



## Information Technology Sub (Finance) Committee

**Date:** MONDAY, 18 SEPTEMBER 2017  
**Time:** 10.00 am  
**Venue:** COMMITTEE ROOMS - WEST WING, GUILDHALL

**Members:** Deputy Jamie Ingham Clark (Chairman)  
Hugh Morris (Deputy Chairman)  
Rehana Ameer  
Randall Anderson  
Deputy Keith Bottomley  
John Chapman  
Tim Levene  
Jeremy Mayhew  
Deputy Robert Merrett  
Sylvia Moys  
James Tumbridge

**Enquiries:** John Cater  
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**N.B. Part of this meeting may be subject to audio-visual recording.**

**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**  
To consider the public minutes of the meeting held on 14 July 2017.  

**For Decision**  
(Pages 1 - 6)
4. **OUTSTANDING ACTIONS**  
Joint report of the Town Clerk and Chamberlain.  

**For Information**  
(Pages 7 - 8)
5. **WORK PROGRAMME**  
Joint report of the Town Clerk and Chamberlain.  

**For Information**  
(Pages 9 - 10)
6. **IT DIVISION - MEMBER UPDATE**  
Report of the Chamberlain.  

**For Information**  
(Pages 11 - 14)
7. **IT DIVISION RISK UPDATE**  
Report of the Chamberlain.  

**For Information**  
(Pages 15 - 22)
8. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB 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 Schedule 12A of the Local Government Act.

**For Decision**

## Part 2 - Non-Public Agenda

11. **NON-PUBLIC MINUTES**

To agree the non-public minutes of the meeting held on 14 July 2017.

**For Decision**  
(Pages 23 - 28)

12. **NON-PUBLIC OUTSTANDING ACTIONS**

Joint report of the Town Clerk and Chamberlain.

**For Information**  
(Pages 29 - 30)

13. **AGILISYS CONTRACT NEGOTIATIONS UPDATE**

Report of the Chamberlain.

**For Information**  
(Pages 31 - 34)

14. **TRANSFORMATION**

- a) IT Transformation Programme - Update Report (Pages 35 - 42)

Report of the Chamberlain.

- b) Member IT Service Provision (Pages 43 - 44)

Report of the Chamberlain.

15. **CORPORATE RISK CR 16 - INFORMATION SECURITY AND PSN UPDATE**

Report of the Chamberlain.

**For Information**  
(Pages 45 - 62)

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

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

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## INFORMATION TECHNOLOGY SUB (FINANCE) COMMITTEE

Friday, 14 July 2017

Minutes of the meeting of the Information Technology Sub (Finance) Committee held at Guildhall, EC2 on Friday, 14 July 2017 at 1.45 pm

### Present

#### Members:

Deputy Jamie Ingham Clark (Chairman)  
Hugh Morris (Deputy Chairman)  
Randall Anderson  
Deputy Keith Bottomley  
John Chapman  
Jeremy Mayhew  
Deputy Robert Merrett  
Sylvia Moys  
James Tumbridge

#### Officers:

|                    |   |   |
|--------------------|---|---|
| Alistair MacLellan | - | Town Clerk's Department                   |
| Bob Roberts        | - | Director of Communications                |
| Melissa Richardson | - | Town Clerk's Department                   |
| Peter Kane         | - | Chamberlain                               |
| Sean Green         | - | IT Director                               |
| Matt Gosden        | - | Deputy IT Director                        |
| Kevin Mulcahy      | - | Chamberlain's Department                  |
| Jane Reynolds      | - | Comptroller & City Solicitor's Department |
| Alison Hurley      | - | City Surveyor's Department                |
| Steve Bage         | - | City Surveyor's Department                |

#### Attending:

|              |   |                                |
|--------------|---|--------------------------------|
| Adrian Davey | - | Cirrus Futures                 |
| Goy Roper    | - | Socitm Advisory (Item 18 only) |
| John Tyreman | - | Socitm Advisory (Item 18 only) |

#### 1. APOLOGIES

Apologies were received from Rehana Ameer and Tim Levene.

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

There were no declarations.

#### 3. MINUTES

The minutes of the meeting held on 26 May 2017 were approved as a correct record.

4. **OUTSTANDING ACTIONS**

The Sub-Committee considered a joint report of the Town Clerk and the Chamberlain which provided updates of outstanding actions from previous meetings.

**RECEIVED**

5. **IT DIVISION UPDATE**

Members considered an update report of the Chamberlain regarding the IT Division and the following points were made.

- The IT Director noted that the requirement to provide IT VIP support to the Town Clerk in his capacity as head of the Grenfell Tower task force had entailed a temporary freeze on IT services such as remote support. This freeze had now been lifted.
- In response to a comment from a Member, the IT Director noted that the procurement process would have ensured any sills installed during the IT transformation programme were Disability Discrimination Act (DDA) 2005-compliant.
- Members noted their thanks to the IT VIP Team for its response to recent events including the London and Manchester terror attacks, and the Grenfell Tower fire.

**RECEIVED**

6. **COUNCIL TAX & BUSINESS RATES**

Members considered a Gateway 7 project report of the Chamberlain regarding Council Tax & Business Rates.

**RESOLVED**, that the project be closed.

7. **GDPR BRIEFING**

Members considered a report of the Chamberlain regarding the forthcoming General Data Protection Regulations (GDPR) that would come into effect from May 2018, and the following points were made.

- The IT Director noted that there was now an element of risk around ensuring compliance with GDPR, noting that there was a potential fine of 4% of turnover in the event of the GDPR being breached.
- A Member welcomed the report but requested that any further iteration was given input by the Comptroller & City Solicitor's Department.
- In response to a question from a Member, the Town Clerk agreed to establish whether the Sub Committee was due to receive a resolution from the Local Government Pensions Board or Police Pensions Board.

- In response to a comment from a Member, the IT Director agreed to prepare a paper setting out the implications of the GDPR for relevant City Committees and Boards, including the independent schools.
- A Member commented that she had recently attended the International Data Privacy Conference, and it was her impression that the new UK Information Commissioner would likely bring new rigor to auditing evidence of compliance.

## **RECEIVED**

### **8. WEBSITE UPDATE AND ACTION PLAN INCLUDING MEMORANDUM OF UNDERSTANDING BETWEEN THE IT DIVISION AND COMMUNICATIONS DIVISION**

Members considered a joint report of the Director of Communications and the IT Director regarding the City of London Corporation website, and a memorandum of understanding between the IT Division and the Communications Division. The following points were made.

- The Director of Communications acknowledged that there was room for improvement in terms of the City of London Corporation website, and noted that the enclosed MOU was intended to give Members assurance that the issue was being addressed.
- The IT Director noted that his forthcoming GDPR paper would include a section on ensuring the City of London Corporation website was compliant.
- In response to a comment from the Chairman, the Director of Communications confirmed that internal procedures had been put in place to govern the establishment of new City of London e-platforms and standalone websites.

## **RECEIVED**

### **9. OPEN MEDIATED WIFI PROVISION FOR GUILDHALL EVENTS**

Members considered a report of the Chamberlain regarding open mediated wi-fi provision for Guildhall events.

## **RECEIVED**

### **10. WORK PROGRAMME**

Members considered a report of the Chamberlain regarding the future work programme of the Sub Committee.

## **RECEIVED**

11. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB COMMITTEE**

**Length of Reports**

In response to a question from a Member, the Chamberlain agreed that there was scope to ensure future reports before the Sub Committee were more concise.

**Business Rates Software**

In response to a question from a Member, the Chamberlain confirmed that the City of London Corporation's business rate software was up to date.

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

There were no items of urgent business.

13. **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.

14. **NON PUBLIC MINUTES**

The non-public minutes of the meeting held on 26 May 2017 were approved as a correct record.

15. **NON PUBLIC OUTSTANDING ACTIONS**

A joint report of the Town Clerk and the Chamberlain on non-public outstanding actions was received.

**RECEIVED**

16. **IT TRANSFORMATION PROGRAMME - UPDATE REPORT**

Members considered an update report of the Chamberlain regarding the IT Transformation Programme.

**RECEIVED**

17. **IT MOBILITY STRATEGY**

Members considered a report of the Chamberlain regarding the IT Mobility Strategy.

18. **SOCITM ASSURANCE COVERING REPORT**

*Members agreed to vary the order of items on the agenda so that Item 22 – SOCITM Assurance Covering Report was considered next.*

Members considered a report of the Chamberlain on SOCITM Assurance.

**RECEIVED**



19. **NEW IT TARGET OPERATING MODEL**  
Members considered a report of the Chamberlain on the new IT Target Operating Model.
20. **CUSTOMER RELATIONSHIP MANAGEMENT (CRM)**  
Members considered a report of the Chamberlain regarding Customer Relationship Management (CRM).
21. **AGILISYS CONTRACT NEGOTIATIONS MEMBERS WORKSHOP**  
Members considered a report of the Chamberlain regarding the Agilisys Contract negotiations Members' Workshop.

**RECEIVED**

22. **IT DIVISION RISK UPDATE**  
Members considered an update report of the Chamberlain regarding IT Division Risk.

**RECEIVED**

23. **DEEP DIVE: CR16 INFORMATION SECURITY**  
Members considered a report of the Chamberlain regarding a deep dive on CR16 – Information Security.

**RECEIVED**

24. **CITY OF LONDON PSN CERTIFICATION VERBAL UPDATE**  
The IT Director was heard regarding the City of London PSN Certification Update.
25. **IT SERVICE AND PERFORMANCE**  
Members considered a report of the Chamberlain on IT Service and Performance.

**RECEIVED**

26. **SUPERFAST BROADBAND RESOURCE**  
Members considered a joint report of the Chamberlain and the Director of Built Environment regarding Superfast Broadband Resource.
27. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB COMMITTEE**  
There were no non-public questions.
28. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE SUB COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**  
There was no other non-public business.

**The meeting ended at 3.54 pm**

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Chairman

**Contact Officer: Alistair MacLellan / [alistair.maclellan@cityoflondon.gov.uk](mailto:alistair.maclellan@cityoflondon.gov.uk)**

## Information Technology Sub-Committee - Outstanding Actions

| Date             | Item and Action   | Officer responsible | To be completed/<br>progressed to next stage | Progress update   |
|------------------|---|---------------------|--|---|
| 25 November 2016 | <u>Member Survey</u><br>The Chamberlain to develop and analyse the results from the Members survey. Members to send in any additional remarks.  | Peter Kane          | November 2017                                | More detailed research to be conducted following feedback and proposals brought to the first IT Sub Committee following the election.   |
| 14 July 2017     | <u>GDPR Implications Report</u><br>To be submitted to relevant City of London Corporation Committees following consultation with Comptroller & City Solicitor. Report to include section on whether City of London Corporation website is GDPR compliant. | Sean Green          | November 2017                                | Comptroller Team has reviewed. The Corporate Website will need to be included for review and changes as is currently not GDPR compliant |
| 14 July 2017     | <u>Resolution of the Local Government/Police Pensions Board</u><br>Town Clerk to establish whether IT Sub Committee is due to receive a resolution of the Local Government/Police Pensions Board  | Alistair MacLellan  | September 2017                               | Verbal update to be provided  |

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## Information Technology Sub-Committee – Forward Plan

| <b>Report Title</b>  | <b>Report Month</b> | <b>Category</b> |
|--|---------------------|-----------------|
| GDPR Update (Included in the IT Division Report)                     | November 2017       | Strategic       |
| 2018/19 IT Budget Review (Included in the IT Division Reports)       | November 2017       | Operational     |
| Unified Communication Proposal                                       | November 2017       | Strategic       |
| IT Target Operating Model Organisational Impacts                     | November 2017       | Strategic       |
| Agilisys Contract Extension Recommendations                          | November 2017       | Strategic       |
| Agilisys Transition Plan   | November 2017       | Strategic       |
| Broadband Review   | November 2017       | Strategic       |
| Information Management briefing (Included in the IT Division Report) | January 2017        | Strategic       |
| Members Survey Action Plan   | January 2017        | Operational     |
| Digital and Application Review Design Principles                     | January 2017        | Strategic       |
| CoLP Desktop Transformation Business Case                            | January 2017        | Strategic       |
| CoL IT Roadmap   | January 2017        | Strategic       |
| CoLP IT Roadmap  | January 2017        | Strategic       |
| Application Rationalisation Roadmap                                  | March 2017          | Strategic       |
| GDPR Update  | March 2017          | Strategic       |

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# Agenda Item 6

|  |                                 |
|--|---------------------------------|
| <b>Committee(s)</b>                              | <b>Dated:</b>                   |
| IT Sub Committee – For Information               | 18 <sup>th</sup> September 2017 |
| <b>Subject:</b><br>IT Division – Member Update   | <b>Public</b>                   |
| <b>Report of:</b><br>The Chamberlain             | <b>For Information</b>          |
| <b>Report author:</b><br>Sean Green, IT Director |                                 |

## Summary

The IT Division has maintained a focus on service availability whilst seeking to progress the transformation programme that will uplift the overall quality of IT services at the Corporation and City Police. Core updates:

- Performance in City of London and City of London Police in July remained high, with sustained contractual compliance and high levels of customer satisfaction.
- Customer satisfaction with City of London and City of London Police Service Desks is consistently very high and feedback from users achieved an average score of 95% over the last 3 months (Appendix A).
- The Service Desks resolve over 80% of all calls and consistently ensure that calls are answered within target.
- Detailed discussions about extending the Agilisys contract from August 2018 to August 2020 began in July and will continue into Q4 2017.
- The procurement activities for the LAN Hardware and services design, build and support was issued on the 7<sup>th</sup> June with a final submission date of 19<sup>th</sup> July. A decision on the tender award is expected by mid-August. Windows 10 and Office 16 roll out has now begun with the IT team going live week commencing 14<sup>th</sup> August. There have been some delays with completing the roll-out schedule that will be discussed in more detail in the IT Transformation update paper.
- CoLP Programme updates are provided in the body of this report. A Transformation Roadmap is being prepared to present to the City of London Police during September 2017.
- GDPR Projects have been kicked off covering Information Governance and IT impacts. The Project plans (GDPR readiness) will be audited by Mazars in September 2017 and January 2018.
- Questions raised at the previous IT Sub Committee concerning:
  - The Chairman of the IT Sub Committee, who is also a Member of the Audit and Risk Management Committee, agreed that the IT Sub Committee would follow up on the IT issues – i.e. IT asset management and the disposal policy.

- A question was raised by the Finance Committee and delegated to the IT Sub-Committee to get an update on progress with placement of IT Apprentices through the IT contract with Agilisys
- Agilisys Contract extension discussions are progressing as planned with a report due with the IT Sub-Committee in November 2017. A separate checkpoint report is detailed on the agenda.

### ***Recommendation(s)***

*Members are asked to:*

- *Note the report.*

### ***Main Report***

#### **IT Service and Support**

1. The service performance for both the City of London Corporation and City of London Police was good for the period July 2017. There was 1 P1 incident in City of London Police due to a power failure and 2 P1 incidents in City of London Corporation due to: i) the Good application was unavailable because of a fault in the supplier's data centre and ii) Internet services were slow because of an issue enabling Windows 7 computer users to access Office365.
2. There were 3 P2 incidents for City of London Police and the City of London Corporation
3. Security patches were deployed to servers and computers in City of London and City of London Police on schedule in June. Completion rates for servers within the June cycle were 100% (City of London Police) and 96% (City of London). There were some issues installing Windows updates to a small number of servers. These are being addressed and the updates will be installed in line with the August cycle.
4. The IT Division are proposing a maintenance window schedule with for IT Steering Group approval. This will mean the business is better able to predict and prepare for planned IT work. Maintenance windows will be used for essential, but simpler, smaller changes and maintenance tasks. Larger pieces of work will continue to be performed out of hours where sensible. Maintenance windows are standard practice in most organisations.

#### **IT Transformation Summary**

5. The Programme is delivering to quality and cost.
6. The business case saving target of £240k in IaaS, now been identified and validated. There also now appears to further savings of 3<sup>rd</sup> party contract costs, which are under review.
7. Some slippage has occurred due to change freezes, Microsoft licensing and LAN re-tender which have now been resolved.
8. Desktop rollout to the Business has now commenced with the IT team, Remembrancers and Comptrollers. Remembrancers
9. The WAN site remediation and rollout of new circuits is well underway.



10. LAN design, build and operate tender has been re-run and evaluation currently underway with a view to completing by end of August.
11. TOM design principles defined, though the implications of the Transformation Programme need to be socialised more widely to ensure the Corporation is aligned to the future technology stack.
12. New Service landscape defined to align the Agilisys service deliverables to the new technology stack. The contractual position with Agilisys needs to be resolved to enable transition into support.
13. Policy framework defined and some resistance to change being encountered which is slowing down the change process. The policies are critical to ensure we get a return on investment on the Transformation and deliver the Business benefits.
14. The investment plan will be finalised following completion of the remaining procurement activities for Network Solution Design and Build. Where Programmes are in flight all projects are delivering to forecast and approved budget.

### **Police IT Programmes Update**

15. Niche Programme (Criminal Intelligence System) – Programme for going live with Niche in on track for October 2017. A resilient line for the provision of service has started with completion by 2<sup>nd</sup> September. The set up the training facility for the system is being finalised.
16. Deployment of Office 2013 - User Acceptance Testing of Office 2013 is to commence on the 29<sup>th</sup> August involving User Testers using critical applications across a range of departments. Following completion of the User Acceptance Testing the deployment schedule for Office 2013 will commence. This is a dependency for implementation of the Niche programme.
17. Emergency Services Mobile Communications Programme - The programme is taking part in the tender process that the National ESCMP is running regarding the Mobile Devices to be nationally tendered for. Updates will be provided once the tender process is completed end of December 2017.
18. Information Management System and Data Recording System(IMS/DRS) - Programme (covering CCTV replacement integrated with intelligence systems) - At the request of the programme, Agilisys are producing Solution Proposals for the following 3 pieces of work:
  - Automatic Number Plate Recognition Internet Protocol Camera & Network Circuit Provision
  - IMS / DRS Network Requirement
  - Windows 10 Build for CoLP
19. National ANPR Service - IT are testing the secure network connection as requested by the National Programme, as this is the connection that will be used for the National ANPR Service.
20. A Transformation roadmap is being prepared to present Police colleagues during September 2017.

## **GDPR Update**

21. Projects are now underway within Information Governance(Comptroller) and IT. Mazars will support an assessment of our readiness reviewing plans and implementation in September 2017 and January 2018.

Work underway includes:

- A programme of awareness raising and training from September 2017
- Documenting data held (including considering the reasons for its collection and retention)
- Reviewing privacy Information
- Reviewing policies and procedures
- Reviewing contractual impacts
- Reviewing system capabilities to implement privacy impact assessments, retention schedules and the right to be forgotten.

## **Audit Committee Action Update**

22. A question was left outstanding at the last IT Audit Committee relating to evidence of policies for asset management and IT disposal. These policies have been identified and provided to the Head of Audit to review. A further update will be provided at the next IT Sub-Committee when this outstanding audit action should be closed.

## **Agilisys Apprenticeships**

23. A question was raised at the last Finance Committee regarding the number of apprentices placed by Agilisys through the IT contract. During the term of the contract there has been 50 apprentices allocated the scheme run by Agilisys. It is expected that by July 2018 this would have increased to 60. Corporate IT are engaging with Corporation Departments to encourage them to take advantage of the Agilisys Apprenticeship Programme and discussions are progressing to determine if the scope of apprenticeships could be broadened to cover broader Digital specialities and not just IT.

### **Sean Green**

IT Director, IT Division

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# Agenda Item 7

|   |                                 |
|---|---------------------------------|
| <b>Committee(s)</b>   | <b>Dated:</b>                   |
| IT Sub Committee – For Information                          | 18 <sup>th</sup> September 2017 |
| <b>Subject:</b><br>IT Division Risk Update                  | <b>Public</b>                   |
| <b>Report of:</b><br>The Chamberlain                        | <b>For Information</b>          |
| <b>Report author:</b><br>Samantha Kay – IT Business Manager |                                 |

## Summary

Since the Housekeeping and Deep Dive exercise, all IT Risks are now in the Covalent Risk Management System, with actions included, for the ongoing improvement and continuing assessment to the Management of Risk within the IT Division.

- All the IT risks are now being tracked in the corporate risk management system Covalent.
- The IT Division currently holds 18 risks, of which 3 are RED. These risks are tracked in Covalent.
- There are no extreme impact risks, there are 9 major impact and 9 serious impact risks.
- The three Red risks are being addressed and reviewed as part of the Transformation Programme.
- Periodic review meetings are being held with the relevant IT staff to ensure all risks are managed and reviewed in a timely manner.

## Recommendation(s)

Members are asked to:

- Note the report.

## Main Report

### 1.0 Background

Risk remains a key focus for the IT Division and we are continuing to ensure that drives the priority for project works and Change Management decisions. A Deep Dive exercise, Risk Workshop and the appointment of the IT Business Manager have moved the

Corporation to a better position with regard to understanding of its risk landscape and regular reviews will ensure the ongoing successful management of these risks.

## 2.0 Current Position

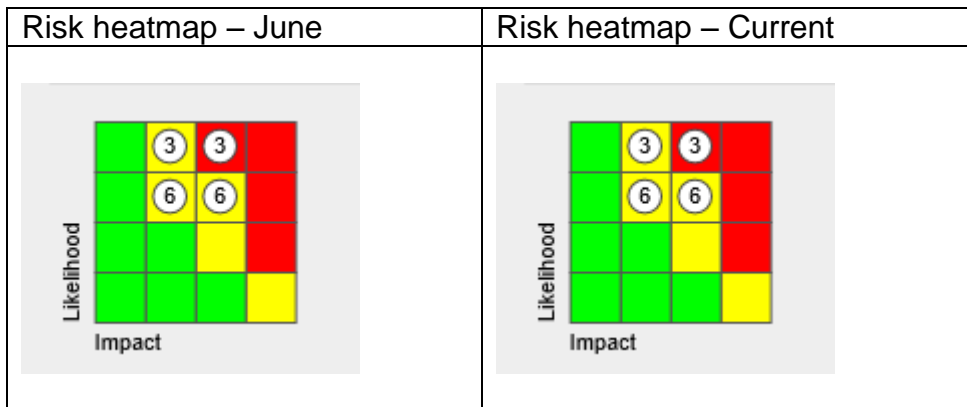
Following further assessment, the IT Division currently holds 18 risks, of which 3 are RED. One of which is both a Division Risk and a Department Risk. These risks are tracked in Covalent.

All risks have owners, clear actions, with target dates to enable focussed management, tracking and regular and consistent reviews.

## 3.0 Current status

The deep dive exercise that occurred earlier in the year has enhanced the knowledge and awareness of the risks associated with the IT division. Whilst there has been no movement since the previous report the more detailed knowledge and closer ongoing management of the divisions risks will ensure they are effectively monitored and maintained going forward.

The current headline figures for the identified risks in the Division are:



**Further breakdown of current Division risks:**

|  | Vol | Trend |
|--|-----|-------|
| <b>Extreme Impact:</b>                                 |     |       |
| Risks with "likely" likelihood and "extreme" impact:   | 0   |       |
| Risks with "unlikely" likelihood and "extreme" impact: | 0   |       |
| Risks with "rare" likelihood and "extreme" impact:     | 0   |       |
| <b>Major Impact:</b>                                   |     |       |
| Risks with "likely" likelihood and "major" impact:     | 3   |       |
| Risks with "possible" likelihood and "major" impact:   | 6   |       |
| <b>Serious Impact:</b>                                 |     |       |
| Risks with "likely" likelihood and "serious" impact:   | 3   |       |
| Risks with "possible" likelihood and "serious" impact: | 6   |       |

#### 4.0 Analysis of the Division risk position

1. Division risks have remained at 18. Risk is now discussed as a matter of course ensuring any potential risks are highlighted and discussed and added to the register as necessary.
2. 3 risks remain as RED currently, with no RED risks scoring higher than 16. Mitigating actions, largely delivered as part of the Transformation work, are in place to reduce the likelihood and impact of these risks as transformation progresses. (See appendix 1)
3. These risks will be monitored and managed along side the Transformation programme to ensure that the activities will mitigate the risks as anticipated.
4. Improved Management of Risk processes and more involvement and knowledge from across IT will continue to produce further re-assessment as a consensus of the risks and actions are developed.

#### 5.0 Next steps

5. The IT Business Manager will own the management of Division Risk, ensuring the Risk register is current and ongoing Management of Risk maintains focus on this key area with regular and structured reviews with relevant risk owners.
6. IT management processes, including Change Management, Problem Management, Continuous Improvement and Incident Management will all now reference or identify risk to ensure that Division risks are identified, updated and assessed on an ongoing basis, so the Risk register remains a live system, rather than a periodically updated record.

## **Appendices**

- Appendix 1 – High level summary of current RED risks.

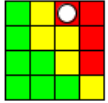
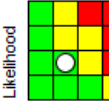
### **Samantha Kay**

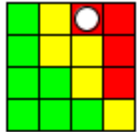
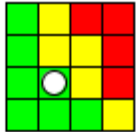
IT Business Manager

E: [samantha.kay@cityoflondon.gov.uk](mailto:samantha.kay@cityoflondon.gov.uk)

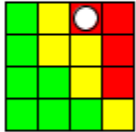
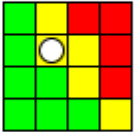
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## Appendix 1: High level summary of current RED risks

| Risk no, Title, Creation date, Owner   | Risk Description (Cause, Event, Impact)   | Current Risk Rating & Score   |    | Risk Update and date of update  | Target Risk Rating & Score  |   | Target Date | Current Risk score change indicator |
|--|---|---|----|---|---|---|-------------|-------------------------------------|
| CHB IT 001<br>Resilience - Power, infrastructure, connectivity.<br><br>30-Mar-2017<br>Sean Green | <p><b>Cause:</b><br/>A lack of resilient hardware, connectivity or application architecture. Single Points of Failure exist. Uncertainly over the reliance and robustness of power systems in COL and COLP buildings. An aged power infrastructure combined with unsatisfactory resilience. Lack of a clear picture of power, data and connectivity infrastructure and vulnerabilities and their relationship with IT equipment.<br/>Unclear demarcation of responsibilities or communication around Change Management or maintenance of power and data services.</p> <p><b>Event:</b><br/>IT Division and partners cannot effectively deliver reliable, resilient IT services to meet the business need.</p> <p><b>Effect:</b><br/>Inability to meet current or future IT service needs. Systems or information services are unavailable due to an incident.<br/>Recovery of failed services takes longer.</p> | <p>Likelihood</p>  <p>Impact</p> | 16 | <p>The in-flight Network Transformation programme is to deliver a new, resilient Local Area Network, Wide Area Network (between COL sites), improved policies, documentation, management processes and support provision.</p> <p>A project to remediate power, cabling and secure housing of utilities and services across 115 sites is underway, to prepare the sites for the implementation of the new network.</p> <p>The contract to supply the equipment for the new network has been let, this will be finalised once design build and run contract is awarded.</p> <p>The contract to Design, Build and Run the new network has been let, 2 bids have been received and are currently being reviewed with the view of a decision being made within 2 weeks.</p> <p>A new policy including roles and responsibilities will be agreed with City Surveyors, including demarcation of responsibilities, Change Control and communication</p> <p>A ToR is to be produced clearly describing Change Management, roles and Responsibilities for maintaining services in Comms and Equipment Rooms.</p> <p>Review of the target score led to a reduction to a green target score.</p> <p>Reviewed no change 10/08/17<br/>21 Aug 2017</p> | <p>Likelihood</p>  <p>Impact</p> | 4 | 31-Dec-2017 | ↔                                   |
|  |   |   |    |   |   |   |             | No change                           |

| Risk no, Title, Creation date, Owner  | Risk Description (Cause, Event, Impact)  | Current Risk Rating & Score  |    | Risk Update and date of update  | Target Risk Rating & Score  |   |
|---|--|--|----|---|---|---|
| <p><b>CHB IT 002 Connectivity - Local and Wide Area Network</b></p> <p>30-Mar-2017<br/>Sean Green</p> | <p><b>Cause:</b><br/>An undocumented, aged and complicated Local Area and Wide Area Network with multiple Single Points of Failure (SPoF).<br/>And with a Network (LAN and WAN) not designed with modern use and resilience in mind, with unsatisfactory configuration, traffic management or end-to-end monitoring.<br/>External connectivity does not provide the functions or bandwidth required.</p> <p><b>Event:</b><br/>The IT Division cannot effectively ensure satisfactory levels of connectivity, performance, capacity or availability.</p> <p><b>Effect:</b><br/>The reputation of the IT Team is adversely affected through;<br/>Delayed restoration of key business services after an outage, the unavailability of information resources, an increase in incidents of unplanned unavailability and end of life equipment cannot be consistently or reliably sourced.</p> | <p>Likelihood</p>  <p>Impact</p> | 16 | <p>The in-flight Network Transformation programme is to deliver a new, resilient Local Area Network, Wide Area Network (between COL sites), improved policies, documentation, management processes and support provision.</p> <p>The new network will allow for improve traffic management, traffic prioritisation and performance.</p> <p>The contract to supply the equipment for the new network has been let.</p> <p>The contract to Design, Build and Run the new network has been let, 2 bids have been received and are currently being reviewed with the view of a decision being made within 2 weeks</p> <p>Review of the target score led to a reduction to a green target score.</p> <p>Reviewed no change 10/08/17<br/><b>11 Aug 2017</b></p> | <p>Likelihood</p>  <p>Impact</p> | 4 |



| Risk no, Title, Creation date, Owner   | Risk Description (Cause, Event, Impact)   | Current Risk Rating & Score  |           | Risk Update and date of update  | Target Risk Rating & Score  |          |
|--|---|--|-----------|---|---|----------|
| <p>CHB IT 003<br/>End-to-end System monitoring and alerting</p> <p>05-Jun-2017</p> | <p><b>Cause:</b><br/>End-to-end IT systems are not being monitored or alerted effectively.</p> <p><b>Event:</b><br/>The IT team are not able to provide assurance that key infrastructure, networks or services are monitored adequately, with correctly configured alerts in place.</p> <p><b>Effect:</b><br/>The IT team are not aware of issues with the infrastructure, services or connectivity until they become an outage leading to a decreased in confidence in the IT function. Longer incident analysis/diagnosis and resolution times resulting in unsatisfactory service outages. A decreased ability to recognise adverse behaviours such as broadcast storms or security breaches.</p> | <p>Likelihood</p>  <p>Impact</p> | <p>16</p> | <p>Transformation Programme will deliver a new infrastructure and improved Configuration Management processes, ensuring each new piece of equipment will be added to the monitoring tool, with appropriate alerting and the Configuration Management Database and removed when no longer in service.</p> <p>This will also enable improved monitoring of components during and after a change.</p> <p>Review of the target score led to a reduction to a green target score.</p> <p><b>Reviewed no change 10/08/17</b><br/><b>11 Aug 2017</b></p> | <p>Likelihood</p>  <p>Impact</p> | <p>6</p> |

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