chairman)
Jeremy Mayhew (Deputy Chairman)
Randall Anderson
Nigel Challis
Jamie Ingham Clark
Hugh Morris
Sylvia Moys
Dhruv Patel
Deputy John Tomlinson

In attendance:
Deputy John Chapman
Graeme Smith
Tom Sleigh

Officers:

Susan Attard	Deputy Town Clerk
Julie Mayer	Town Clerk's
Christopher Braithwaite	Town Clerk's
Peter Kane	Chamberlain
Graham Bell	Chamberlain's
Chris Anderson	Chamberlain's Department
Ellen Murphy	Chamberlain's Department
Kay Andrewes	Director, Agilisys
Pearl Roberts	Director, Agilisys
Avril Stokes	Chamberlain's Department

1. **APOLOGIES**
   Apologies were received from Alderman Peter Estlin, Graham Packham and Chris Punter.

2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
   There were no declarations.

3. **MINUTES OF THE PREVIOUS MEETING**

RESOLVED: that,
The public minutes and non-public summary of the meeting held on 25 March 2014 be approved as an accurate record, subject to an amendment showing Mr Chapman and Mr Smith as having been present.

Matters arising
The Chairman advised that the three members in attendance today: Mr Chapman, Mr Smith and Mr Sleigh had previously been members of the Information Systems Sub Committee but, for various reasons, had not put themselves forward this year. Given that these Members had a vast amount of experience between them and added value to the Sub Committee, Members agreed that they be invited to attend IS Sub Committee Meetings, as ex-officios. The Members understood that they would be able to contribute to the debates but they would not be able to vote.

4. **PROGRESS REPORT ON STRATEGIC PROGRAMMES AND ALL IS PROJECTS**
The Sub Committee received a report of the Chamberlain setting out progress on Strategic Programmes and all IS projects.

In respect of the Oracle upgrade, which was in 'amber' status, the Chief Information Officer advised that, following the detailed design workshops, the extent of customisation versus the original scope of the project had been challenged. Of 20 outcomes from the workshops, only 5 remained outstanding but the project itself had been flagged as amber to ensure thorough tracking.

During the discussion and debate of this item, the following issues were raised/noted:

- The basic specification was still valid and being adhered to. The resolution of the last few issues should bring the project back to its original format.

- No additional costs had been incurred at this stage and all corrections were being approached with structure and discipline.

- There had been several hundred customisations removed from the 'off-the-shelf' product; other local authorities had required similar customisations.

- Whilst noting that the City of London's financial structure was unique, it might be an option, in future, to consider the benefits of moving to a shared service.

- In respect of other items in the report, Members noted that projects remained 'green' until they had been formally signed off.

- The Chief Information Officer explained that the presence of amber projects indicated that issues were being raised, actioned and monitored appropriately.

- Members asked if the next update report could highlight generic issues.

RESOLVED, that:
The Progress Report on Strategic Programmes and all IS Projects be noted.

5. **CHIEF TECHNOLOGY OFFICER (CTO) OVERVIEW OF TECHNICAL CHANGE PROJECTS**
The Sub Committee received the Chief Technology Officer's update and overview of technical change projects. During the discussion and debate on this item, the following issues were raised/noted:

- On 13th June 2014, Members of the IS and Projects Sub Committees had received a briefing on the City of London Police's IT collaboration projects.

- Other neighbouring local authorities; i.e. Camden and Newham had experienced difficulties with the Public Services Network.

- In respect of the City of London's Electoral Services, the business vote and Aldermanic elections would need to be communicated over the PSN. Whilst this was a unique and complex requirement, it was being managed and the Chief Technology Officer was confident of a satisfactory outcome.

RESOLVED, that:
The Chief Technology Officer's update and overview of technical change projects be noted.

6. **A PRESENTATION FROM AGILISYS ON PERFORMANCE LEVELS AND PROGRESS**
The Sub Committee received a presentation by Agilisys on their performance levels and progress. Members were invited to put questions after the presentation and the following items were raised/noted:

- Members had visited the Agilisys site at Barking and Dagenham on 25 March 2014. During the visit they had been given an opportunity to speak to those officers who had transferred from the City of London Corporation, under TUPE regulations. The Chairman was pleased to advise that staff appeared to be very happy with the outcome.

- Members asked if the next performance report could include an analysis of down-time in terms of the number of days lost, not just shown as a percentage, and include value for money. Agilisys stressed that they always worked to the higher end of performance targets and had consulted industry experts to ensure best practice and appropriate

standards. Members noted that performance since January had been very good, as had customer feedback.

- Due diligence would be given to the Police SLA, to ensure it met their requirements.

- As there was no break point in the Agilisys Contract, the governance arrangements were very pro-active in terms of performance.

- Members asked if password re-setting instructions could be more visible, particularly on i-pads.

- Some Members were calling Agilisys for fault reporting, rather than the VIP team. It was therefore suggested that the notices in the Members' areas be more visible.

- Agilisys hold regular supplier relationship meetings with BT and Virgin and work with third parties to improve performance.

- Agilisys were committed to appointing 100 apprentices during the term of their contract, to both IT and Digital Marketing projects, and would cross refer candidates to the City of London Corporation's schemes.

- Members asked if the next presentation could include the top 3 behaviours the City of London Corporation should adopt to help make the contract work.

7. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

There were no questions.

8. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

There was no other business.

9. **EXCLUSION OF THE PUBLIC**

RESOLVED - That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.

Item No.	**Paragraph(s) in Schedule 12A**
10 - 13	3

10. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**

RESOLVED: That the non-public minutes of the meeting held on 25 March 2013 be approved as an accurate record.

11. **CITY TELECOMMUNICATIONS STRATEGY: CONCLUSIONS OF THE STRATEGIC CONSULTANCY & NEXT STEPS**
The Sub Committee considered a joint report of the City Surveyor and the Chamberlain, which provided an update on the City Telecommunications Strategy.

12. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
There was one question asked whilst the public were excluded.

13. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**
There was no other non-public business.

The meeting ended at 1.15 PM

Chairman

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Committee:	Date(s):
Information Systems Sub Committee	23rd September 2014
Subject: Progress Report on Strategic Programmes and all IS projects.	**Public**
Report of: Chamberlain	**For Information**

Summary

To be updated

1. This report provides an update of progress against the IS Strategy and IS Project Portfolio as a whole. It highlights key issues and risks and includes mitigating actions to drive projects back to green status.
2. At present 1 project is in red status, Oracle and 4 projects are in amber status, Information Technology Infrastructure Library (ITIL). Infrastructure as a Service (IaaS), Adult Skills database and Pension System upgrade.

    a. **Oracle (Red) -** Intensive discussions over the last month through a series of workshops with key staff from across the Corporation have resulted in a re-plan that was signed off by the Oracle Steering Group on the 26th August. It is based on a technical go-live date at the end of February 2015, with further programme and business change activity to May 2015. This plan is aggressive with no contingency. It will require full support of the business and very careful management to achieve these goals. Commercial discussions are underway with our supplier to agree the impact of this re-plan, the workshops and a small number scope changes. We expect to conclude these discussions by the end of September.

    The project remains red while these commercial discussions continue and until we pass a major testing milestone in mid-October.

    b. **Information Technology Infrastructure Library (ITIL) (Amber) –** The first phase of the project to implement 4 modules; incident management, problem management, change management and service request fulfilment has progressed, additional time has been requested by the Project Board for Agilisys to demonstrate implementation success. A refresh of the Project Initiation Document (PID) is due early September for review and comment.

    c. **Infrastructure as a Service (IaaS) (Amber) -** This project is complex and holds several major risks. The migration plan has commenced and a number of low-impact / low-risk applications have successfully migrated to the new off-site data centre. High-risk and business critical applications have been identified and classed as special cases, 16 in total. This project is at amber status until all special cases have detailed migration plans and targeted risks have been addressed.

    a. **Adult Skills Database (Amber)** - for Department of Community and Children's Services, to improve the collection of learner data and reporting back to Government as per Ofsted recommendation. Contractual discussions between City of London and the supplier is impacting the schedule. Target resolution date 31st August 2014.

b. **Pensions System Upgrade (Amber)** – This project is to upgrade the current pension systems where the support expires on 31 December 2014. Audit and IS have recently expressed concerns regarding the security of the hosted solution offered by the current supplier, Heywood's. An in-house alternative hosting assessment is underway. This managed issue has raised the overall status of this project to amber. Target to close issue by mid-September.

3. The entire IS Portfolio has decreased from 60 projects to 59, 22 are in flight, 18 are being scoped, 16 are unallocated, 1 is on hold and 2 are in the process of closure on the Corporate Project Vision tool. Other than the projects mentioned in Paragraph 2 the main projects in delivery with the team are:

    a. Libraries Portfolio of Work

    b. Tower Bridge External Website

    c. Liberata, Revenues & Benefits Insourcing

    d. Business Risk Management System.

Recommendation

That the report be received.

Main Report

Background

1. This report follows on from the update presented at the previous IS Sub Committee 25th June 2014. It presents a current view of project progress, highlighting projects in amber and red status and mitigating actions.

2. A one-page summary providing a status update against all the IS Strategic themes can be found in Appendix A. In summary the RAG status against each theme is as follows:-

    a. Building an Effective Corporation (Oracle) = Red
    b. Customer Services Strategy = Green
    c. Promoting the City = Green
    d. Better Working Practices = Green

3. In the previous IS Sub Committee 25th June 2014, the IS Division reported a list of 60 projects. Since then, this list has been decreased to 59. Out of the 59 projects, 22 are in flight, 18 are being scoped, 16 are unallocated, 1 is on hold and 2 are in the process of closure on the Corporate Project Vision tool. Appendix B provides further insight into the resource breakdown (City of London internal staff vs Agilisys) and projects closed since the last reporting period.

4. Appendix C presents a short progress update on key projects, along with RAG status and completion dates. This report also includes the direction of RAG travel.

5. IS governance processes closely match the Corporate Gateway project procedure. An outline of the Stage Gate process has been provided in Appendix D for reference

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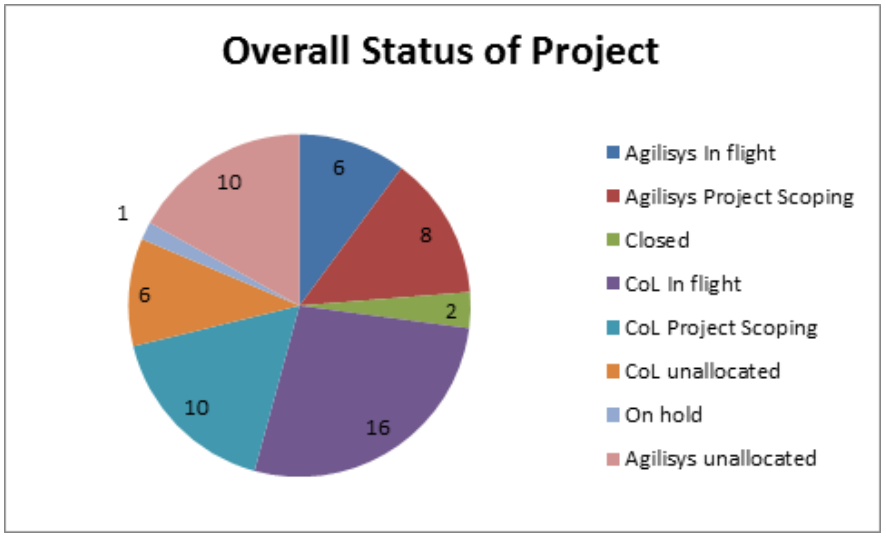
1. Appendix A – Programme Updates

The following provides progress against objectives for the four key programmes as outlined in the IS Strategy.

Theme	RAG	Status Update	Next Steps
Building an Effective Corporation - Oracle	RED	The program remains at a controlled red status. It was identified that business change impact workshops were required to ensure non-system related issues and business decisions were consistent across the Corporation. The outcome revealed an additional 50% of business activities required for either go-live or identified as future business plan opportunities. Attendance from the business during these change impact workshops was exceptional and the first of its kind where end-to-end processes & decisions were confirmed jointly across the Corporation. These newly identified business activities are an essential complement to the technical delivery however this important additional workshop time has impacted the overall delivery plan. A re-baseline programme activity has taken place, the new projected technical delivery date approved by the Steering Group 26-Aug-14 is end of February 2015.	Conclude cost / benefit impact assessment taking into account the slippage and the newly identified business benefits (by end of September). Drive forward the project plan and achieve sign-off of the second iteration of testing by end of October. This milestone success is the agreed trigger for amber status.
Customer Services Strategy	Green	A Draft Customer service strategy was provided mid-July, further feedback and revision is required from Town Clerks. Project outline has been drafted and ready for review and sign off.	Deputy Town Clerk has requested a one pager summary of the Strategy. Whilst this is being produced McLaren Surveying's will begin and the Customer Care Words Surveys created.
Promoting of City - Telecommunications	Green	Following a detailed feasibility study, the project initiation document has been finalised & agreed and the Programme Plan has been circulated for agreement. There are now four work-streams: - 1. Enhanced Consultation (to assess and quantify demand & market failure); 2. Assessment of the Options for State Aid Compliance & Optimum Procurement Strategy; 3. Enhanced Communications & public affairs Plan; and 4. Approach to Improving Wireless Connectivity As a result of recent media articles and improved engagement by BT Openreach, we have made significant progress in arriving at a pilot project as a possible limited solution for residents and SMEs.	Approval of the programme plan and communications plan. Submission of a Gateway 2 report for Project Sub Committee. Initiate the following engagement with other wholesale broadband providers; Meeting between CoL, Tech City and BD UK; Meeting with Chair of OfCom
Better Working Practices	Green	- Completed SharePoint roadmap for team sites and received budget approval for a few pilot areas and business as usual process set-up. Project Board established with a planned delivery date by the end of the year. - Completed delivery of the new Virtual Private Network (VPN) to all existing users, currently awaiting final sign off from the Project Sponsor. Post sign off all new laptops will be issued with VPN as standard. - Completed trial for Outlook Web Access. Working with business areas to roll-out as appropriate. - Individual mobile projects are underway with local budgets; these include Ports and Heathrow Animal Centre.	Gain final sign off for VPN. Develop protocols and rollout of Outlook Web Access to the Corporation. Work with HR and Health & Safety to refresh mobile working policy. Confirm individual mobile project delivery plans.

2. Appendix B – Portfolio breakdown

The Portfolio and Change Team are reporting 59 Projects.



16 with in-house IS resource, 6 are being delivered by Agilisys, 18 are in scoping, 16 remain unallocated, 1 is on hold and 2 are in the process of being closed on the Project Vision Corporate tool.

In addition to the IS Strategy deliverables, other key focus areas for the team include:

- **Libraries Portfolio of Work (Culture, Heritage and Libraries)** – a number of initiatives are underway with the libraries, 2 of which have received external grant funding (new public Wi-Fi and mobile IT for visitors). In order to bring governance and structure, IS have grouped all projects into 1 portfolio of work, led by 1 Project manager, 1 Project Board and Sara Pink as Project Sponsor. (Green)

- **Liberata, Revenues & Benefit insourcing (Chamberlains)** – insourcing of the current Liberata Contract to gain cost efficiencies. Technology platform has been completed and the migration of applications will be live from 1 October 2014. (Green)

- **Tower Bridge External Website (Culture, Heritage and Libraries)** – to support Tower Bridge in procuring a new website to coincide with the launch of their new glass floor walkway project in November 2014. The supplier has been selected and the new website is due for completion on the 15 October 2014. (Green)

- **Pensions System Replacement (Chamberlains)** – to upgrade the current pensions system which is out of support from 31 December 2014. There are concerns about the security of the hosted solution from Audit and IS, IS are undertaking an impact assessment to host internally. The implications of this change are being reviewed and a revised project plan produced. It is not envisaged that the change will threaten the current end date of 31 December 2014, yet a status change to amber has occurred to ensure the right attention, focus and approvals occur within the time agreed. (Amber)

- **Adult skills database (Community and Children's Services)** – replacement of the current Adult Skills database to meet the recommendations of an Ofsted Inspection Report. This system will improve the collection of learner data and reporting to Government returns to secure grant funding. A supplier has been selected but contractual discussions are causing delays. The project is currently planned to go live in November 2014. (Amber)

- **Scoping** = a project idea is being explored and documented into a project proposal (including business case)
- **Unallocated** = an idea has been submitted and an IS resource is yet to be assigned to conduct a scoping exercise
- **On hold** = the customer is uncertain as to whether they wish to progress with the project

Projects closed since 25th June 2014 (5 projects closed)

- **Asset Management (Community and Children's Services) –** to implement an asset management system for the Housing section to assist with the ongoing maintenance of their assets and ensure they comply with the Governments Decent Homes legislation.

- **Tower Bridge Wi-Fi (Culture, Heritage and Libraries)** – to improve the Wi-Fi facility at Tower Bridge to improve the customer experience and to coincide with the launch of a new Tower Bridge App.

- **Family Young Information (FYI) Services Forms (Community and Children's Services)** – the department requested to implement a number of online forms for the FYI service. However, due to the low numbers involved versus the cost for implementation, the business decided not to progress with this project.

- **Merge IT2 (Community and Children's Services)** – to allow the Housing Team to contact their residents via email rather than post, improving customer service and reducing postage and admin costs.

- **CHL BI Dashboards (Culture, Heritage and Libraries)** - the development of a Business Intelligence dashboard to provide the CHL Management Team with clear and effective overview of the departments performance.

3. Appendix C - Project Dashboard: Update on most significant IS projects – both 'In flight' and 'In scope'

The project dashboard has been separated into 2 distinct areas for ease of interpreting the key delivery phase for each initiative.

- **In flight projects** - proposals and funding have been agreed, projects are underway
- **In scope projects** - further research, stakeholder consultation and business case discussions are underway before defined proposals can be submitted and agreed.

RAG Status Definitions

RAG Categorisation	Project Status
Red	The project will not be completed within the agreed budget, timetable or specification and a decision will be required on how to proceed
Amber	The project is in danger of not being completed within the agreed budget, timetable or specification but action is being taken to ensure that the project will be delivered within agreed limits
Green	The project will be delivered on budget, time and to the agreed specification

Direction of Travel:

The Direction of travel indicator compares current information with the last report.

- Up arrow is improvement,
- Down arrow is deterioration and
- Forward arrow means no change.
- Colour of the arrows represents the RAG status the project has moved into in this reporting period.

Please note: with the introduction of benefits realisation and business case activity we will in time update data missing from this table.

Current IS In Flight Projects: i.e. the project proposal has been agreed: status report

Projects 2012 - 13	IS Stage / Gateway	Previous period RAG status	Current period RAG status	Direction of Travel	Project Manager	Project Sponsor	Planned completion date	Current completion date	Original Capital budget	Original Revenue budget	Budget RAG status	IS Staff days (Budget / Actual)	Notes
Oracle ERP (R12)	Corporate Gateway 6	Amber	Red	↓	Milan Gudka	Peter Kane	Feb-15	Feb-15	£2.34m	n/a	Red	Not specified *	The project is at a controlled red status, refer to status update in Appendix A
Network Refresh 'Network Renewal - Lot 1 WAN replacement)	Implementation	Amber	Green	→	Andy Goodey	Chris Anderson	Dec-13	July-14	£0	n/a Part of the Agilisys contract	Green	Not specified *	There are 5 sites still to be completed. 4 scheduled for September, remaining site requires permission from Crossrail which is delayed until late October.
Microsoft Enterprise Agreement (2012-14)	Gateway 7	Green	Green	→	Chris Anderson	Graham Bell	June 2014	June 2014	£1,996k	N/A	Green	N/A	A closure report has been completed and submitted to the Project Sub Committee, meeting to take place 2nd September.
SharePoint Expansion Strategy [*Part of Better*	Implementation	Amber	Green	→	Richard Reilly	Graham Bell	June 2014	June 2014	N/A	£77K	Green	TBC	The programme is currently Green as funding has been agreed and the rollout of Team Sites has

Projects 2012 - 13	IS Stage / Gateway	Previous period RAG status	Current period RAG status	Direction of Travel	Project Manager	Project Sponsor	Planned completion date	Current completion date	Original Capital budget	Original Revenue budget	Budget RAG status	IS Staff days (Budget / Actual)	Notes
working Practices Programme]													commenced. The Project is finalising how this offering can be part of a BAU request.
Flexible working (including mobile & remote working) *[Part of Better working Practices Programme]*	IS Stage Gate 1	Green	Green	→	Conal Brennan	Graham Bell	Remote Working – August 14	August 2014	N/A	£67K	Green	TBC	VPN Rollout to existing users has been completed. Individual projects underway with local budgets.
Liberata, Revs & Bens Insourcing	Implementation	Green	Green	→	Michelle Wells	Suzanne Jones	October 2014	October 2014	£460K	N/A	Green	N/A	The Project is at Green status as the Cutover date has been agreed. UAT is progressing to the agreed timescales and there are no foreseen issues to delay its completion. All other work streams are progressing to agreed timescales

Projects 2012 - 13	IS Stage / Gateway	Previous period RAG status	Current period RAG status	Direction of Travel	Project Manager	Project Sponsor	Planned completion date	Current completion date	Original Capital budget	Original Revenue budget	Budget RAG status	IS Staff days (Budget / Actual)	Notes
Infrastructure as a Service (IaaS)	Implementation	Amber	Amber	→	Agilisys, Jamie Hewitt	Graham Bell	November 2014	November 2014			Green		Migrations for low-risk systems have commenced. Detailed plans are underway for all high-risk identified applications
Information Technology Infrastructure Library (ITIL)	Implementation	Amber	Amber	→	Agilisys, Craig Huckle	Graham Bell	December 2014	December 2014			Green		The first phase of the project to implement 4 modules; incident management, problem management, change management and service request fulfilment has progressed; additional time has been requested by the Project Board for Agilisys to demonstrate implementation success
Business Risk Management System	Implementation	Green	Green	→	Janet Baker	Suzanne Jones	September 2014	September 2014			Green		3rd Party supplier is providing the implementation plan and all deliverables have been agreed

Projects 2012 - 13	IS Stage / Gateway	Previous period RAG status	Current period RAG status	Direction of Travel	Project Manager	Project Sponsor	Planned completion date	Current completion date	Original Capital budget	Original Revenue budget	Budget RAG status	IS Staff days (Budget / Actual)	Notes
Adult Skills replacement Database	IS Stage Gate 1	Green	Amber	↑	Louisa Itam	Neal Hounsell	November 2014	November 2014			Green		The project is in amber status due to contractual discussions with the supplier, it is hoped to have these resolved by 31st August 2014.
Corporate Pensions System	Implementation		Amber	→	Fay Sutton	Suzanne Jones	December 2014	December 2014			Amber		This project is at amber because some concerns have been raised about the security of the connection to the hosted system. Internal Audit are reviewing the technical setup and providing advice on the level of risk and the IS Division are identifying the costs for internal hosting.
Tower Bridge External Website	Implementation		Green	→	Mark Hirst	Jamie Bottono	September 2014	September 2014			Green		The Project is at Green status as a 3rd Party Supplier has been selected to deliver the end to end solution

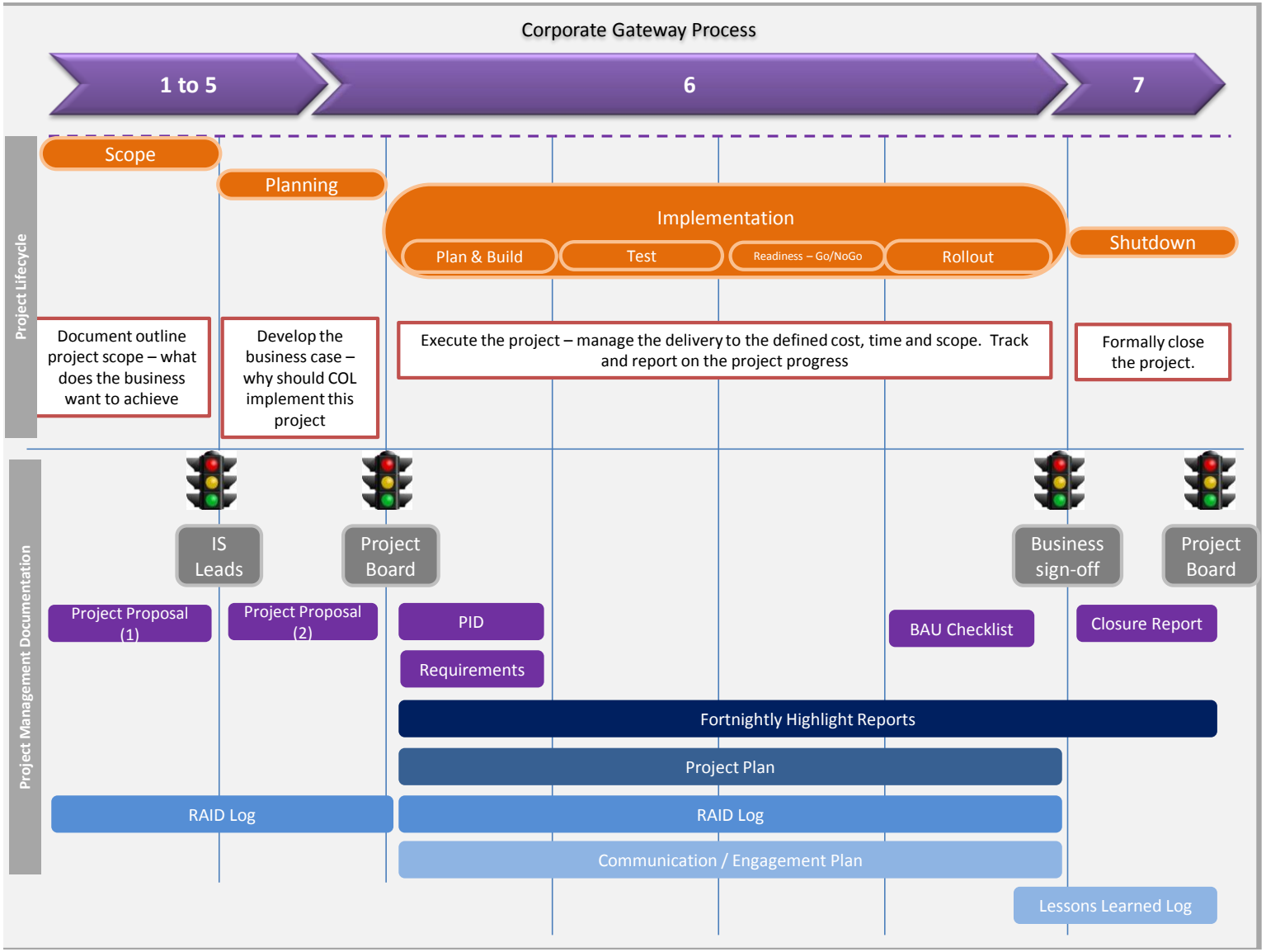
Projects 2012 - 13	IS Stage / Gateway	Previous period RAG status	Current period RAG status	Direction of Travel	Project Manager	Project Sponsor	Planned completion date	Current completion date	Original Capital budget	Original Revenue budget	Budget RAG status	IS Staff days (Budget / Actual)	Notes
Libraries Programme	Implementation		Green	→	Conal Brennan	Sara Pink	March 2015	March 2015		£59K (Grant Funding)	Green		New group of initiatives. The Project is at Green Status and programme plan is under construction.

Current Projects being scoped and subject to further agreement and research.

Pipeline 2013-2014	IS Stage / Gateway	Previous period RAG status	Current period RAG status	Direction of Travel	Project Manager	Project Sponsor	Planned completion date	Current completion date	Original Capital budget	Original Revenue budget	Budget RAG status	IS Staff days (Budget / Actual)	Notes
Customer Access Services Programme	IS Stage Gate 1	Green	Green	→	David Hunt	Graham Bell	December 2015	December 2015	£41K	£0	Green	TBC	The Draft Customer service strategy was provided mid-July, further feedback and revision is required from Town Clerks.
Microsoft Enterprise Agreement Renewal (2014-2017)	Gateway 7	Green	Green	↑	Chris Anderson	Graham Bell	July 2014	July 2014	£10K	£1,068k	Green		This has been approved by procurement and now has been purchased. Closure report has been submitted to Project Sub Committee which takes place 2nd September

***** Not specified during project initiation

Appendix D – IS Stage Gate Process



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Board:	Date(s):
Information Systems Sub Committee	23rd September 2014
Subject: Chief Technology Officer Update	**Public**
Report of: Chamberlain	**For Information**

Summary

This report provides Members with an update on the City's managed IS service contract, PSN accreditation and work with City Police.

Managed Service Contract

A major incident affecting the Guildhall data centre resulted in the loss of service over a 19-hour period. Agilisys staff worked through the night to ensure 98%of services were recovered by 08:00 the morning. Following this event a major incident review is being completed, for presentation to the Summit Group.

Unrelated to the incident above we have also seen over the past two months an increase in escalated calls and quality of service issues. We have escalated these with Agilisys and are working positively together to address them.

Public Service Network

The City continues to work with the Cabinet Office to review and progress Public Service Network (PSN) accreditation.

City Police Collaboration

CoL and CoLP IS teams are now meeting and working closely together. This includes work on the joint network and service design.

Work to accommodate the short-term hosting of the Police Know Fraud service has been largely completed. The service is expected to be relocated into the Guildhall data centre in late September.

Audit Report – Cemeteries & Crematorium ICT Review

The Internal Audit report on ICT service to the City of London Cemetery has been reviewed jointly with the department and good progress is being made to address the recommendations.

This report should be read in conjunction with the IS Programme Update which details the latest status for key IS projects including those covered within this report.

Recommendation

That the report be received.

Main Report

1. This report provides Members with an update on the City's managed IS service contract, Public Service Network (PSN) accreditation and work with City Police.

Managed Service Contract

2. There has been a noticeable increase in the number of incidents and escalations over the past month. In addition, there have been aspects of project planning, delivery and attention to detail that fall short of expectations. By way of balance, there have been many examples of excellent service, as noted in the section below on the Agilisys response to the major outage in the City's main computer room in mid-July and the response to a number of urgent requirements.

3. The City and Agilisys teams continue to work closely together to understand and address the reasons for these matters and this work forms part of our shared commitment to continual service improvement. The resource requirement for technical project managers is one area under review. Once considered, a proposal to improve and fund this in the future will be brought to Committee for consideration.

4. As reported at the last meeting of this Committee, a failure to recruit to the City's Supplier Relationship Manager (SRM) post remains an issue with a further recruitment cycle failing to identify any candidates for interview. The on-going failure to recruit is a risk, currently mitigated by assigning existing experienced in-house resource to cover.

5. The first annual Agilisys performance and service improvement report is reported separately to this Committee.

6. In response to a question raised at the last meeting of this Committee a table providing an overview of the contracted service level agreement for the Agilisys contract has been included as Appendix A of this report.

Guildhall Data Centre – Major Outage

7. A major outage of IS services occurred on 23rd July 2014. This followed the detection of smoke in the main City data centre with resulted in an automatic complete power shutdown.

8. London Fire Brigade attended the scene and declared it safe prior to City Surveyor's and IS staff being granted access to restore services.

9. Agilisys staff worked through the night, with many staff working more than 24 hours, to ensure that the majority of services were recovered by 8am the following morning. A small number of sites and services were impacted by hardware failures or other issues which required longer to rectify. Work to resolve these continued over the next few days and full restoration was complete on the 28th July.

10. Reviews of this incident have taken place with attendees including the Security & Contingency Planning team and representatives from most departments. Whilst the response team and process worked well there are a numbers of areas of improvement and these will be detailed in the major incident report.

Public Service Network (PSN)

11. As noted at the last meeting of this Committee, 'The City's PSN accreditation was approved in January 2014 with a renewal due in June 2014…. however the City's June submission had been rejected and remediation was being progressed'.

12. A meeting with the PSN accreditation team took place on 27th August 2014. At this meeting the City presented its short term remediation plan which consists of an extension to the current PSN enclave. This was considered by the assessors but has subsequently been rejected. We are continuing to work closely with the assessor to agree the actions to be taken.

13. The City is already planning to replace some areas of IS infrastructure which do not meet current PSN security requirements. These include the Corporate Property Management System, which will be replaced as part of the Oracle R12 programme, and the WiFi service, the Gateway 4 report for this replacement project being approved by Project Sub-Committee in July 2014.

14. We will return to this Committee in due course with a report detailing the plans for full PSN accreditation of the City's network and IS infrastructure and an assessment of the impact and cost of this to the organisation. This work will facilitate not only our long-term PSN compliance but provide also the underpinning security assurance required to support more joined up working and secure sharing of data with the City Police.

Joint Working with City Police

15. Work with City Police continues both at a strategic and technical level with teams working closely together on joint projects.

16. The Guildhall Yard East project is progressing well. A report including budget approval request were considered and approved at the 2nd September Project Sub-Committee meeting.

17. The City IS and procurement teams continue to assist the Economic Crime department with both the on-going delivery and management of the existing Know Fraud system and the tender for its replacement.

18. Part of this engagement has seen the City undertake the short-term, up to 15 months, hosting of the existing Know Fraud service with the service due to be relocated to the City's main data centre with effect from October 2014. The data centre environment has required some alteration to accommodate the enhanced security requirements of this service. The cost of the required works is expected largely to be offset by a reduction in hosting charges by Serco – who continue to be responsible for all aspects of support and maintenance of the service. This exercise will also reduce dependency on Serco during the migration to a new provider and should yield further reduction in risk and potentially the cost of migration.

Audit Report – Cemeteries & Crematorium ICT Review

19. At the last meeting of this Committee Members raised concern at the contents of an Internal Audit report into IS services at the City's cemetery & crematorium.

20. The audit report has been reviewed. It contains eight recommendations; four considered amber and requiring a response within three-months, four rated green and requiring a response within six months.

21. All recommendations are clear, understood and we believe good progress is being made to implement them with City IS and Open Spaces officers working closely together and in conjunction with Gower who are suppliers of the Epilog software. Actions taken include; agreement of appropriate processes with the supplier, Gower, to record, escalate and resolve issues, to improve change control, to monitor the SLA appropriately and to improve data integrity.

22. A copy of the audit report is available should Members wish to receive a copy. The lead officer for this service will continue to update Internal Audit who maintain responsibility for monitoring the response to their report recommendations.

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Chris.anderson@cityoflondon.gov.uk

Appendix A

Overview of City / Agilisys contracted Service Level Agreement

Critical Performance Indicator	Description	SLA target	Loss of service Tolerance
Corporate & Critical Service availability	Total availability as measured by the agreed monitoring tools divided by the total number of hours in the calendar month excluding agreed maintenance downtime. Any significantly degraded service that effectively renders a service unusable, counts as unavailability.	**99.0%** Time measured for each service according to agreed hours of availability. Target covers average of all services on defined list.	For a typical service with support hours between 8am and 6pm, Monday to Friday. **2.17 hours per month**
Data Centre LAN availability	Total Data Centre LAN availability as measured by the agreed monitoring tools divided by the total number of hours in the calendar month excluding agreed maintenance downtime.	**99.95%** Measured 24/7.	Excluding permitted maintenance. **4.4 hours per year**
Internet Access availability	Total Internet Access availability as measured by the agreed monitoring tools divided by the total number of hours in the calendar month excluding agreed maintenance downtime. Any significantly degraded service that effectively renders service unusable counts as unavailability.	**99.95%** Measured 24/7	Excluding permitted maintenance. **4.4 hours per year**
Corporate Network Availability	Corporate Network Availability including LAN, WAN, Firewalls, as measured by the agreed monitoring tools divided by the total number of hours in the calendar month excluding agreed maintenance downtime	**99.95%** Measured 24/7	Excluding permitted maintenance. **4.4 hours per year**
Corporate Telephony Availability	Total Corporate Telephony Availability as measured by the agreed monitoring tools divided by the total number of hours in the calendar month excluding agreed maintenance downtime	**99.95%** Measured 24/7	Excluding permitted maintenance. **4.4 hours per year**

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Committee(s):	Date(s):
IS Sub Committee — For Information Audit and Risk Management Committee IS, Chamberlains	23 September 2014
Subject: Information Security and Governance	**Public**
Report of: Graham Bell, Chief Information Officer	**For Information**

Summary

This report is in response to the actions from the minutes of the Audit and Risk Management May Committee meeting and to provide a status update in relation to information security and governance.

Recommendation(s)

Members are asked to:

- Note the report

Main Report

Background

This report is designed to provide a response and update to mitigation of information security and governance risk (CR16) and further developments in this area:

- Update on current position: number of breaches
- Risk mitigation to date: training, communications, engagement
- Development of the IMGB (Information Management Governance Board) in terms of structure, changes, future approach and action plan.

Current Position and actions from last report

The following provides an outline of the current position and actions from the last report:

1. **Security Breaches:** There have been 2 breaches of information since the last report (May 2014). Both breaches were reported to the Information Officer through the correct course of action and neither were considered to be of a nature that they should be reported to the Information Commissioner.

    a. **Culture, Heritage and Libraries / Town Clerk's Department: 4/6/14**
    A Committee report was published on website containing: personal contact information of a third party. After notification the information was removed from the website. After investigation, it was concluded that the information was available elsewhere on the web, however we published a mobile contact number in error.

Action: Arranged for the following action: staff involved were reminded to be vigilant when handling personal information and asked to re-complete the DP e-learning package.

b. **GSMD:** 10/6/2014
Personal information of a current student was mistakenly added to an email sent to a rejected student. The information consisted of the current student's name and course information, and general reference to health issues, but the health issues were not specified.

Action: An apology was issued to data subject, ie the current student; the unintended recipient confirmed the email was deleted; staff involved were reminded to be vigilant when handling personal information and asked to re-complete the DP e-learning package.

2. **Mitigating Actions to avoid security breaches**

a. **Training:**

i. 123 staff have attended engagement presentations in Data Protection to date in 2014.

ii. 57 staff have completed Protecting information level 1, 2 or 3 relating to their role in 2014

iii. 35 staff completed Data Security training in 2014 so far.

b. **Communication and awareness:** there has been further communication to all City staff through the following means with respect to handling information with emphasis on Data Protection, breaches of which can incur the biggest penalty for the City Corporation.

i. Email infographic sent to all staff from the Deputy Town Clerk 5 August 2014 and used as bite sized office posters (see Appendix 3)

ii. Email about building security sent to all staff on 31 July 2014

iii. Email about 'being aware of 'phishing' sent to all staff on 19 August 2014 with links to further information on Data Security training.

iv. Communication of 'one stop shop' diagram to reporting information security incidents – paper based, personal information, loss or theft of devices and building security published on the intranet. See Appendix4.

c. Improvement in auditing the Mitigation of Risk

i. Data Protection compliance checks through the AIN (access to information network) representatives as a pilot process commenced in November 2013. This involves working with AIN reps to check local security arrangements for physical security of items (physical security of information through storage and transportation, clear desk policy for those working with personal

data). This will be rolled out further and broadened over time to cover other issues such as retention of personal data..

ii. Clarity in the reporting process: an agreed 'back office' incident escalation process is outlined in Appendix 5.

iii. In time for Learning and Development week in October 2014, the new Learning Management System will be rolled out across the City Corporation. This presents the opportunity to promote the most up to date information management courses to staff and target those staff who handle personal or sensitive information and track their course completion more fully and present completion statistics back to the IMGB.

Development of the IMGB

1. Terms of Reference:

    a. The IMGB (Information Management Governance Board) is now a **strategic board only**.
    b. The purpose of the board is to decide on the most pressing areas of concern in relation to IMG (information management and governance) and identify the key business areas and experts to collaborate with in addressing IMG issues.
    c. It will then recommend interventions such as workshops, policy development, communication and training in relation to best practice in the field of information governance and management where applicable – corporately and departmentally.

    After careful consideration of the performance of the previous IMGB, this approach was agreed by both the SIRO and Chairman (listed in Appendix 1). The ambition is to develop effectiveness and efficiency in information governance and management through a fresh approach, using organisational expertise to best effect and reduce bureaucracy. An outline of Board Members and planned activity for Autumn 2014 is included in Appendix 1.

Conclusion

This report has outlined progress since the last report submitted in May 2014 and sets out the planned course of action going forward.

Appendices

- Appendix 1: IMGB: Membership
- Appendix 2: Action and Engagement Plan
- Appendix 3: Example of staff communications since May 2014 for illustration purposes only. A full printout of the diagram is available on request.

- Appendix 4: Flow diagram for staff information of incident reporting for ‘information breaches’ in relation to sensitive, hardcopy/online, and building security.
- Appendix 5: Flow diagram of incident escalation/decision in the event of a breach.

Graham Bell
Chief Information Officer and SIRO (Senior Information Risk Officer)

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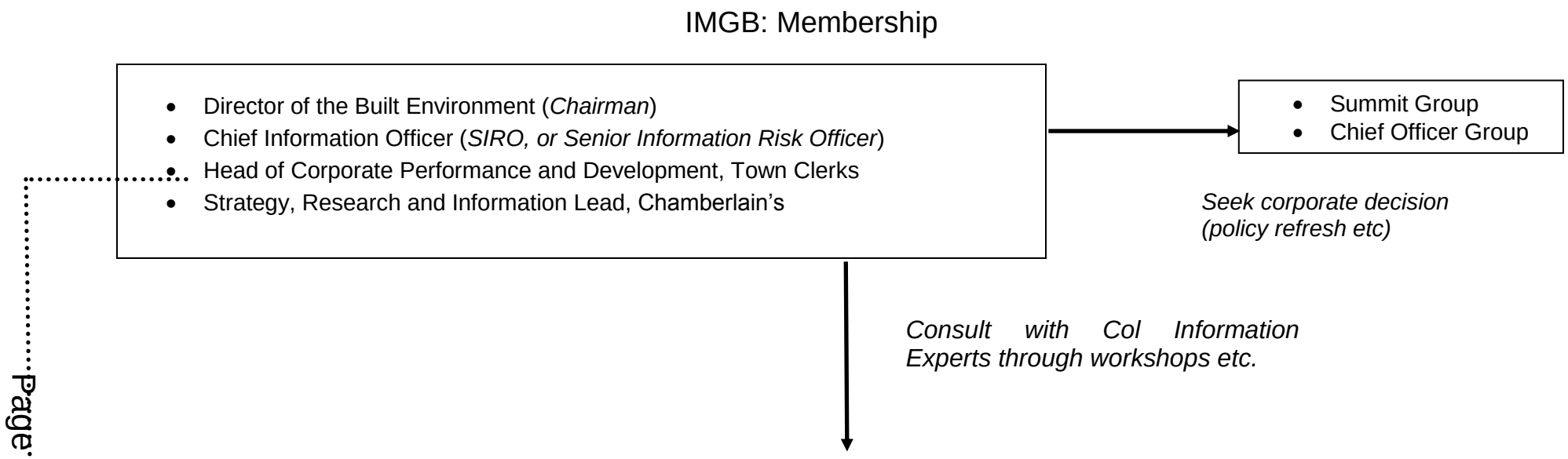
Appendix 1: IMGB membership



Expert	Topic
Archivists (London Metropolitian Archives)	Record management
Technical Architects/IS and Agilisys	Data Security, system decommissioning, data retention and disposal
Committee and Member Services	Member training and education, information handling and access
VIP team (IS)	
Caldicott Guardian (Community and Children's Services)	Handling sensitive and confidential information/ protective marking
Audit and Risk Team	Record retention
Information Officer x 2	DP/FOI compliance
Lawyers (Comptroller and City Solicitors)	Record management

Appendix 2: Action and Engagement Plan: Autumn/Winter 2014

Activity	Action	Owner	Completion Date
Protective Marking Information classification awareness in line with 2014 legislation	Direct approach to areas required to classify sensitive information. Work with business areas to identity areas this applies to and assist them in achieving this	Strategy, Research and Information Lead, Chamberlains	September 2014
Ensure robust online security policy and plans are in place.	Refresh and agree information security policy for online systems. Promote online security and training	Strategy, Research and Information Lead, Chamberlains	October 2014
Clear desk policy for those dealing with sensitive information	Work with departments and Chief Officers to identify those dealing with sensitive information to encourage and sponsor clear desk policy in key areas. Assess success factors of this.	Strategy, Research and Information Lead, Chamberlains	October-December 2014
Audit compliance of Data Protection Act	Work with AIN representatives to develop and expand areas covered by DP compliance audits.	Information Officers, Town Clerks	Winter 2014
Ensure best practice in relation to secure transportation of sensitive material such as non	Consult with Committee and Member Services and other key departments in this area such as Community and Children's Services	Strategy, Research and Information Lead, Chamberlains	Autumn 2014
Promote new Civil Service Information Governance and security modules	Rollout and promote 4 new training modules that include cyber security awareness: • Course for General Users/all staff • Course of Information Asset Owners (IAOs) • Course for Senior Information Risk Owners • Course relevant to Members and Senior Managers	Strategy, Research and Information Lead in partnership with HR and Information Officers.	October 2014

Appendix 3: Example of communications to staff:

Data Protection e-Flyer: Summer 2014

Data Protection

Are you data aware?

CITY LONDON

LEAD EMPOWER TRUST

Please take note of the following good practice to avoid breaching the Data Protection Act and compromising people's personal information, which could result in enforcement action against the City of London. A more detailed version of this guidance is available on the **policy pages of colnet**.

Emailing personal information?

- Use the 'bcc' for multiple recipients
- Don't include personal information within an email chain
- Don't unnecessarily disclose names and email addresses of colleagues in the 'cc' option.

Remember - the IS Division have software to assist managing large mailshots and circulation lists: Listserve

Manual files containing personal information should always be kept secure, for example, in a locked cupboard

Ask your manager before removing personal information from the office.

- Take extra care when using public transport
- Don't leave laptops, files etc. visible in a car!
- Consider the use of secure pouches outside the office.

Portable devices must be kept secure, encrypted and password protected. Further advice on their secure use is available from the IS Division.

Do not keep personal information for longer than necessary. Ensure all personal information is disposed of securely.

When you are away from your desk lock your PC and do not leave personal information displayed on your desk.

Take care when using printers, photocopiers and network drives. Collect your information promptly, and do not leave any personal information on shared network drives (e.g. W Drive).

Passwords used to access personal information must always be kept secure and not shared.

Do not post personal information online, including when using social media, unless you know you are allowed to do so. This includes written information and photos/videos.

If using Cloud computing solutions to store, access or share personal information, ensure that there is sufficient security in place, and that all appropriate guidance is followed. Further advice on the secure use of Cloud computing solutions is available from the IS Division.

Avoid emailing and faxing personal information to recipients outside the organisation.

- If there is no alternative, ensure the recipient can confirm safe delivery
- Always take extra care when inputting the email address/fax number.
- If the personal information is particularly sensitive, consider using a secure email service (available through the IS Division).

If you find you can access personal information which you would not normally be permitted to access, please report it immediately and ensure your access is removed.

More information

There is a Data Protection e-learning module on the intranet. All employees who regularly access personal information should have gone through this (in accordance with the Employee Data Protection Policy). If you have not yet completed this please take some time now to do so.

It is essential that any breaches, or potential breaches, of the Data Protection Act are immediately reported to the **Town Clerk's Department** for a full investigation.

Most penalties issued by the Information Commissioner against public authorities for breaching the DPA have been in excess of £100,000

All enforcement cases are listed on the Information Commissioner's website and updated on our intranet pages

In some cases disciplinary action will need to be considered when breaches occur so do, please, be careful.

You can also find information here:

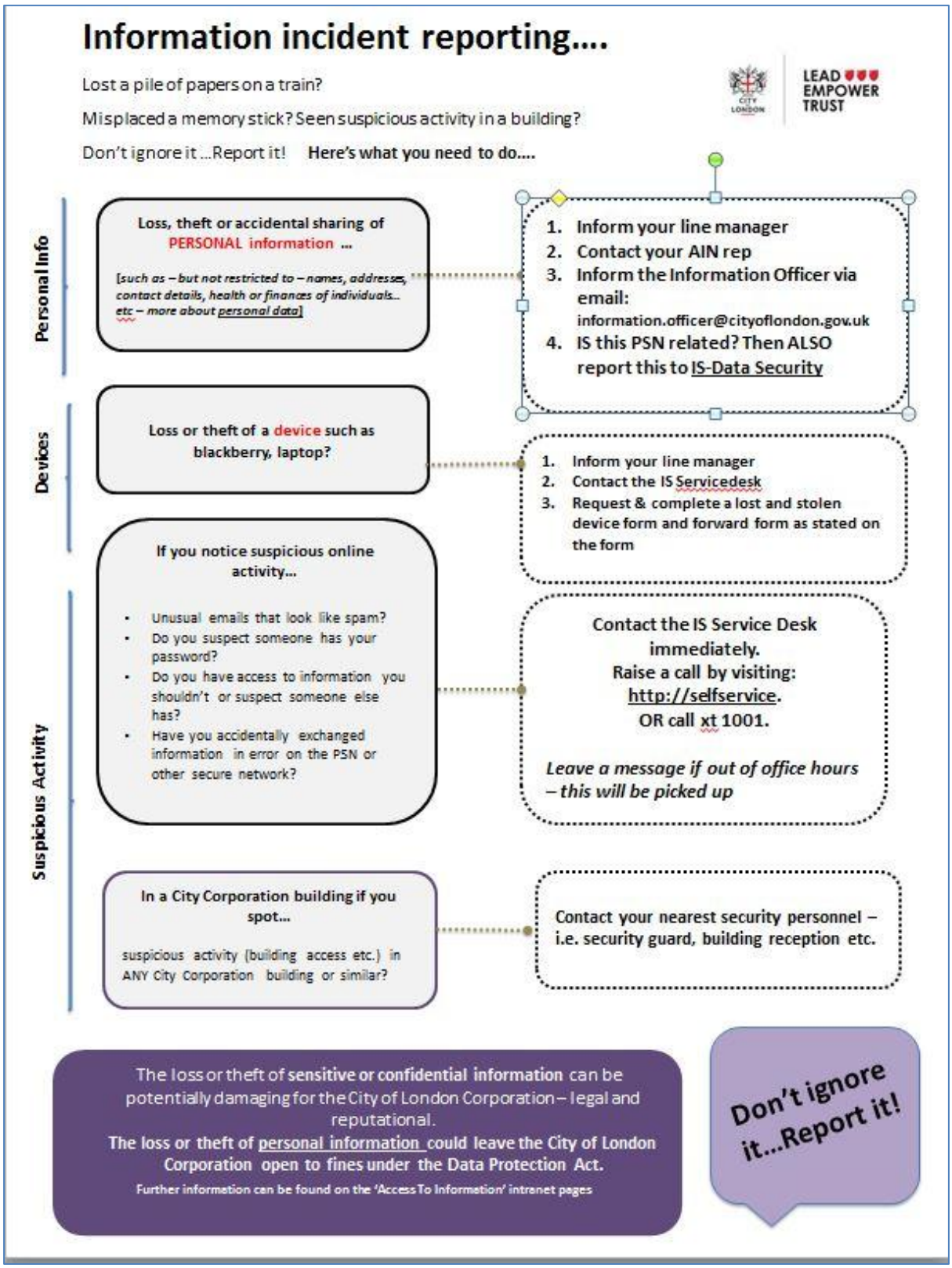
Employee Handbook
IS Guidelines
Access to Information representatives

or contact

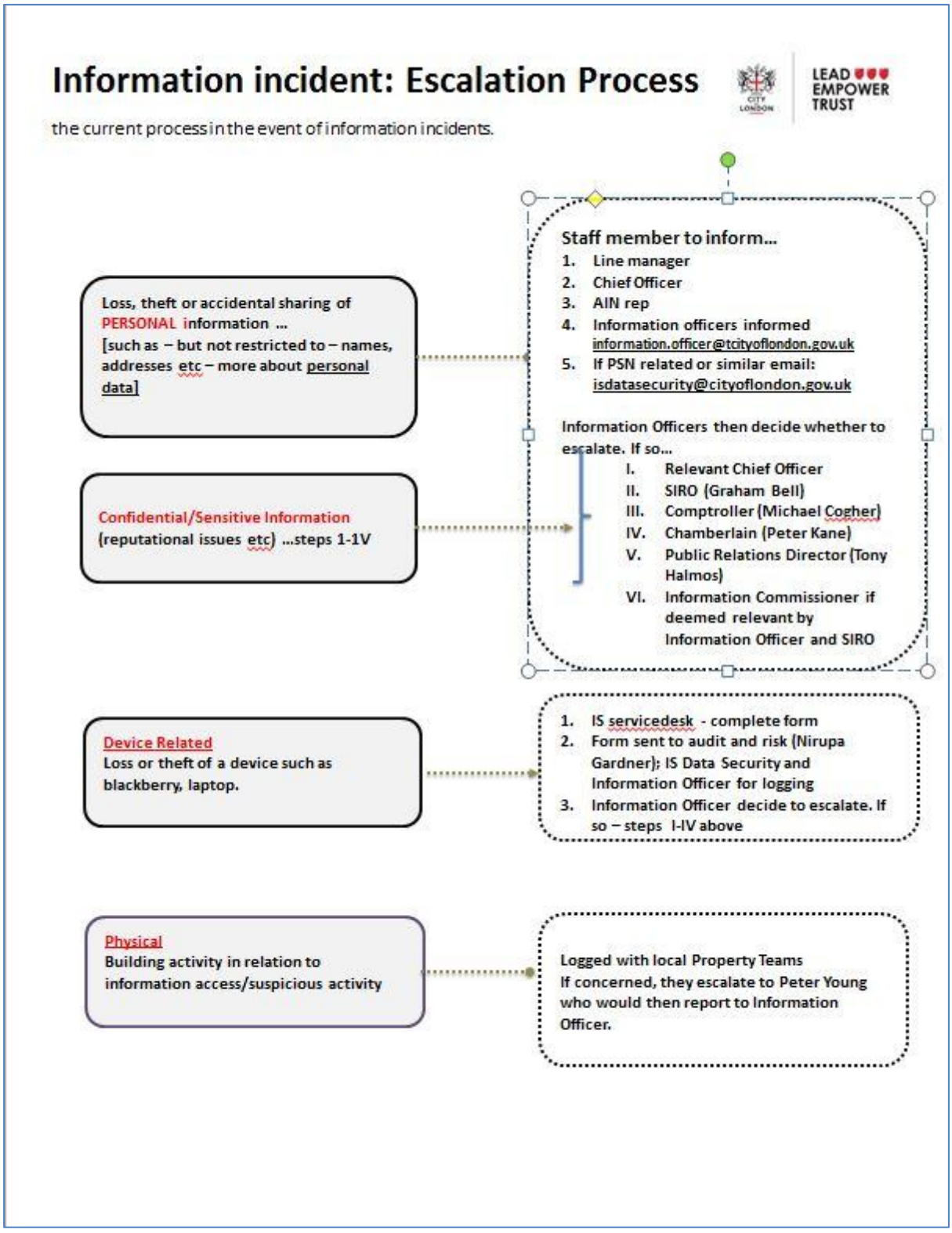
Information Officer (ext1209)
Assistant Information Officer (ext 3244)

Appendix 4: Flow diagram for Information Incident reporting:

Staff Information now available on intranet.



Appendix 5: Flow diagram of agreed escalation process structure (back office) once an information breach is recorded.



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