



Information Technology Sub (Finance) Committee

Date: FRIDAY, 2 NOVEMBER 2018
Time: 1.45 pm
Venue: COMMITTEE ROOMS - WEST WING, GUILDHALL

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

Enquiries: John Cater
John.Cater@cityoflondon.gov.uk

Lunch will be served in the Guildhall Club at 1pm
N.B. Part of this meeting could be the subject of audio video 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 OF THE PREVIOUS MEETING**
To agree the public minutes and non-public summary of the meeting held on 10th July 2018.

For Decision
(Pages 1 - 8)
4. **OUTSTANDING ACTIONS FROM PREVIOUS MEETINGS**
Joint report of the Town Clerk and Chamberlain.

For Information
(Pages 9 - 10)
5. **WORK PROGRAMME FOR FUTURE MEETINGS**
Joint report of the Town Clerk and Chamberlain.

For Information
(Pages 11 - 14)
6. **CUSTOMER RELATIONSHIP MANAGEMENT PROJECT UPDATE**
Report of the Chamberlain

For Information
(Pages 15 - 16)
7. **CHANGE AND ENGAGEMENT ADOPTION PLAN**
Report of the Chamberlain

For Information
(Pages 17 - 20)
8. **APPLICATIONS STRATEGY**
Report of the Chamberlain

For Decision
(Pages 21 - 42)
9. **END USER DEVICE REFRESH PROJECT**
Report of the Chamberlain

For Decision
(Pages 43 - 52)

10. **UNIFIED COMMUNICATIONS GATEWAY**
Report of the Chamberlain

For Decision
(Pages 53 - 62)
11. **IT SERVICE REPORT (INCLUDE MANAGING CACHED EMAIL ADDRESSES)**
Report of the Chamberlain

For Information
(Pages 63 - 68)
12. **IT DIVISION RISK UPDATE**
Report of the Chamberlain

For Information
(Pages 69 - 72)
13. **DIGITAL DECLARATION**
Report of the Chamberlain

For Decision
(Pages 73 - 82)
14. **GDPR UPDATE**
Report of the Comptroller and City Solicitor

For Information
(Pages 83 - 122)
15. **DESIGN, BUILD, SUPPORT AND HOSTING FOR NEW WEBSITE**
Report of the Town Clerk

For Information
(Pages 123 - 126)
16. **GIGABIT CITY PROGRAMME UPDATE**
Report of the Director of the Built Environment

For Information
(Pages 127 - 132)
17. **POLICE UPDATE AND NATIONAL PROGRAMMES DRIVERS AND BENEFITS**
Presentation – Stephen Webb, Director, Law Enforcement Programmes, Home Office

For Information
18. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB COMMITTEE**

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

20. **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

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

To agree the non-public minutes of the meeting held on 10th July 2018.

For Decision
(Pages 133 - 138)

22. **OUTSTANDING ACTIONS FROM NON-PUBLIC MINUTES OF PREVIOUS MEETINGS**

Joint report of the Town Clerk and Chamberlain.

For Information
(Pages 139 - 140)

23. **HOUSING MANAGEMENT SYSTEM GATEWAY**

Report of the Director of Community & Children's Services

For Decision
(Pages 141 - 156)

24. **TRANSFORMATION PHASE 2 UPDATE**

For Decision

a) City of London Police: IT Modernisation MTFP Provision Request

Joint Report of the Chamberlain and the Commissioner of City of London Police

To Follow

b) City of London Corporation: IT Transformation - MTFP Provision Request

Report of the Chamberlain

To Follow

25. **POLICE UPDATE REPORT**

Report of the Commissioner of the City of London Police

For Information
(Pages 157 - 164)

26. **IT TRANSFORMATION PROGRAMME - NETWORK TRANSFORMATION PROGRAMME - ISSUE REPORT**
Report of the Chamberlain.

For Information
(Pages 165 - 170)

27. **IT SECURITY UPDATE - CR16 AMBER AND FUTURE IT SECURITY PROJECTS**
Report of the Commissioner of the City of London Police

For Information
(Pages 171 - 190)

28. **2020 SOURCING PROJECT - POSITION STATEMENT**
Report of the Chamberlain

For Decision
(Pages 191 - 196)

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

30. **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

Tuesday, 10 July 2018

Minutes of the meeting of the Information Technology Sub (Finance) Committee held at Guildhall, EC2 on Tuesday, 10 July 2018 at 1.45 pm

Present

Members:

Deputy Jamie Ingham Clark (Chairman)
Randall Anderson (Deputy Chairman)
Deputy Keith Bottomley
John Chapman
Tim Levene
Jeremy Mayhew
Deputy Robert Merrett
Sylvia Moys
Alderman Andrew Parmley
James Tumbridge

Officers:

Lorraine Brook	- Town Clerk's Department
Paige Upchurch	- Town Clerk's Department
Mel Richardson	- Town Clerk's Department
Sean Green	- Chamberlain's Department
Matt Gosden	- Chamberlain's Department
Samantha Kay	- Chamberlain's Department
Neil Hocking	- Chamberlain's Department
Kevin Mulcahy	- Chamberlain's Department
Sam Collins	- Chamberlain's Department
Paul Wilkinson	- City Surveyor
Richard Steele	- Department of the Built Environment
Gary Brailsford-Hart	- City of London Police

In Attendance:

Eugene O'Driscoll - Agilysys

1. APOLOGIES

Apologies for absence were received from Hugh Morris.

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

There were none.

3. MINUTES OF THE PREVIOUS MEETING

The Sub Committee considered the minutes of the last meeting held on 31st May 2018.

RESOLVED: That the public minutes of the meeting held on 31 May 2018 be approved as an accurate record.

4. **OUTSTANDING ACTIONS FROM PREVIOUS MEETINGS**

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

In respect of item 5 (GDPR Mazars Audit), the Comptroller & City Solicitor advised Members that a draft report had been received from Mazars and shared with the Chairman but was still being considered to ensure there were no inaccuracies. The Comptroller & City Solicitor added that the report referenced the City Corporation's material compliance with the General Data Protection Regulation (GDPR) and the issue of uniform retention schedules, a matter that had previously been considered by the Sub-Committee. It was noted that the final report, with comments, would be submitted to the September meeting for consideration.

RESOLVED – That the list of outstanding actions from previous meetings be noted.

5. **WORK PROGRAMME FOR FUTURE MEETINGS**

The Sub-Committee received a report of the Town Clerk and The Chamberlain detailing those reports that were scheduled to be submitted to the Sub-Committee through to January 2019.

RESOLVED – That the rolling programme of reports to the Sub-Committee be noted.

6. **INTERACTIVE DIGITAL SESSION - BILLINGSGATE MARKET APP**

The Sub-Committee received an interactive demonstration, from the Billingsgate Market Manager, of the Piranha mobile stock control app which was in-use at Billingsgate Market.

Members were advised that the app had been only recently been introduced in an effort to streamline administrative processes in respect of the requisition and allocation of stock which had previously involved a lot of paper work and manual data entry. Whilst the impact of the app was yet to be properly known, it was expected to save approximately one hour per week due to a reduction in manual entry tasks and enhanced stock control. In respect of costs, it was noted that in addition to the set-up cost of £2,627.06 and £120 per device, there was also an annual fee of £2,735 which was not cost prohibitive and allowed the app to be used across all of the City Corporation's markets.

In response to a question, the Market Manager commented that the app was not integrated with any internal financial systems or corporate solutions such as CBIS but that this would be preferable in the future. In noting that the app was not a bespoke product, albeit it had been developed to appropriately meet the Market's needs, the Chairman commented that use of a 'buy not build' product on this occasion had been the best solution.

RESOLVED – That the update in respect of the Piranha app be noted.

7. IT TRANSFORMATION PROGRAMME - UPDATE REPORT

The Sub-Committee received a report of The Chamberlain regarding an update on the IT Transformation Programme which included the end-user device refresh, the Local Area Network (LAN)/Wi-Fi, Fileservers and Citrix and GJR exit.

Members were advised that the Desktop Transformation element of the Programme was now complete and the Network Programme was proceeding to budget and plan. The IT Director commented that projects would now be prioritised in accordance with the allocated funds.

A Member commented that it was important for the business benefits and outcome focus of all work streams to be set out for Members in future reports to the Sub-Committee so Members could be clear as to how technology was aiding the City Corporation's business outcomes. The Chairman commented that this tended to be reported at the Gateway 7 stage to the Projects Sub (Policy & Resources) Committee and therefore all future Gateway 7 reports which involved IT projects should also be submitted to the Information Technology Sub-Committee for information.

In response to a question regarding delays to progress as a result of installation challenges, the Head of IT Projects commented that the division had been working hard to address those challenges by highlighting the on-going cost implications arising from delayed works with specific individuals. It was added that the City Surveyor was aware of the matter and happy to assist, where possible, in respect of the City Corporation's operational sites. Members stressed that on-going difficulties must be flagged to the Sub-Committee particularly where there would be cost implications.

RESOLVED – That the IT Transformation Programme Update report be noted.

8. IT DIVISION - IT SERVICE DELIVERY SUMMARY

The Sub-Committee received a report of The Chamberlain regarding the City Corporation's IT service delivery throughout May 2018 and performance against a number of Key Performance Indicators (KPIs) during this period including telephony availability, customer satisfaction and network availability.

The IT Director commented that there was an increased focus was on customer satisfaction and referred to the performance dashboard and trend graph within the report to highlight how customer satisfaction had increased. It was noted that the dashboard currently focused on the City Corporation's performance as the Police Transformation Programme was on-going. In response to a query regarding the proposal to move London Councils to the cloud environment, the IT Director advised Members that discussions were underway with London Councils Management as to how and when the move would take place.

RESOLVED – That the IT Service Delivery Summary report be noted.

9. **CUSTOMER RELATIONSHIP MANAGEMENT PROJECT UPDATE**

The Sub-Committee received a report of The Chamberlain regarding the Customer Relationship Management Project and the future timescales for implementation of City Services and City Dynamics.

A Member commented on references within the report to the “approaching General Data Protection Regulation (GDPR) legislation” when the new legislation had now been introduced. It was suggested that the report failed to give regard to the Data Protection Act 2018, which took a wider view on data protection issues beyond GDPR and assurances were sought that this was not the case.

Further comments were made in respect of the decommissioning of CRM 2011 and a query was raised regarding the decommissioning of the infrastructure which, was secondary to the cleansing and deletion of non-compliant data, as this seemed to be an unnecessary procedure.

With regards to the decision that had already been taken that no Contact Centre customer data from CRM 2011 would be migrated to City Services and customers would be asked to sign up for a new account and give express consent to hold their data, in line with GDPR, clarification was sought as to whether this included personal data or transactional data only. In response, the IT Director informed Members that full consent would be requested where members of the public were entering data that would be stored for three years but where no accounts were created, the data would not be held. It was further commented that all transactional data would be anonymised for analysis purposes. In response to a question from a Member, the IT Director replied that any customer data that was provided prior to 2013, would not be migrated to the new City Services platform and would be deleted once the new system goes live.

In light of the comments raised by Members and requests for clarification regarding the reconciliation of personal data held or deleted as a result of the City Services and City Dynamics projects and the introduction of GDPR and the Data Protection Act 2018, it was suggested that a further report be submitted the Sub-Committee for consideration.

RESOLVED – That a further report about the Customer Relationship Management Project and the management of customer data (in accordance with GDPR and the Data Protection Act 2018) be submitted to the next meeting of the Sub-Committee for consideration.

10. **GUILDHALL WORKPLACE UTILISATION PROGRAMME - UPDATE REPORT**

The Sub-Committee received a joint report of The Town Clerk, The Chamberlain and the City Surveyor regarding the Guildhall Workplace Utilisation Programme.

The City Surveyor commented that the City Surveyor’s department was working closely with the IT division and Human Resources to progress each of the workstreams and, despite some delays, the IT Transformation Programme was producing good outputs, particularly with regards to remote working which was tested during the bad weather in early 2018 and the anticipated decant from Walbrook Wharf by the end of 2018.

With reference to the focus of the Agile Working Group on the introduction of new ways of working with new technologies and a shift of culture around behaviours and expectations, the Chairman commented that this report had been submitted to the Sub-Committee due to the significance of having the right IT Infrastructure in place across the City Corporation. It was noted that investment into the project would continue to deliver important outcomes and better, more flexible ways of working across the organisation.

RESOLVED – That the report, and the progress being made in respect of the Guildhall Workplace Utilisation Programme, be noted.

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

Patching and laptop updates

The Chairman mentioned that, during an earlier meeting of another committee a laptop, which was in-use for presentational purposes, had started updating halfway through a presentation. Officers were asked if it was possible to delay automatic updates, so meetings were not disrupted. The Director of IT commented that City Corporation laptops were subject to patching on an automated basis but communications around the patching timetable and scope to delay updates would be explored.

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 OF THE PREVIOUS MEETING

The Sub-Committee considered the non-public minutes of the meeting held on 31 May 2018.

RESOLVED: - That the non-public minutes of the meeting held on 31 May 2018 be approved as an accurate record.

15. OUTSTANDING ACTIONS FROM NON-PUBLIC MINUTES OF PREVIOUS MEETINGS

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

RESOLVED:- That the report be noted.

16. CR 16 INFORMATION SECURITY RISK

The Sub-Committee considered a report of the Chamberlain regarding CR16 information risks.

RESOLVED:- That the report be noted.

17. **IT TRANSFORMATION PROGRAMME - IT STRATEGY UPDATE REPORT**

The Sub-Committee received a report of the Chamberlain regarding the City of London Corporation and City of London Police IT Strategy. The Chairman, having reviewed the content of the report and with the Sub-Committee's agreement, moved the report into the public domain whilst the appendices to the report remained not for publication.

The IT Director explained that this item had been brought back to the Sub-Committee as Members had not previously had the opportunity to consider the Executive Summary and Design Principles (Appendix 1) and there had been a number of inconsistencies between the City of London Corporation and City of London Police strategies. The Chairman commented that the points made in the previous meeting had now been sufficiently addressed.

With reference to the inspection regime and whether the City of London Police should have a separate IT Strategy, Members were advised that a separate document was not necessary so long as it adequately demonstrated the City of London Police's approach to managing specific risks and planning for future business and operational needs.

RESOLVED: - That the updated City of London Corporation and City of London Police IT Strategy and Roadmaps be approved.

18. **PLANNING AND REGULATORY SERVICES CASEWORK MANAGEMENT SYSTEM (PRSCMS) PROJECT - GATEWAY 3/4 OPTIONS APPRAISAL**

Members considered a Gateway 3-4 Detailed Options Appraisal report of the Director of Markets and Consumer Protection and the Director of the Built Environment relative to the Planning and Regulatory Services Casework Management System (PRSCMS) project.

The Chairman commented that he had requested that this report be submitted to

19. **IT DIVISION RISK UPDATE**

The Sub-Committee considered an update report of The Chamberlain regarding IT Divisional risk. Members agreed that the report should not be exempt from publication and the report therefore moved into the public domain. Given the level of detailed discussion that Members wished to have, the item was considered in the non-public section of the meeting on the basis that the details within the appendices to the report remained not for publication.

RESOLVED:- That the recommendations in the report be approved and a further recommendation regarding CR-25 be approved.

20. **NATIONAL POLICING PROGRAMMES - UPDATE REPORT**

The Sub-Committee received an update report of The Chamberlain regarding National Policing Programmes.

RESOLVED:- That the report be noted.

21. **BRIEFING ON THE IDOX UNIFORM APPLICATION FAILURE JANUARY 2018**
The Sub-Committee received a report of The Chamberlain which provided a briefing on the City of London Corporation's IDox Uniform Application and Planning Portal failure which began on 30th January 2018 and was resolved on 13th February 2018.
22. **WAIVER REPORT - MDRS SYSTEM SUPPORT FOR CITY OF LONDON POLICE**
Members received a late report of The Chamberlain regarding a waiver application for an external contract extension.
23. **ACTION TAKEN BETWEEN MEETINGS**
The Sub-Committee received a report of the Town Clerk which described the action taken under urgent authority since the last meeting.
24. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB COMMITTEE**
There were no non-public questions.
25. **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 3.42 pm

Chairman

Contact Officer: Paige Upchurch / paige.upchurch@cityoflondon.gov.uk

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Information Technology Sub-Committee – Public Outstanding Actions

Item	Meeting Date	Action and target for completion	Officer responsible	To be completed/ Next stage	Progress update
2	26 March 2018	<u>Data Protection Policy</u> The Chairman commented that the policy should be reviewed at Member level in order to ensure openness and transparency and a Member commented that the reviews should be Phased by section to ensure that the policy is considered closely.	Michael Cogher	March 2019 November 18	This will be added to the Forward Plan for the IT Sub-Committee Completed on Forward Plan Action Completed now on the Forward Plan.
3	31 May 2018	<u>CRM Update</u> A Member commented that the IT Director Summary should have provided Members with an update on the CRM Database in relation to the General Data Protection Regulation (GDPR) and it was agreed that this would be included in the Director Summary report at the next meeting.	Sean Green / IT Director	July 2018 November 18	This will be covered by an agenda item at the July meeting Report provided to cover the GDPR questions raised

4	31 May 2018	<u>IT Division Risk Updates</u> Members agreed that they needed fuller detail in future reports, taking a wider view on reporting the IT Division's risks, rather than just reporting the top risks. The Chairman requested that future reports include a key, and that the visual aids, namely the arrows, were clear to understand, as different departments used arrows in different ways.	Sean Green	July 2018 November 2018	The recommendations are noted and will be included in the report provided at the July meeting Report now covers the comments made by Members.
5	31 May 2018	<u>GDPR Mazars Audit</u> To be shared with the Sub-Committee once it has been drafted	Michael Cogher	July 2018 November 2018	On the agenda for the November meeting due to delays in receiving the draft report from Mazars Written or Verbal Report to be provided as an Agenda item

Agenda Item 5

IT Sub-Committee 3 Month Rolling - Forward Plan – Updated October 2018

Report Title	Report Month	Category	Who
Information Management Recommendations	January 2019	Operational	SG
Police Telephony and Call Recording	January 2019	Operational	MG
IT Security Future Projects	January 2019	Strategic	GBH
Network Programme Closedown Report	January 2019	Strategic	KM
Digital Strategy	January 2019	Strategic	KS
New Ways of Working Adoption Update	January 2019	Strategic	SC
Police Office 365 Transformation Update	January 2019	Strategic	KM
Smart City Projects	January 2019	Strategic	AC
Corporate Web Project Update	March 2019	Strategic	BR
Transformation Programme Roadmap 2020	March 2019	Strategic	KM
IT Transformation Benefits Realisation Update	March 2019	Strategic	KM
Police Technology Horizon Scanning	March 2019	Strategic	AB
Post 2020 Strategic IT Partner Plan Update	March 2019	Strategic	KM
Review the Data Protection Policy	March 2019	Strategic	MC
Corporation Technology Horizon Scanning	March 2019	Strategic	KM
Police Accommodation Programme Technology Roadmap Update	May 2019	Strategic	AB
City Broadband and 5G Rollout	May 2019	Strategic	SB
Police National Programmes Update	May 2019	Strategic	AB
IT Operating Model Implementation Review	May 2019	Strategic	SG
IT Service Benchmarking Review	May 2019	Strategic	MG
Review the Data Protection Policy	May 2019	Strategic	MC
Post 2020 Strategic IT Partner Plan Update	May 2019	Strategic	KM

Contributors

Sean Green – SG

Alanna Coombes - AC

Sam Collins - SC

Matt Gosden – MG

Andrew Bishop - AB

Kevin Mulcahy – KM

Sam Kay – SK

Gary Brailsford-Hart – GBH

Steven Bage – SB

Bob Roberts – BR
Kate Smith – KS
Mohammed Hussain – MH

Agenda IT Sub-Committee 2nd November 2018

Public

1. Minutes - Chairman
2. Matters Arising - SG
3. Forward Plan – SG
4. Broadband roll-out update – SB
5. Housing Management System Gateway Report - MH
6. CRM Report - SC
7. Change and Engagement Adoption plan - SC
8. Applications Strategy – KM
9. Transformation Phase 2 Update – KM
 - a. City of London Corporation
 - b. City of London Police
10. Gateway Report for Phase 2 – KM
11. Unified Communications Gateway – KM
12. IT Service Report (Include managing cached email addresses) – SG/EoD
13. IT Risks Report – SK
14. Digital Declaration – SG
15. Police Update and National Programmes Drivers and Benefits - AB/Chaucer
Transformation Consultants for National Home Office Police IT Programmes

Non Public

16. Police Update Report – AB
17. Network Transformation Issues Report - KM
18. GDPR Update – MC
19. IT Security Update CR16 and Future IT Security Projects – GBH
20. Web Project Update – BR
21. 2020 IT Strategic Partner Plan and Approach – KM

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Committee(s)	Dated:
IT Sub-Committee – For Information	2 nd November 2018
Subject: Customer Relationship Management Project Update	Public
Report of: The Chamberlain	For Information
Report author: Sam Collins, Head of Change and Engagement	

Summary

This report sets out the approach for managing personal information across both City Dynamics and City Services – in response to questions raised at the last IT Sub Committee.

Recommendation(s)

Members are asked to:

- *Note the report.*

Main Report

1.0 Background

1.1 The CRM Project seeks to replace the current Corporate CRM (CRM 2011) with two separate solutions. City Dynamics (Dynamics 365) will provide functionality to manage the Corporation’s Strategic Engagement activity and Events. City Services (Firmstep) has been implemented in the Contact Centre for managing customer transactions including reports, applications, bookings and payments. Firmstep will also provide a customer portal for online transactions.

2.0 City Dynamics – Personal Data

2.1 Contact Record data held in City Dynamics is limited to an individual’s professional or ceremonial roles which includes name, job title, organisation and professional contact details. Records of activities involving Contacts, such as meetings, will also be held on City Dynamics, with the ability to attach information or documents such as an agenda, meeting papers or briefing notes.

2.2 Personal data has been taken from the current CRM system (Dynamics 2011) and spreadsheets held within departments and has been subject to a lengthy

process of de-duplication, verification and a legitimate interest assessment
The information has also been enriched through working with Experian.

- 2.3 The City Dynamics functionality has been developed to 'walk' users through a legitimate interest assessment when contact records are added. A series of 'check boxes' must be actively ticked before a record can be saved. Once a new record is saved, an automated e-mail will be sent to the contact notifying that their information is being held and provide a link to the Corporation's Privacy Notice held on the Corporate website. This will also be done when the initial data set is migrated to City Dynamics.
- 2.4 The central support team will monitor records to ensure that they are regularly reviewed by their assigned owners. Where a record has not been used for 3 years it will be deactivated, and assuming it remains deactivated, then it will be deleted a year later.
- 2.5 In the case of Events Management, dietary and special access requirements will also be held for the duration of the Event record only. This information will be requested when Guests register for the event online. Corporation Officer and Member dietary and special access information will be updated annually.

3.0 City Services – Personal Data

- 3.1 For City Services, current customer data from the CRM 2011 will be deleted. When transacting with the Contact Centre or with the Corporation online, customers will be invited to create an account on the new Firmstep platform – though this will not be mandated. Data held on Firmstep will be subject to the 3+1 retention schedule, as outlined above for City Dynamics.

Sam Collins

Head of Change and Engagement, IT Division

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Committee(s)	Dated:
IT Sub-Committee – For Information	2 nd November 2018
Subject: Change and Engagement Update	Public
Report of: The Chamberlain	For Information
Report author: Sam Collins, Head of Change and Engagement	

Summary

The desktop element of the IT Transformation Programme completed in February 2018 and since that time there has been a steady increase in the adoption of the new Office 365 technologies. The IT Division continues to deliver a programme of communications, training and campaigns to encourage further adoption, most recently through the ‘Collaborate’ campaign. The next significant development will be the rollout of Microsoft Teams.

Recommendation(s)

Members are asked to:

- *Note the report.*

Main Report

Background

1. The City of London Corporation (CoL) IT Transformation Programme over the last 18 months has refreshed its end-to-end Technology Stack. The Vision and Strategy set out at the start of the Programme and approved at the IT Sub Committee was to:
 - Buy not Build;
 - Use fewer systems more effectively;
 - Secure compliant IT systems and services that support the organisation;
 - Move from complexity to commodity.
2. The desktop element of the programme completed in February 2018, with the delivery of Windows 10 devices and Office 365 to the organisation, included a shift from a primarily desktop IT estate to more than 70% laptops. Since that time, a programme of communications, training and campaigns has been delivered to drive user adoption and maximise the benefits from the organisation’s investment in IT.

User Adoption

3. The User Adoption Dashboard (delivered through PowerBI) continues to provide significant insight into the no. of officers using the various technology elements, as well as the amount that they are used.
4. We know that:
 - Over a third of staff (approx. 1000) are using Skype for Business Instant Messaging functionality month on month;
 - There has been an increase in the total use of Skype Audio and Video functionality, peaking at over 200 hours in June;
 - The no. of active SharePoint sites across the organisation continues to increase - in September there were 177 which compares to just 57 in January;
 - Highest levels of adoption are in Chamberlains department with Skype usage at 78% and SharePoint usage at 60%. Lowest adoption levels at present are in Open Spaces (16% Skype and 3% SharePoint). This may be largely impacted by worker styles and the use of other applications for document storage.
5. Other O365 highlights include:
 - the Corporate Strategy and Performance utilising PowerBI to develop a Corporate Dashboard – utilising data sources from across the organisation;
 - the Clean City Awards Scheme using Microsoft Bookings for managing inspections;
 - the IT Division using Microsoft Forms for capturing the Net Promoter Score;
 - EDO using Skype for their weekly team meetings between Guildhall and Beijing;
 - An external SharePoint collaboration site being used between CoL, Barbican Centre, Museum of London, London Symphony and the Guildhall School as part of the Culture Mile project.

Collaborate

6. In October 2018, the Collaborate Campaign was launched to increase awareness of Skype, SharePoint and a new product, Microsoft Teams. Activities included:

- A full suite of professionally designed materials including posters, 'table talkers', banners and an animated video;
- A staff insight lunch focussing on 'Collaboration using technology' with internal and external speakers;
- Drop in sessions including a Teams demonstration and SharePoint Surgery;
- A series of 'Bytesize' training sessions focussing on O365, SharePoint, Skype and Forms;
- Targeted communications to staff and Chief Officers;
- Presentations to departmental SMTs.

User Adoption Workshops

7. The IT Division have partnered with a specialist technology adoption partner, Sei Mani, who held a day of workshops with members of the Division and the wider organisation on 27th September. The workshops provided a gap analysis of the adoption programme to date. Initial comments were very positive:

- The need for tailored messaging and communications to different areas of the organisation to reflect the diversity of requirements and business drivers;
- The provision of Skype headsets to officers to drive Skype adoption, specifically to improve the quality of calls and facilitate its use in open plan offices;
- The need for the IT Division to remain as role models for the organisation e.g. reducing e-mail use in favour of Skype instant messaging or Teams persistent chat.

Microsoft Teams

8. The next challenge will be in raising awareness, deploying and driving adoption in Microsoft Teams - collaboration software that is part of the Office

365 suite. The core capabilities in Microsoft Teams include business messaging, calling, video meetings and file sharing through bringing together the functionality of other O365 applications. Microsoft Teams is now used by more than 200,000 organisations.

Members Engagement

9. Further Members training will be offered through drop-in sessions during the next 6 months. A separate briefing session on examples of how we are using the 365 Suite of software will be arranged for Members of the Finance Committee in early 2019.

Sam Collins

Head of Change and Engagement, IT Division

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Committee(s):	Date(s):
IT Sub Committee - For decision	02 November 2018
Subject: Applications Management Strategy	Public
Report of: The Chamberlain	For Decision
Report Author: Kevin Mulcahy Assistant IT Director - Projects and Programmes	
Summary	
<p>This report commends to the committee the Applications Management Strategy proposed by the IT Division for the City of London Corporation ('CoL') and the City of London Police ('CoLP'). The strategy seeks to maximise the value-for-money that CoL and CoLP obtain from their joint applications estate - over 350 items of software – through ownership formalisation, estate consolidation and product optimisation.</p> <p>Ownership formalisation focuses on establishing proactive, consistent and reliable processes and roles for managing, maintaining and supporting applications, wherein the business owners of applications work more effectively with the IT Division and third-party suppliers. Estate consolidation focuses on identifying the most cost-effective application for each business need and then making the widest and best use of the resulting rationalised portfolio of applications. Product optimisation focuses on better meeting the accelerating business and customer demand for new (digital) services through appropriate upgrade, integration and mobilisation of each application in the portfolio.</p> <p>Implementing the strategy entails meaningful changes to working practices relating to application ownership and operation across business units and the IT Division while remaining aligned to current human resources, finance and procurement principles and policies. A target operating model will be developed to set out this changed way of working in more detail, once the strategy has been endorsed.</p>	
Recommendation(s)	
Members are asked to:	
<ul style="list-style-type: none"> • Note the content of the report. • Endorse adoption of the Applications Management Strategy by CoL and CoLP as the overarching guide to the ongoing ownership, operation and enhancement of their joint applications estate. • Delegate authority to the IT Director to implement the strategy in conjunction with senior officers and the heads of business units. 	

Main Report

Background

1. In 2017 the City of London Corporation and the City of London Police adopted a joint IT Strategy to take them forwards to 2020 at the very least. The first step in implementing this strategy was the Technology Transformation programme, Phase 1 of which in 2017-18 radically changed the technology infrastructure underpinning CoL operations. Phase 2 in 2018-19 will look to do the same for CoLP, while enabling CoL to take fuller business advantage of the changes from Phase 1.
2. Software applications – the means through which most CoL and CoLP staff and customers interact with most of the information and processes needed to deliver business, community and personal benefits – were somewhat impacted by the technology transformation. They had to be reimplemented to work in the new environment but were not optimised beyond that, and there was limited estate consolidation and no ownership formalisation.
3. The IT Strategy envisaged application ownership formalisation, estate consolidation and fuller product optimisation as part of a subsidiary Applications Strategy. It also envisaged a more effective and efficient and thereby leaner Applications team within the IT Division, ready to meet the new challenges resulting from the drive to new (digital) services. A first step to meeting these expectations is the adoption of an Applications Management Strategy that provides rationale and structure for the necessary changes.

Current Position

4. Currently CoL and CoLP have not adopted an Applications Management Strategy that meets the needs set out above.
5. The IT Division has developed a strategy that it deems suitable to meet these needs and to contribute to an eventual wider Applications Strategy.
6. The developed strategy cannot be adopted without its endorsement by this committee and delegation of authority to the IT Director for its implementation.
7. In the absence of the strategy's adoption, the full benefits of the IT Strategy previously endorsed by this committee and adopted by CoL and CoLP will not be realised, with the move to more digital services being particularly hampered.

Options

8. Do nothing:
 - a. Minimises disruption to current working practices and avoids any costs of change.
 - b. Some changes will emerge purely due to the technology infrastructure changes as some practices that have been tolerated in the past are no longer feasible, but these will be reactive rather than proactive and therefore are unlikely to be optimised.

- c. The pressure to move to digital services is growing and will have to be addressed – in the absence of the Applications Management Strategy being adopted, this will be more challenging and riskier than it need be.
 - d. The full benefits of the IT Strategy will not be realised.
9. Endorse the Applications Management Strategy for adoption by CoL and CoLP:
- a. This will provide proactive support for addressing the demand for digital services, including clear mechanisms for evaluating the business case and developing the implementation approach for changes to applications and for then successfully realising both.
 - b. Change costs are expected to be relatively small and will arise from any emergent need to provide additional technology tools and training to members of the Applications team – these costs are expected to be accommodated within existing transformation and training budgets.
 - c. Application change costs might be more significant and will be determined on a case-by-case basis. It might be possible to cover these costs within existing or future budgets at the business unit level, but recourse to a central budget (e.g. part of the transformation budget) might be needed in some instances.
 - d. The primary process impact on business units is the need to identify a business owner for each application, who will undertake this role in addition to other responsibilities of his or her post. The application-related responsibilities are by and large already being carried out by business unit officers; however, in the absence of the new formalisation, this has been to varying standards with varying results. The new formalisation will impose new burdens on some officers, but the improvement in results will reduce the previous burden of dealing with unfavourable results.

Proposals

- 10. It is proposed that this committee endorse the Applications Management Strategy in its entirety for adoption by CoL and CoLP, delegating its implementation to the IT Director.
- 11. This proposal is made on the basis that it is necessary for further realisation of the applications benefits of the IT Strategy previously endorsed by this committee and adopted by CoL and CoLP, noting that the Applications Management Strategy is a contributor to that wider Applications Strategy whose development was envisaged as part of the IT Strategy.

Corporate & Strategic Implications

- 12. The proposed strategy will be a key driver behind outcome 9 ‘We are digitally and physically well-connected and responsive’ of the Corporate Plan whilst also contributing to outcomes 3,4,5,7,8,10,12.

Implications

13. The proposal, through adoption of the Applications Management Strategy, seeks to mitigate existing risks in application ownership and management faced by CoL and CoLP. It is not expected to introduce any new risks if the strategy is properly implemented.
14. The strategy seeks to avoid any significant HR implications by keeping changes to staff working practices within the scope of their existing job descriptions.
15. There may be some limited impact on future contracts with application suppliers and Service Delivery Partners, but these will be appropriately dealt with at the time those contracts are negotiated.
16. The financial implications relate to funding of tools, training and application switching costs. The tools and training costs will be covered by existing transformation and training budgets, with the changes to practices expected to generate savings in the future. The current proposed approach for covering the application switching costs is to consider business unit recourse to a central budget on a case-by-case basis while seeking to limit such recourse as much as possible, e.g. through postponing switching until the business can obtain a budget through the annual budgeting cycle.

Conclusion

17. The committee's endorsement of the Applications Management Strategy for adoption by CoL and CoLP, with authority to implement it delegated to the IT Director, will be a significant step forward in realising the IT Strategy previously endorsed and adopted, which in turn is key to realisation of most, if not all, the outcomes of the Corporate Plan and Policing Plan.

Appendices

- Appendix 1 – Applications Management Strategy v1.0

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Appendix 1
Applications Management Strategy
2018-23

City of London Corporation

City of London Police

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1. Introduction

This document outlines a proposed strategy for the City of London Corporation ('CoL') and the City of London Police ('CoLP') to drive value-for-money from their ongoing investment in software applications and related services. It is an output of the recent Applications Optimisation Pathfinder project, as is the accompanying 'Applications Register', which provides an inventory of the applications estate.

A good applications management strategy is typically informed by and acts as a bridge between business strategy, the wider IT strategy and the strategies of application vendors. Both CoL and CoLP have published strategic, overarching local plans that are shaping business strategy. Jointly, they have developed a high-level IT Strategy that links to four contributing strategies: Technology Transformation (the infrastructure modernisation that underpins all the other strategies), Applications Optimisation, Information Management and Digital Enterprise.

CoL have already implemented their Technology Transformation Strategy, while CoLP will start this soon. Therefore, it is now appropriate to agree the Applications Management Strategy.

Please note: some key concepts and abbreviations used in this document might not be familiar to general readers and therefore have been explained in a Glossary at the end.

2. Purpose of This Strategy

This strategy is intended to guide decision-making by business units, the corporate centre, the IT Division and their technology/service partners in relation to managing the lifecycles – i.e. acquisition, ownership and disposal – of applications, both individually and collectively.

Managing applications effectively and efficiently is important for the following reasons:

- Applications are where staff and customers interact with information and processes to create business value, with everything else in the IT estate being enablers for this
- A significant amount of money is spent on the procurement and ongoing operation of applications; therefore, efficiencies and savings are desirable and likely feasible
- Enhancement or replacement of key applications will be essential to support the strategic plans of CoL and CoLP, especially proposed new (digital) ways of working
- Business continuity and regulatory compliance are dependent on the proper working of applications, and as a result, applications can be key sources of business risk

Adoption of this strategy is expected to lead to the following beneficial business outcomes:

- Better use of more readily available intelligence about applications to inform decisions on their acquisition, ownership and disposal
- Better management of risk and resources associated with ownership of applications through more structured and proactive operational monitoring and change planning
- Reduction in the size and/or complexity of the applications estate, thus reducing the associated like-for-like cost of ownership and the attack surface for cyber threats
- Reduction in duplication and/or silos of functionality and data across applications, thus reducing wasted effort and easing collaboration across business units

Even after implementation of this strategy, some residual risk and complexity will continue to exist in relation to the applications estate, but at the very least adopting this strategy will provide a way to understand the reasons why and how best to cope.

3. Scope of This Strategy

This strategy focuses on the management of software applications. All pieces of software that are not part of the operating systems for computing infrastructure (laptop/desktop PCs, mobile devices, networks, servers, storage, virtualisation services) are deemed applications.

The applications estate is made up of the following three types of application:

- **System** – business-specific, process-oriented application that contains predefined business-process rules, e.g. Corelogic's *Mosaic* for adults' and children's social care case management, and Northgate's *Paris* for income collection and management
- **Tool** – non-business-specific, activity-oriented application that contains predefined activity-constraining rules, e.g. Microsoft's *Word* and *Excel* for producing documents and spreadsheets, and ESRI's *ArcGIS* for manipulating digital maps
- **Platform** – non-business-specific, function-oriented application that has few rules but allows them to be added, e.g. Microsoft's *SharePoint* and *Flow* for managing content and workflows, and Firmstep's *Forms* for enabling and managing online self-service

The applications estate is also split into two tiers based on how widely each application is deployed. Tier 1 applications are those deployed to all users, while all other applications are deemed to be Tier 2. The tier that an application falls into has implications for how it is supported and maintained, with knock-on impacts for its users.

This strategy covers the management of all these types and tiers of application using an application lifecycle management model. The model identifies a sequence of lifecycle stages and activities together with the roles responsible for undertaking those activities.

This strategy does not cover strategic product, technology and partnership decisions, e.g. recommending the next financial management system or evaluating *blockchain* as a new application model or determining the future of Microsoft as a core technology partner.

4. Strategic Opportunity and Challenge

The application estates of CoL and CoLP are large, complex and varied, with some overlap between the two estates. This creates an opportunity to increase value-for-money through consolidation, simplification and standardisation across multiple areas, but also makes such changes more challenging to achieve.

The changes can best be made by sharing, re-using, extending and integrating applications. Platforms are most suited to this as they meet functional requirements common to many business units, are widely available and are highly configurable. Tools are the next most suited – although they are activity-specific, they can be used by any person or any business unit that undertakes that activity. Systems tend to be least suited as they are often so highly-tailored to the processes and terminology of specific business units that other units whose businesses are essentially similar will still struggle to use them.

Most applications in the estate are systems or tools. Platforms are far fewer and their potential for delivering business benefits is largely unexploited. Some vendors combine their applications into suites, e.g. Microsoft's *Office 365*, which includes *Word*, *Excel*, *SharePoint* and *Flow* amongst other component applications. If most of a suite's applications can be used beneficially, especially with some helpful integration between the applications, then this is likely to offer better value-for-money than similar applications that stand alone.

A key challenge to implementing an applications management strategy is capturing and maintaining the information needed to support it. CoL has historically devolved management of support contracts and vendor relationships for applications to the business units that use them, which makes comprehensive information capture and maintenance more difficult. CoLP has taken a more centralised approach, which makes this easier. An obligation on all stakeholders to share and maintain applications management information will be mandated by policy, helping to maximise its usefulness to applications-related decision-making.

So far, 327 applications have been identified as being part of the CoL estate based on information gathered during the Technology Transformation programme and validated by the Applications Optimisation Pathfinder project. A further 125 applications have been identified in the CoLP estate but not validated – a validated CoLP list will emerge from a separate CoLP technology stack evaluation project currently underway. It is likely that some existing applications have not been identified yet – e.g. those only using the web browser on a PC – as they do not have component software to be installed on PCs, which was the identification method used for Technology Transformation.

This initial list will be subject to change. Some of applications will be retired soon if agreed by their owners. Meanwhile, new applications are being introduced – 14 in the last six months – some of which might have been avoided if this strategy had been in effect.

5. Applications Estate Management Principles

The principles for managing the applications estate have been derived from the general IT principles set out in the previously agreed IT Strategy (identified in **bold** in the list below). The general IT principles have been expanded and adapted to suit the applications context.

Buy not build

- A. Source applications in the following order of preference:
 - 1. Re-use an existing application system or tool
 - 2. Configure an existing application platform
 - 3. Upgrade an existing application
 - 4. Buy a new application
 - 5. Build a new application
- B. Prefer hosting in the cloud to hosting on-premises, in the following order of preference
 - 1. Software-as-a-Service (SaaS)
 - 2. Platform-as-a-Service (PaaS)
 - 3. Infrastructure-as-a-Service (IaaS)
 - 4. On-premises hosting
- C. When selecting a vendor for a new application or service, prefer functional/strategic fit with business and IT over familiarity/popularity of the vendor with the business or IT

Use fewer systems more effectively

- D. Avoid data/functionality silos or duplication in applications – properly source an application once, appropriately re-use it often
- E. Integrate core applications to create novel solutions or replace niche solutions
- F. Upskill users to make the most of solutions

Secure and compliant IT systems and services to support the organisation

- G. Maintain up-to-date and accurate information needed for application lifecycle management and application audits, e.g.
 - Support contract and vendor roadmap
 - License count and user log
 - Access control matrix and user permissions
 - Transaction and backup logs
- H. Ensure applications are current (version N-1 where possible) and secure (compliant with GDPR, PSN, PCI, etc. as applicable)
- I. Keep applications functioning acceptably via maintenance and support aligned to application tier, criticality and vendor contract

Move from complexity to commodity

- J. Follow common (open) standards, including for accessibility
- K. Design solutions and services to be intuitive, sustainable and repeatable
- L. Work with users to optimise/standardise their user experience

When selecting applications for best fit, those with the features listed below (where relevant) should be preferred to those without. Some of these features reflect best practice in support of the principles listed above, others support the new ways of working being promoted in the separate *Digital Strategy*.

- i. Enables and encourages self-service
- ii. Supports accessibility for people with disabilities
- iii. Supports mobile working via a mobile client or responsive design
- iv. Provides service-oriented architecture (SOA), application programming interface (API), data model, etc. for integration
- v. Supports single sign-on compatible with CoL/CoLP identity and access management (IAM) platform
- vi. Encrypts sensitive data in transit and at rest
- vii. Logs and reports events to understand application usage and performance
- viii. Supports the relational database platforms preferred by CoL and CoLP
- ix. Supports multiple separate user groups while maintaining appropriate data separation, confidentiality and integrity
- x. Supports use of virtualised computing, networking and storage facilities

While these principles and features set the standards to which all applications should aspire, this does not mean that all applications not meeting those standards should be immediately retired or replaced. Instead, what to do about such an application should be considered as part of its managed lifecycle, and if some change is deemed necessary, then a plan should be made for carrying out that change at a suitable time. Please see the next section for more on application lifecycle management.

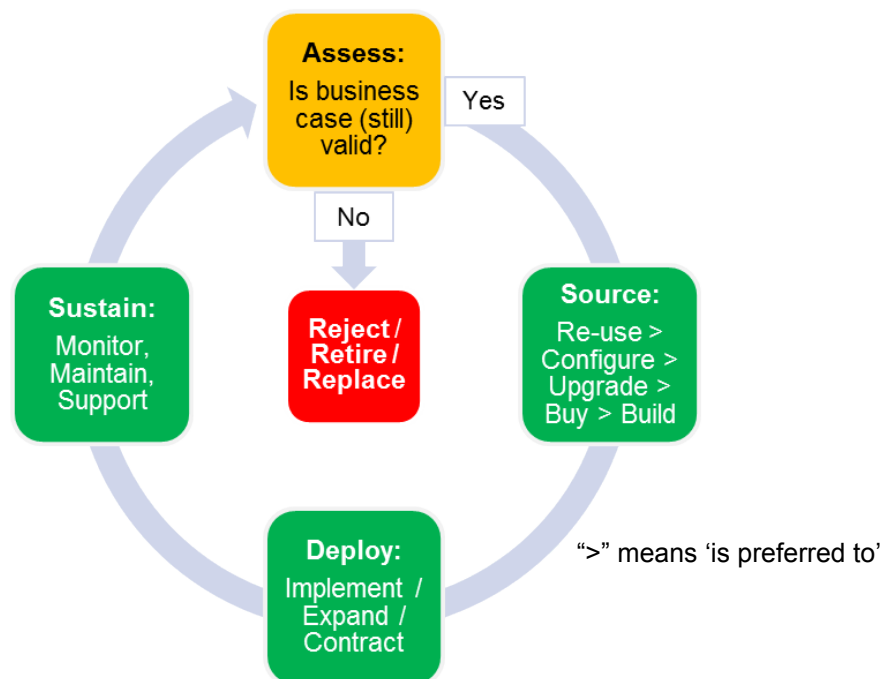
6. Application Lifecycle Management Model

Management of the applications estate collectively is closely related to the model for lifecycle management of each application individually.

An application has a lifespan within CoL or CoLP, consisting of a sequence of phases from acquisition (the beginning of its life), through ownership (the main part of its life), to disposal (the end of its life). To encourage regular reassessment of the application's business case and fitness-for-purpose, ownership can be further broken down into a series of sub-phases.



Within each phase, a cycle of activity is executed that assesses the business case for an application-based solution, and, if the case is valid, then sources, deploys and sustains the application that best matches the case. When the case is no longer valid, the disposal phase is triggered, during which the application is retired or replaced. This is summarised in the diagram below.



The sourcing activity determines how best to obtain an application that matches the business case in terms of fitness-for-purpose, value-for-money and strategic compliance. This activity reflects the preferences set out in Principle A from Section 5, which covers the sourcing of applications. Note that in each ownership phase, 're-use' can mean continuing to use the application sourced in the previous phase (perhaps also as an instance of re-use).

The deployment activity encompasses the implementation of a new or upgraded application, as well as expanding or contracting the user base of an existing application where re-use and/or consolidation are being pursued.

The sustenance activity corresponds to business-as-usual, i.e. the everyday work required to keep the application running as intended and delivering the services that its users expect. Monitoring and maintenance are used to minimise unexpected outages, while support resolves those fewer outages that still occur.

A key output of this model is a roadmap of key events/activities in the lifespan of each application, which together produce an overall schedule for the whole applications estate as well as calendars for the IT Division – especially the Applications team and the Business Partners team – and for each business unit and department. These schedules and calendars are essential for effective work and resource planning and risk management.

Many of the data flows and activity steps required to operate this model are expected to be automated in the future, thereby increasing execution reliability and reducing staff effort.

7. Application Lifecycle Management Policies

The application lifecycle management policies listed below have been agreed by the IT Division senior management team for submission to the IT Sub-committee for approval on behalf of all business units.

1. Each application must have a named Business Owner accountable for its business evolution and use (see Appendix A for more information on this role)
2. Each application must have a named Technical Owner accountable for its technology evolution and technical KPIs
3. All requests for new software must be made using the approved form and in line with the agreed procedures
4. Multiple applications enabling a similar business process, task or functionality must not exist across the estate, including multiple instances of the same application unless signed off by the IT Technical Design Authority
5. All applications must have a valid supplier support and maintenance contract in place
6. Applications must be licensed to meet, but not exceed, the usage requirement (except where bulk buys are more cost effective).
7. All applications must be on the approved Definitive Media Library (DML). Applications discovered on the estate but not in the approved DML will be removed
8. Access to applications must be restricted on a least required privilege approach
9. Applications must use shared infrastructure, servers and instances where appropriate
10. All applications that form systems of record must be backed up in line with the specific application's departmental policy
11. Every application must have a periodic time window agreed with the Business Owner when it may be shut down for maintenance, with notice being given ahead of each shutdown but no further approval sought
12. Only approved tools can be used for the management and monitoring of the environment
13. Applications releases must be signed off by the application's Business Owner
14. The Configuration Management Data Base (CMDDB) is the master data repository for all application configuration information (Applications Register in the interim)

15. All design, configuration and operations documentation must be kept up to date and stored in a single location referenced from the CMDB
16. Software Asset Information will be held in SNOW and SCCM
17. All application configurable items must follow the standard naming convention and/or an agreed standard taxonomy where applicable
18. Any application not used for 180 days will be retired from the IT estate unless supported by a Business Case to the IT Division
19. Applications required for evaluation purposes must be requested as a change with a valid project code and agreed retirement date
20. Applications must be hosted on infrastructure suitable to meet, but not by design exceed, the relevant contractual and SLA targets
21. All applications supporting a legislative business requirement, or being a system of record for financial transactions over £100k over a financial year, must be reviewed frequently to ensure they meet legislative, business, and technology changes
22. All information relevant to application lifecycle management must be made available to the IT Division, who will share it with others as appropriate; such information includes but is not limited to each application's business case, support contract and licensing terms, costs and technology dependencies
23. Each application in the estate must undergo a regular review of its Business Value, Technical Quality & Cost by the IT Division in conjunction with the Business Owner

8. Application Lifecycle Management Responsibilities

Implementing the applications lifecycle management policies requires business and IT staff to be assigned the necessary roles and responsibilities.

Please see Appendix A for explanations of the Business Owner and Business Contact roles.

Those responsible for undertaking each activity are also responsible for updating the Applications Register and any other relevant records and documentation to reflect changes arising from the activity.

Note that the current Service Delivery Partner is Agilisys.

Activity	Responsible	Accountable	Consulted	Informed
Assess				
<ul style="list-style-type: none"> • Trap new application request 	Service Desk	Service Delivery Manager		Business Partner
<ul style="list-style-type: none"> • Formulate business case 	Business Partner	Business Owner	Business Contact; Applications Team; Enterprise Architect	
<ul style="list-style-type: none"> • Assess and approve business case allowing sourcing to begin 	PMO weekly meeting	PMO	Business Partner	
Source				
<ul style="list-style-type: none"> • Assess whether existing application can be re- 	Applications Team	PMO	Business Partner;	

Activity	Responsible	Accountable	Consulted	Informed
used, configured or upgraded to fulfil the business case			Enterprise Architect	
<ul style="list-style-type: none"> Implement reuse, configuration or upgrade of existing application if appropriate 	Project Manager; Applications Team	PMO	Business Partner; Enterprise Architect	
<ul style="list-style-type: none"> Assess market options for a new application if needed to fulfil the business case 	Business Partner	PMO	Procurement; Enterprise Architect; Applications Team	
<ul style="list-style-type: none"> Procure new applications if appropriate 	Project Manager; Procurement	PMO	Enterprise Architect; Applications Team	
<ul style="list-style-type: none"> Assess build options for a new application if needed to fulfil the business case 	Applications Team	PMO	Enterprise Architect	
<ul style="list-style-type: none"> Execute build of new application 	Project Manager; Applications Team	PMO	Enterprise Architect	
Deploy				
<ul style="list-style-type: none"> Manage major deployment, e.g. new application or upgrade with significant change 	Project Manager	PMO	Applications Team	
<ul style="list-style-type: none"> Manage minor deployment, e.g. re-use of applications as-is or an upgrade with little change 	Applications Team	PMO		
<ul style="list-style-type: none"> Packaging of end-user software components 	Packaging Team	[Project Manager or Applications Team]		
<ul style="list-style-type: none"> Deployment readiness sign-off 	Business Contact; CAB	Business Owner	[Project Manager or Applications Team]	PMO
<ul style="list-style-type: none"> Deployment of new software into estate 	Service Delivery Partner	[Project Manager or Applications Team]	Business Contact	Application Users; PMO; CAB
Sustain				
<ul style="list-style-type: none"> Application operational monitoring 	Service Delivery Partner	Applications Team	Business Contact	
<ul style="list-style-type: none"> Application patching 	Service Delivery Partner	Applications Team	Business Contact; CAB	

Activity	Responsible	Accountable	Consulted	Informed
<ul style="list-style-type: none"> Application support 	1 st Level: Service Delivery Partner 2 nd Level: Applications Team	Applications Team		

9. Strategy Implementation Challenges

This strategy has been designed to comply with the existing IT, human resources, finance and procurement principles and policies of CoL and CoLP. Nevertheless, it proposes more proactive, structured and consistent ways of owning and servicing applications than has been the case in the past. This requires some changes to operating practices, roles and responsibilities. Therefore, in adopting this strategy, CoL and CoLP are committing to implementing the changes set out below.

Change	Key Reasons	Accountability
The working practices of Applications team members and Business Partners are revised to reflect the new model while staying within the scope of their existing job descriptions	<ul style="list-style-type: none"> Being proactive needs more time, which will be freed up by being more efficient elsewhere Collaborative delivery needs more co-ordination, which requires staff to take on more responsibility where appropriate 	<ul style="list-style-type: none"> Head of Applications Head of Engagement and Change
Training for Applications team in new monitoring and change implementation tools	<ul style="list-style-type: none"> New tools need new skills, both to operate and to envisage new benefit opportunities 	<ul style="list-style-type: none"> Head of Applications
The outputs of the Service Delivery Partner (Agilisys) are revised to reflect the new model while staying within the scope of their existing contract	<ul style="list-style-type: none"> SDP must engage more closely with the IT Division and Application Business Owners/Contacts SDP must be more proactive in application management 	<ul style="list-style-type: none"> Deputy IT Director (Delivery)

There are inevitably challenges to implementing these changes, key amongst these being the following:

- Perceived limits on contractual obligations of Service Delivery Partner
- Contractual challenges with application suppliers
- Change effort within IT Division and business units
- Staff capacity, e.g. to maintain information, to meet regularly, to be an Application Business Owner
- Staff capability, e.g. to monitor applications proactively, to negotiate sourcing, to configure platforms
- Funding for change, including training and tools for the IT Division and one-off costs to business units for switching from existing applications to those deemed most appropriate for their business need

A separate target operating model lays out these changed ways of working in more detail.

Appendix A: Application Business Owner and Contact Roles

A key role in application lifecycle management is that of the Business Owner. This is the person accountable for realising the value-for-money that is intrinsic to an application's business case. The Business Owner influences this over the application's lifespan by making key decisions about its usage and evolution and the related spend and risk.

A typical application business case envisages achieving value-for-money through the application being used by the appropriate people at the appropriate times and in the appropriate ways, to complete the appropriate tasks and produce the appropriate outputs and outcomes, at the appropriate cost and risk.

Application Business Owner

The Business Owner role encompasses the following accountabilities ('[A]') and responsibilities ('[R]'), supported by the relevant specialists within the business, IT and other services and partners:

- Defining the business case for an application-based solution to address a business weakness, threat or opportunity [A]
- Agreeing the application-based solution recommended after appropriate consideration of the options [R]
- Agreeing the application's business criticality, which in turn defines its security, hosting and support provisions [R]
- Periodic review of the business case for continuing to use the application [R]
- Approving retirement or replacement of the application at the end of its useful life [R]
- Assigning a budget where needed to cover application costs [R]
- Accepting the residual risks associated with the application [R]
- Ensuring the confidentiality, integrity and availability of the information contained within the application [A]
- Approving operational deployment of the application and any of its subsequent upgrades [A]
- Approving the addition, modification and removal of users for the application [A]
- Training and/or guidance of users in the proper use of the application [A]
- Supplier contract performance monitoring and enforcement [A]
- Ensuring that audit recommendations relating to the application are addressed [A]
- Ensuring that the agreed application risk mitigations are put into practice [A]

Application Business Contact

The Business Contact role reports to the Business Owner and is expected to be filled by a person who has operational understanding of the business processes that the application will support and can provide advice and make decisions in relation to usage and change on a day-to-day basis. Business Owner accountabilities will typically translate into Business Contact responsibilities.

Appendix B: Application Criticality, Resilience and Support

Application lifecycle management centres on keeping an application cost-effectively useable for as long as its users need it to be. Applications are typically a bundle of functions and associated data made available to one or more business units in an organisation and perhaps directly to the internal and external customers of those units.

Some application functions and data might be critical to a business unit and/or its customers all the time every day. Other functions and data might be critical at key points in the day, week, month or year. And yet others are not time critical, as long as they are available within a reasonable time window. However, what is critical to one or more business units might not be critical to the organisation as a whole.

An application can fail in totality or one or more of its functions can fail. Some or all of its data can be lost to storage failure or database corruption. In all cases, some sort of restorative action might be needed from IT support providers. Given limited resources, it is necessary for business units to agree with the IT Division ahead of time, application by application, which failures or data losses are to be addressed through preventive measures and/or after-the-event responses, and how, when, by who and at what effort and cost.

Two criticality factors are used to determine the failure/error response/prevention parameters:

- **Recovery Time Objective (RTO)** – where an application (function) has failed, how quickly must it be restored to a usable state?
- **Recovery Point Objective (RPO)** – where up-to-date application data have been lost, a data set from how far back in time is deemed usable?

Together, RTO and RPO determine application criticality via the matrix shown at right (business-agreed definitions of *Instant*, *Short*, *Medium* and *Long* are pending), where C1 is highest criticality and C3 is lowest criticality.

RPO Instant	C1	C1	C1	C1
RPO Short	C2	C2	C2	C1
RPO Medium	C3	C3	C2	C1
RPO Long	C3	C3	C2	C1
	RTO Long	RTO Medium	RTO Short	RTO Instant

Application criticality is used to determine the appropriate level of infrastructure resilience for the application: Gold (the highest level) for C1 applications, Silver for C2, and Bronze for C3.

Resilience is a measure of how well the infrastructure avoids single points of failure and automatically recovers in the event of component failures. The higher the resilience level, the more costly the server, network and storage components and maintenance and support services needed to provide it. Components and services will be shared across applications where possible, in which case only a portion of these costs will be charged to each business unit owning an application that runs on the resilient infrastructure. If dedicated components or services are deemed necessary, then it is likely that the whole of their costs will be charged to the business unit.

In the face of this, a business unit might wish to settle for lower RTO and RPO targets, and hence lower criticality, lower resilience and lower cost. This is their choice, but, unless they overestimated the criticality in the first place, it does increase the business risk. However, it is not acceptable to pay for only Bronze (standard) resilience infrastructure but still expect high criticality support responses/outcomes in the event of application failure or data loss.

Appendix C: Applications Register

The Applications Optimisation Pathfinder project has created an 'Applications Register' as an inventory of all the applications across CoL and CoLP, with information added for each application that can be used to make decisions and plan activities in relation to application lifecycle and estate management. The Register is potentially a stepping stone to an eventual comprehensive IT Configuration Management Database.

The Application Register has been populated by taking the applications list produced by the Technology Transformation programme, validating it and adding further information held by the IT Division on each application. Due to this limited number of sources, the Register is not yet fully populated, but this is expected to be rectified as the application management processes outlined in this strategy are put into practice.

The applications in CoL and CoLP come in many shapes and sizes, reflecting business need and technology availability at the time that they were introduced as well as the evolution in these factors since then. The Application Register tracks these business and technology factors for each application to help identify application strengths, weaknesses, opportunities and threats leading to timely decisions and actions aimed at optimising value-for-money at the estate level.

The business factors are the business needs translated into functional and non-functional requirements. Application functionality falls into 7 broad categories:

- Asset management: recording attributes and tracking status of assets ranging from files to books to buildings to people
- Content management: storing and serving content, e.g. documents or videos, with appropriate access controls and update tracking
- Task management: guiding and tracking tasks – defined as activities with little scope for variation of inputs and outputs – both individually and in groups
- Case management: guiding and tracking cases – defined as activities with a lot of scope for variation in inputs and outcomes – which may be short-term or long-term
- Financial management: maintaining and reporting financial accounts following financial accounting rules
- Relationship management: tracking interactions and outcomes of ongoing relationships with people
- Technical processing: specialist data/content processing, e.g. geographical mapping, statistical analysis or sound and video creation

Applications typically offer functionality from more than one category, but one or two categories can usually be identified as being core to an application's purpose. Many applications duplicate specific elements of functionality, which might be considered a waste. However, this might be justified where a sufficiently different and beneficial combination of functionalities is offered. Business factors include the service and support contract end date.

The technology factors reflect the technologies, services and deployments used to make each application function. Applications range from those that run on one PC to those that run on servers. Some applications require their own software components to be installed on each end-user's PC or other computing device, others can function via the device's built-in web browser software interacting with a web-based application server. Application servers can be hosted in CoL or CoLP premises or in vendor premises or in a third-party environment. Different applications can store their data in different ways, from shared

databases to local files. Any of these components might be virtualised, i.e. run on a shared server with other applications while behaving as if running standalone. Technology factors include the end-of-support date for the application version as defined by the vendor.

The Applications Register – an asset management application with software as the asset and capturing all the above factors as asset attributes – is available as a shared facility via SharePoint for reference by business units, the corporate centre and the IT Division.

Note that the Applications Register is separate from and serves a different purpose to the Microsoft System Centre Application Catalogue – the Catalogue lists the applications that can be installed by end-users on demand (subject to approval), which is currently a small sub-set of all the applications recorded in the Register.

Glossary

API (Application Programming Interface)	<p>A part of an application's software that allows other software to interact with it directly in an automated fashion. Using the methods provided by the API, a programmer can have the other software make requests and pass instructions to the application as needed. The application will then respond in the ways defined for the methods and thus understood by the other software. APIs are typically provided by the vendor as an extra.</p>
Cloud Service	<p>Any computing service provided via shared technology such that the end-user only pays per unit of service used. The per unit cost reflects the mixture of variable and fixed costs involved in keeping the service available, in the same way that the per unit cost for using electricity reflects the variable fuel costs and fixed powerplant, transmission and personnel costs involved in its production and delivery. Cloud services may be public (shared with other organisations) or private (shared within the same organisation). Public cloud services are hosted off-site; private cloud services can be hosted either offsite or onsite. The service provider is responsible for maintenance – often invisibly to the user – and support.</p>
Data Model	<p>A description of what data are stored and processed by an application, including the data's format, value restrictions and, often, access rules. This can be used to move data into and out of the application, and can help with information management, security and audits.</p>
GDPR (General Data Protection Regulation)	<p>Data protection good practice rules given the force of UK law. The rules apply to all organisations processing personally identifiable data relating to living individuals, who may be members of the public or employees. Breach of the rules can result in significant fines being imposed by the UK Information Commissioner's Office, as well as reputational damage to the organisation.</p>
IaaS (Infrastructure-as-a-Service)	<p>A computing infrastructure, typically consisting of computer servers, data storage facilities and interconnecting networks and services, that is provided following the cloud service model (see above). The user can choose to run any software on the infrastructure that the infrastructure can support, e.g. platforms and applications (see below), subject to the provider's service rules.</p>
IAM (Identity and Access Management)	<p>The processes and tools required to manage secure user access to IT environments. Ideally – for the sake of simplicity – everyone should have a single personal user identity through which he/she can be authorised to access any element of the IT environment, including applications. In practice, people have many user identities, with associated login details to remember, as many IT environment elements, especially applications, have not yet signed up to centralised IAM.</p>
PaaS (Platform-as-a-Service)	<p>A computing platform – typically meaning software and infrastructure that combine to offer particular functionality without being tied to specific business processes – that is provided following the cloud service model (see above). An example is a database platform, where database functionality is provided but what is stored in the database and the business rules attached to that are not determined by the provider.</p>
PCI DSS (Payment Card Industry Data Security Standard)	<p>A set of standards for securing personal and financial data relating to the use of payment cards, which has been agreed by the payment card industry. Organisations wishing to process card payments must comply with these standards, although some aspects may be devolved to a suitably compliant processing partner. If there is a compliance breach, the breaching organisation may be barred from processing payments until the cause of the breach has been fixed and can face financial penalties.</p>

<p>PSN (Public Services Network)</p>	<p>A UK government network for connecting all sectors and agencies of government, including local authorities. There is a stringent code of connection designed to ensure security of data and systems across the network. Failure to comply with the code can result in an organisation being cut off from the network, meaning that it might no longer have timely access to data and systems vital to its business.</p>
<p>SaaS (Software-as-a-Service)</p>	<p>A software application, and its underpinning platform and infrastructure, provided following the cloud service model (see above). The end-user still has to provide an end-user computing device to access the application.</p>
<p>SDP (Service Delivery Partner)</p>	<p>An external provider of services for hosting, managing, monitoring, maintaining and/or supporting applications, working closely with the IT Division and with business unit customers.</p>
<p>SOA (Service-Oriented Architecture)</p>	<p>Principles and patterns of application design where key functions of the application are exposed as programmatically accessible services for use by other software. SOA serves much the same purpose as an API (see above). However, SOA comes from a service-oriented approach from the start of application development that recognises the application as being one part of an interconnected business/software ecosystem, whereas APIs tend to be added at the end of application development as a bonus.</p>

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Committees: Corporate Project Board IT Sub Projects Sub		Dates: 15 October 2018 02 November 2018 07 November 2018
Subject & Project Title: End User Device Refresh project Report of: The Chamberlain Report Author: Kevin Mulcahy – Assistant IT Director – Projects and Programmes	Unique Project Identifier: 11577	Outcome Report Approval Route Regular

PUBLIC

Summary

- Gateway1/2 Gateway paper approved by committee in July 2015.
- Gateway 4/5 paper approved by committee in January 2016 with a project budget of £3,096k.
- Project completed in March 2018. The outcomes delivered by this project included;
 - Replacement of 2100 desktop devices over 4 years' old resulting in 400 new PCs and 1700 new laptops being deployed
 - Design and deployment of a brand-new desktop operating system based on Windows 10 and Office 2016
 - Deployment of Microsoft's integrated remote access solution, Direct Access, allowing secure access from a CoL device to the network from any location
 - Replacement of approx. 200 aged, small monitors with new, more energy efficient 24" models
 - Deployment of approx. 1300 docking stations, supporting shared/hot-desk operation
 - A managed catalogue of software products rationalised from over 3000 items to 324, ensuring the latest versions are common to all users and redundant or duplicated software items are removed from the estate.
 - Licence management improved, significantly reducing the organisation's risk of non-compliance.
 - Creation of a new self-service software portal to allow staff to download selected software
- The spend against the approved budget of £3,096k is £2,978k.

Recommendations

1. It is recommended that the lessons learnt be noted.

2. It is recommended that the unspent hardware budget is used to refresh further aged devices.
3. It is recommended that following the purchase of the additional hardware, that the project is closed.

Main Report

<p>1. Brief description of project</p>	<p>Implementation of a fully managed desktop environment based upon Microsoft Windows 10: Office 16; Direct Access; Skype for Business (instant messaging, presence, video); and the environment be enabled for future cloud services.</p> <p>Replacement of an aged desktop hardware estate, to ensure end users' experience a more responsive, reliable and agile working environment.</p>
<p>2. Assessment of project against SMART Objectives</p>	<ul style="list-style-type: none"> I. Implementation of a fully managed desktop – ACHIEVED. The new Windows 10 environment can be managed with minimal deskside visits, meets the latest security standards, and only permits authorised software to be installed. II. Replacement of all devices over 4 years' old – ACHIEVED. All PCs and laptops that were over 4 years' old during the project, have been replaced with new devices. III. Standardization of desktop policies and profiles – ACHIEVED. The policies used for Windows 7 have been completely rewritten leading to a significant reduction in logon & logoff times for users. Inconsistencies and issues with profiles addressed. IV. Application estate rationalised, and a standard suite of software tools provided. ACHIEVED
<p>3. Assessment of project against success criteria</p>	<ul style="list-style-type: none"> I. Replace the immediate ageing (6-year-old) end user devices as a 'tactical' approach. ACHIEVED II. Implement a standardised, modernised, managed service and agile ICT environment. ACHIEVED III. Hardware will be replaced with appropriate role-based devices. The type of device deployed is matched to the organisation's requirements going forward, supporting broader adoption of mobile and flexible working practices. ACHIEVED – significant increase in use of laptops following 'laptop first' principle agreed with chief officers. Over 1700 laptops now in use, compared to less than 200 before the project commenced. IV. A standard monitor size that caters for all business user requirements. This will involve replacing older 18-inch monitors or less with a standard 24-inch monitor. The approach taken on the 24-inch monitor is to reduce the requirement of dual screen across the estate. ACHIEVED - approx. 200 monitors replaced.

	<p>V. A centralised IT catalogue with devices provided to staff from the centre rather than by department. ACHIEVED.</p> <p>VI. Introduction of Windows 10, Office 2016, IE 11 and core applications used by all members of staff which are part of the corporate build. ACHIEVED.</p> <p>VII. A minimum number of devices will be kept in stock which would allow hardware to be swapped thus reducing business and user impact. ACHIEVED – stock levels able to fulfil request due to normal staff turnover. Exceptional requests managed through additional orders to supplier.</p>																
4. Key Benefits	<p>I. End user device estate capable of supporting flexible and mobile working and developing accommodation strategy.</p> <p>II. Application estate reduced from over 3000 software products and utilities, to 324.</p> <p>III. Consistent user experience</p> <p>IV. Improved performance for end users</p> <p>V. Better alignment with other corporate programmes i.e. accommodation</p>																
5. Was the project specification fully delivered (as agreed at Gateway 5 or any subsequent Issue report)	Yes																
6. Programme	The project was completed within the agreed programme																
7. Budget	<p>The project was completed within the agreed budget</p> <table border="1"> <thead> <tr> <th>Item</th> <th>Description</th> <th>Budget £k</th> <th>Expenditure £k</th> </tr> </thead> <tbody> <tr> <td>Project</td> <td>Implementation</td> <td>£1,766</td> <td>£1,765</td> </tr> <tr> <td>Hardware</td> <td>New devices</td> <td>£1,330</td> <td>£1,213</td> </tr> <tr> <td></td> <td>TOTAL</td> <td>£3,096</td> <td>£2,798</td> </tr> </tbody> </table>	Item	Description	Budget £k	Expenditure £k	Project	Implementation	£1,766	£1,765	Hardware	New devices	£1,330	£1,213		TOTAL	£3,096	£2,798
Item	Description	Budget £k	Expenditure £k														
Project	Implementation	£1,766	£1,765														
Hardware	New devices	£1,330	£1,213														
	TOTAL	£3,096	£2,798														
Final Account Verification	Verified																

Review of Team Performance

8. Key strengths	<ol style="list-style-type: none"> I. Team of specialists worked very well with the IT Division team to deliver a complex, large-scale project. II. Engagement with end users during implementation.
9. Areas for improvement	<ol style="list-style-type: none"> I. Poor quality base data in terms of asset management, user data, and user cases impeded the progress of the programme. II. The absence of IT policies and standards meant that such items needed to be defined by the programme team. III. Transition to support was hampered by a lack of awareness and engagement with operational teams and the service provider.
10. Special recognition	<p>There were many strong contributions from individuals, but the project's success was based on a highly successful team effort from IT Division staff and those from our managed service partner, Agilisys. The IT team has been nominated for recognition as part of the Celebrating Our People Awards.</p>

Lessons Learnt

11. Key lessons	<ol style="list-style-type: none"> I. Considerable effort expended on communications to all staff, using all channels, visits to remote sites, drop-in sessions, intranet articles and materials such as posters, flyers and banners to raise awareness. II. Pace of change caused concern to some departments, although it was generally agreed that the poor state of the existing desktop estate and performance issues with Windows 7 meant a swift resolution was required. III. Training – An extensive training programme was provided, though not all departments were well represented. IV. Uneven experience across some teams, where only some devices within a team were replaced. Where laptops were issued to improve agility, this was limited where only a few received new devices. V. Deployment of new managed desktop was in advance of the IT Service Desk's ability to support all issues. VI. Not all users aware of day/time for device replacements, causing many issues for the
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	deployment team and some end users. This is despite considerable engagement and communications to staff in advance of the change.
12. Implementation plan for lessons learnt	<ol style="list-style-type: none"> 1. Ensure that effort required for communications and change management activity is factored into all future large IT Programmes. 2. Put in place a comprehensive handover from Project to Business as Usual .

Contact

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Appendix 1 – Dashboard Coversheet EUDR

Project Coversheet

[1] Ownership

Unique Project Identifier: 11577 **Report Date:** 08/10/2018
Core Project Name: End User Device Refresh project
Programme Affiliation (if applicable): IT Transformation Programme
Project Manager: Graeme Quarrington-Page
Next Gateway to be passed: Gateway 6

[2] Project Brief

Project Mission statement:

Implementation of a fully managed desktop environment based upon Microsoft Windows 10.

Replacement of an aged desktop hardware estate, to ensure end users' experience a more responsive, reliable and agile working environment.

Definition of need:

- I. Implementation of a fully managed desktop.
- II. Replacement of all devices over 4 years' old.
- III. Standardization of desktop policies and profiles.
- IV. Introduction of Windows 10, Office 2016, IE 11 and core applications used by all members of staff which are part of the corporate build.

Key measures of success:

- I. End user device estate capable of supporting flexible and mobile working and developing accommodation strategy.
- II.
- III. Consistent user experience
- IV. Improved performance for end users
- V. Better alignment with other corporate programmes i.e. accommodation

[3] Highlights

Finance:

Total anticipated cost to deliver [£]:3,096k

Total potential project liability (cost) [£]:

Total anticipated on-going commitment post-delivery [£]:N/a

Programme Affiliation [£]:N/a

Do not use ranges in this table. Either Highest range value or best estimate at this time.

[A] Budget Approved to Date*	[B] New Financial Requests	[C] New Budget Total (Post approval)
£3,096k	Nil	£2,978k
[D] Previous Total Estimated Cost of Project	[E] New Total Estimated Cost of Project	[F] Variance in Total Estimated Cost of Project (since last report)
£3,096k	£2,978k	-£118k

[G] Spend to Date	[H] Anticipated future budget requests
£2,978k	Recommendation that the remaining £118k is used to accelerate the remaining device refresh.

Headline Financial changes:

Since 'Project Proposal' (G2) report:

▲ ◀▶ ▼ Nil

Since 'Options Appraisal and Design' (G3-4) report:

▲ ◀▶ ▼ Nil

Since 'Authority to start Work' (G5) report:

▲ ◀▶ ▼ Nil

Project Status:

Overall RAG rating: Green

Previous RAG rating: Green

[4] Member Decisions and Delegated Authority

GW 5 Authority to start work.

[5] Narrative and change

Date and type of last report:

Gateway1/2 Gateway paper approved by committee in July 2015.

Gateway 4/5 paper approved by committee in January 2016 with a project budget of £3,096k.

Key headline updates and change since last report:

Project completed in April 2018. The outcomes delivered by this project included;

- Replacement of 2100 desktop devices over 4 years' old resulting in 400 new PCs and 1700 new laptops being deployed
- Design and deployment of a brand-new desktop operating system based on Windows 10 and Office 2016
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- Licence management improved, significantly reducing the organisation's risk of non-compliance.
- Creation of a new self-service software portal to allow staff to download selected software

The spend against the approved budget of £3,096k is £2,978k

Recommendations

1. It is recommended that the lessons learnt be noted.
2. It is recommended that the unspent hardware budget of £118k is used to refresh further aged devices.
3. It is recommended that following the purchase of the additional hardware, that the project is closed.

Headline Scope/Design changes, reasons why, impact of change:

Since 'Project Proposal' (G2) report:

Nil

Since 'Options Appraisal and Design' (G3-4 report):

Nil

Since 'Authority to Start Work' (G5) report:

Nil

Timetable and Milestones:

Expected timeframe for the project delivery: The project was completed within the agreed programme

Are we on track for this stage of the project against the plan/major milestones? Y

Are we on track for completing the project against the expected timeframe for project delivery? Y

Top 3 issues realised

<i>Issue Description</i>	<i>Impact and action taken</i>	<i>Realised Cost</i>
Budget Underspend	Recommendation to bring forward remaining devices for replacement.	£118k
Abortive visits	Planning assumption built into resource model	-

Has this project generated public or media impact and response which the City of London has needed to manage or is managing?

No

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Committees: Corporate Projects Board - <i>for decision</i> Projects Sub - <i>for decision</i> IT Sub - <i>for information</i>		Dates: 15 October 2018 07 November 2018 02 November 2018
Subject: Unified Communications Programme Unique Project Identifier: 12027	Gateway 2: Project Proposal Complex	
Report of: Chamberlain Report Author: Janet Baker		For Decision
PUBLIC		

Recommendations

1. Next steps and Requested decisions	<p>Approval track: 2. Regular</p> <p>Next Gateway: Gateway 3/4 - Options Appraisal (Regular)</p> <p>Next Steps:</p> <ol style="list-style-type: none"> 1. Agree scope of programme through consultation with Chief Officers and IT Category Board following completion of system audit. 2. Conduct review of system and service requirements within agreed scope. 3. Present Options Appraisal to your committee. <p>Requested Decisions:</p> <p>Members are invited to approve the proposal set out in the Gateway report to initiate the Unified Communications Programme.</p>
2. Resource requirements to	

reach next Gateway	Item	Reason	Funds/ Source of Funding	Cost (£)
	System Audit	Current state of service/system components unknown	Capital	£20k
	Gather high level business requirements	Unless all requirements known and verified, procurement of a new system poses a risk	Capital	£30k
	Total			£50k
3. Governance arrangements	<ul style="list-style-type: none"> • <i>Service Committee responsible:</i> IT Sub Committee • <i>Name of Senior Responsible Officer and their role:</i> Chamberlain • Yes, a project board will be created. 			

Project Summary

4. Context	<p>4.1 The design and core features of the current telephony systems in use with the City of London (CoL) and City of London Police (CoLP) are over 10 years old. Although work has been carried out to reduce the risk of a system failure, the system is now considered a constraint to more efficient ways of working.</p> <p>4.2 The IT Transformation Programme has delivered great potential for enhancing the use of telephony within CoL, through the use of Skype for Business, but this requires further investment within the telephony systems to fully exploit the benefits.</p> <p>4.3 The current state of telephony systems in use throughout the organisation is not clearly defined. This is in part due to the fragmentation of telephony services, which have grown organically within institutional departments and in the absence of an overarching strategy. Work is urgently required to fully document the features and life expectancy of all components in use, in order to understand the current risk, future demand, and to inform any future business case for investment.</p> <p>4.4 The marketplace for hosted, fully-featured telephony systems, is now very competitive. There is potential for savings</p>
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	and increased service resilience by moving to a fully hosted system.
5. Brief description of project	<p>5.1 Engage with an independent expert to audit telephony systems throughout the organisation to understand all telephony systems and fully document the features and life expectancy of all telephony components.</p> <p>5.2 Engage with independent consultant to gather and document high level telephony business requirements and compare against the capabilities of existing systems. Make recommendations based on business requirements gathering.</p> <p>5.3 Recommendations would be for an up to date modern solution. This would include a consideration of using a 'soft phone' on existing computers to support agile working and collaboration through video and voice conferencing. Other requirements such as Contact Centres to be considered. Recommendations would not be a like for like replacement of existing system.</p> <p>5.4 Procurement of any new system would be for a modern fully hosted solution.</p> <p>5.5 Project would include decommissioning and migration to new system and training as required.</p> <p>5.6 Project Management of implementation of solution will be managed by existing IT Division project management resource.</p>
6. Consequences if project not approved	<p>6.1 Benefits of the IT Transformation programme will not be fully exploited to enable agile working practices based on a modern integrated, telephony system. This includes mobile and home working, as well as enhanced business continuity.</p> <p>6.2 The existing system will become end-of-life summer 2019 and service performance and reliability issues will require a new service to be procured at some point in the next few years.</p>
7. SMART Project Objectives	<p>Following the completion of the audit exercise it will be possible to define more gradual business benefits. These will be set at Gateway 3/4.</p> <p>Typically, these could be reducing operating costs, lower call charges, and softer benefits such as agile working, and enhanced collaboration with partners.</p>
8. Key Benefits	8.1 Potential savings due to benefits of IT Transformation programme being fully exploited through integration with Skype for Business, enabling greater agility for users with use of video

	<p>and voice conferencing contributing to reduction in travel, and contributing to carbon reduction.</p> <p>8.2 Non-financial benefits due to integration of office-based desktop users with remote and mobile workforce, for telephone and video conferencing, and document collaboration.</p> <p>8.3 Potential for significantly improved communication and collaboration with key business users, residents, key partners, suppliers and other agencies.</p> <p>8.4 Potential for improved service resilience provided by hosted telephony system.</p> <p>8.5 An up to date hosted telephony service would shift costs from capital & revenue to revenue only.</p>
9. Project category	7a. Asset enhancement/improvement (capital)
10. Project priority	B. Advisable
11. Notable exclusions	11.1 To be agreed once audit and requirements work completed.

Options Appraisal

12. Overview of options	<p>12.1 Subject to the outcome of the system audit and agreement of business requirements;</p> <ol style="list-style-type: none"> 1. Partial or full upgrade of existing Mitel system 2. Procure a new hosted service 3. Do nothing/defer change until a future date
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Project Planning

13. Delivery Period and Key dates	<p>Overall project: 12 months, completion before December 2019</p> <p>Key dates:</p> <p><i>Dec 2018 - Procurement completed</i></p> <p><i>Mar 2019 - Completion of system audit</i></p> <p><i>June 2019 -High Level Business Requirements defined</i></p> <p><i>July 2019 – high level design & build</i></p> <p><i>Summer 2019 – Implementation & transition</i></p> <p>Other works dates to coordinate:</p> <p>IT managed service sourcing plan</p>
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14. Risk implications	Overall project risk: Medium
15. Stakeholders and consultees	<p>15.1 IT Strategy Group</p> <p>15.2 Chief Officer Group</p> <p>15.3 City Procurement</p> <p>15.4 This is a corporate project impacting the whole of the organisation. Working Group to be set up to include representatives from all Business areas.</p>

Resource Implications

16. Total estimated cost	Likely cost range: £250k to £5m											
17. Funding strategy	Choose 1: Partial funding confirmed	Choose 1: Internal - Funded wholly by City's own resource										
	<table border="1"> <thead> <tr> <th>Funds/Sources of Funding</th> <th>Cost (£)</th> </tr> </thead> <tbody> <tr> <td>IT Capital Provision</td> <td>£50k</td> </tr> <tr> <td>Internal staff costs for IT Project Management funded by existing local risk budgets.</td> <td>£10k</td> </tr> <tr> <td>Total</td> <td>£60k</td> </tr> <tr> <td></td> <td></td> </tr> </tbody> </table>		Funds/Sources of Funding	Cost (£)	IT Capital Provision	£50k	Internal staff costs for IT Project Management funded by existing local risk budgets.	£10k	Total	£60k		
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Total	£60k											
<p>The initial funding of £50k is within the current allocation of the IT Capital Programme. The requested £50k is underspend and subject to RASC approval.</p> <p>The full cost of the preferred solution will be brought back at the next gateway and is subject to a separate Committee report as part of the medium-term financial plan.</p>												
18. Investment appraisal	<p>Financial appraisal to be carried out by considering payback period of telephony solution.</p> <p>Non-financial benefits through increased use of agile working practices.</p>											
19. Procurement strategy/Route to Market	<p>City Procurement have been involved with this project. Once the system audit has taken place and the results analysed City Procurement will work with the project team and IT Category</p>											

	Board to arrive at a suitable recommendation. This will be reported at Gateway 3
20. Legal implications	None
21. Corporate property implications	None
22. Traffic implications	None
23. Sustainability and energy implications	None
24. IT implications	Meets objectives set out in IT Strategy
25. Equality Impact Assessment	An equality impact assessment will be undertaken where required.
26. Data Protection Impact Assessment	The risk to personal data is less than high or non-applicable and a data protection impact assessment will not be undertaken

Contact

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Telephone Number	020 7332 1336

Appendix 1 – UC Project Briefing

Project identifier			
[1a] Unique Project Identifier	<A unique project number will travel with the project, and will incorporate a Department lead, within. Will be generated via Project Vision>	[1b] Departmental Reference Number	1194
[2] Core Project Name	Unified Communications		
[3] Programme Affiliation <i>(if applicable)</i>	IT Transformation Programme Phase 2		

Ownership	
[4] Chief Officer has signed off on this document	Peter Kane, Chamberlain
[5] Senior Responsible Officer	Sean Green, IT Director
[6] Project Manager	Janet Baker, IT Project Manager

Description and purpose
[7] Project Mission statement / Elevator pitch
The current state of telephony systems in use throughout the organisation is not clearly defined. Work is required to fully document the features and life expectancy of all components in use, to understand the current risk, future demand, and to inform any future business case for investment in a replacement or enhancement of existing systems
[8] Definition of Need: What is the problem we are trying to solve or opportunity we are trying to realise (i.e. the reasons why we should make a change)?
Currently, the benefits of the IT Transformation programme will not be fully exploited to enable agile working practices based on a modern integrated, telephony system. The existing system will become end-of-life and to avoid service performance and reliability issues, a new service will need to be procured before summer 2020. Modern telephony systems can now be delivered via remotely hosted (cloud-based) service providers. This project will identify business requirements and examine options for future service provision.
[9] What is the link to the City of London Corporate plan outcomes?
[11] Our spaces are digitally and physically well-connected and responsive. [12] Our spaces inspire excellence, enterprise, creativity and collaboration. [13] [17 COLP] To have an innovative, skilled and agile workforce in a culture that supports and empowers our people.
[10] What is the link to the departmental business plan objectives?
A modern hosted telephony system meets the principals set out in IT Strategy to buy services provided across the internet rather than increased cost of attempting to retain complex in-house IT

infrastructures.

[11] Note all which apply:

Officer: Project developed from Officer initiation	Yes	Member: Project developed from Member initiation	No	Corporate: Project developed as a large-scale Corporate initiative	Yes
Mandatory: Compliance with legislation, policy and audit	No	Sustainability: Essential for business continuity	Yes	Improvement: New opportunity/ idea that leads to improvement	Yes

Project Benchmarking:

[12] What are the top 3 measures of success which will indicate that the project has achieved its aims?

- 1)
Upgrade telephony infrastructure through procurement of a modern hosted telephony system that meets business requirements.
- 2)
Modern telephony system to enable collaboration and Agile working across the organisation.
- 3)
Hosted telephony system to reduce costs as support of outdated systems and technology no longer required.

[13] Will this project have any measurable legacy benefits/outcome that we will need to track after the end of the 'delivery' phase? If so, what are they and how will you track them? (E.g. cost savings, quality etc.)

Lower call costs.

[14] What is the expected delivery cost of this project (range values)[£]?

Lower Range estimate: £250k
Upper Range estimate: £1.5m

[15] Total anticipated on-going revenue commitment post-delivery (lifecycle costs)[£]:

A full TCO model will be produced at the subsequent gateway, informed by the data generated through the Gateway 1/2 process.

[16] What are the expected sources of funding for this project?

Capital programme – IT Provision

[17] What is the expected delivery timeframe for this project (range values)? Are there any deadlines which must be met (e.g. statutory obligations)?

Lower Range estimate: start – August 2020
Upper Range estimate: start – 12 months, completion before October 2019
Existing system will become end of life summer 2019

Project Impact:

[18] Will this project generate public or media impact and response which the City of London will need to manage? Will this be a high-profile activity with public and media momentum?

No but will have considerable internal impact

[19] Who has been actively consulted to develop this project to this stage?

Chamberlains: Finance	Officer Name: Philip Gregory
Chamberlains: Procurement	Officer Name: David Scott
IT	Officer Name: Kevin Mulcahy
<p>[20] Is this project being delivered internally on behalf of another department? If not ignore this question. If so:</p> <p>Please note the Client supplier departments.</p> <p>Who will be the Officer responsible for the designing of the project?</p> <p>If the supplier department will take over the day-to-day responsibility for the project, when will this occur in its design and delivery?</p>	
Client	Department:
Supplier	Department:
Supplier	Department:
Project Design Manager	Department:
Design/Delivery handover to Supplier	Gateway stage: <Before Project Proposal>, <Post Project Proposal>, <Post Options Appraisal>, <Post Detailed design>, <Post Authority to start work>

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Committee(s)	Dated:
IT Sub-Committee – For Information	2 nd November 2018
Subject: IT Division – IT Service Delivery Summary	Public
Report of: The Chamberlain	For Information
Report author: Matt Gosden Deputy IT Director	

Summary

IT Service performance has been good for both the City of London Corporation and City of London Police.

- There were no P1 incidents for the Police, but there were 3 P1 incidents for the Corporation.
- There were 3 P2 incidents for the Police and 7 P2 incidents for the Corporation.
- The Net Promoter Score average for the City of London Corporation for the last 3 months is 65. Any score over 50 is considered very good.
- 93% of users who completed the customer satisfaction survey following contact with the City of London Service Desk reported a good or very good experience.
- 100% of users reported a good or very good experience of the City of London Police Service Desk.
- City of London IT have instigated a piece of work to clearly define roles, responsibilities and SLAs for power resilience and management and to perform an audit of the Uninterrupted Power Supply (UPS) in the estate to provide recommendations and options for replacement and ongoing support.

Recommendations

Members are asked to note this report

Main Report

Service levels and exceptions

1. City of London Police (CoLP)

P1 incidents

None to Report

P2 Incidents

There were 3 P2 incidents

Affected Service	Reason	Resolution
Blackberry Outage	Blackberry was unavailable for approaching 29 hours due to a 3 rd party Virgin Media Cisco router being down due to a Power Failure	Power restored. Router issue resolved.
Network outage GYE	A Power Failure caused the network and wifi to be unavailable to GYE 4 th floor for just over 3 hours	Failed UPS, Field implemented a temporary solution by plugging the switch into an extension lead, facilities resolved the underlying fault with the UPS.
Pronto not loading data into Niche	3 rd party high memory utilisation caused intermittent performance issues when uploading from Pronto to Niche for a period of 7:50 hours.	3rd Party - Airwaves resolved the issue; the Pronto Hub Web Service was restarted reducing the Java Platform RAM usage and bringing the memory utilisation into a safe range.

2. City of London (CoL)

P1 incidents

There were 3 P1 incidents

Affected Service	Reason	Resolution
City People	City People was unavailable for 2 hours and 39 minutes due to a fault in a switch in the IaaS datacenter. The switch was taken out of service. This was resolved outside of SLA as it was not a complete failure that would have triggered an automatic failover, and hence took time to investigate and diagnose.	Device Replaced
Internet access and remote site connectivity	Air conditioning failure in GJR (8 hours, 30min) All network services in Barbican Estate Office and Barbican Library e.g.	Air conditioning repaired

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	phones, email, intranet, internet were unavailable.	
Gower	Gower was unavailable (1 hour 1 min)	Application restarted

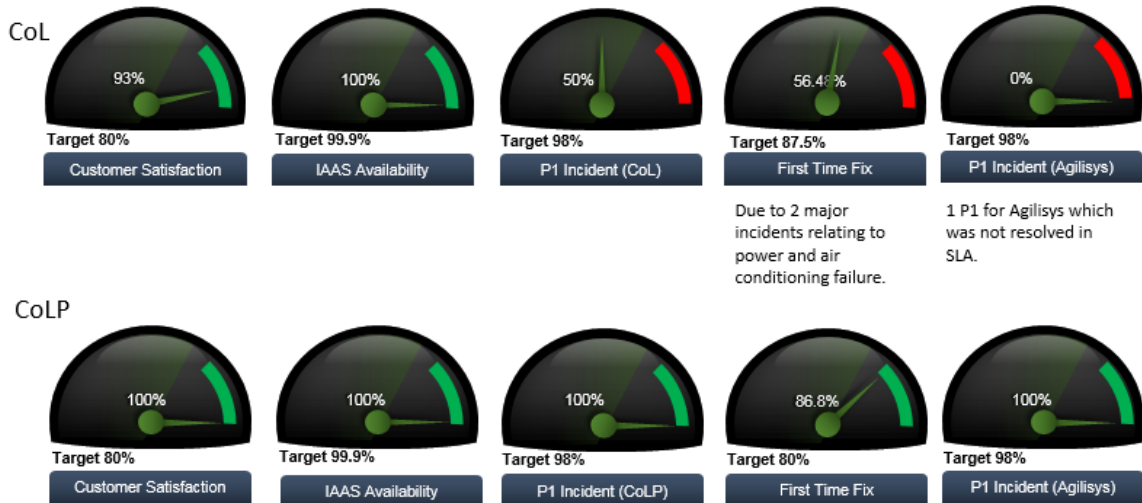
P2 Incidents

There were 7 P2 incidents

Affected Service	Reason	Resolution
COTAG (Card Entry Management System) failure	Network transformation	3 rd party ACE Migrated to new infrastructure
COL website	Website DDoS attack (1 hour); website was intermittently unavailable	Automatic systems diagnosed the attack and blocked the source
Outlook at London Councils	London Councils Outlook (8 hours 6 min); users were unable to access on-prem Exchange but were able to access O365.	Servers LCFS2 and LCFSP2 were up and running, however they required a further reboot to resolve the outlook connectivity problem
Public Network at Artizan Library	Pubnet was unavailable at Artizan Street Library (2 hours 28 min)	Tekpool resolved by making a configuration change.
Main telephone number for HARC	HARC phone lines (0 hours 25 min); incoming calls on the main line not working, outgoing calls were working.	Power restored to failed UPS
Outlook at London Councils	London Councils Outlook (1 hour 6 min) Users were unable to access on-prem Exchange but were able to access O365.	A firewall policy was added to allow RDS servers to route out via the proxy
Internet access and remote site connectivity	Air conditioning system issues in GJR Datacentre.	AC device repaired.

3. With regards to the P1 Incident (CoL) the breach was due to the GJR Datacentre Air conditioning failure. The completion of the GJR exit programme in December will remove the reliance on this air conditioning system.
4. With regards to the First Time Fix although Agilisys brought in additional staff into the Service Desk to cope with the unusually high number of calls due to the serious impact of the air conditioning failure this impacted the ability to fix calls on the phone. The service contract for the air conditioning and SLA will be reviewed with the CoL Facilities Management team.
5. With regards to the P1 Incident for Agilisys there was only 1 P1 for the month quicker triage and diagnostics will prevent a reoccurrence.
6. Service performance summary is detailed in the dashboard below.

Gauges to monitor performance – Sept 2018



Service improvements

7. Police Improvements include:

- CoLP are reviewing a proposal from Agilisys for a contract change to add Blackberry support to the 24/7 critical applications list.
- CoLP are reviewing a proposal from Agilisys for a contract change to bring MS SQL into 24/7 support for ANPR, PNC and Blackberry applications.
- Agilisys are recommending to CoLP that the Holmes application (required by the Casualty Bureau for managing major incidents) is added into the Critical Applications list to ensure 24 x 7 support and Agilisys are also reviewing a request from CoLP to provide 24/7 support for Pronto accounts.

8. Corporation:

- A kick off meeting was held in September to begin planning on options for Agilisys to provide a proof of concept on migrating data/services/Applications from our compute and storage environment IaaS to an Azure platform.
- Critical data from the storage network in London Metropolitan Archive was migrated to IaaS, removing the risk posed by aged and unstable hardware.
- A review of the Memorandum of Understanding between the Chamberlains (IT) and City Surveyor is underway and will include an updated policy for the management of Communications rooms, an agreed SLA for their power provision and environmental controls.
- IT in discussion with Facilities to scope the installation of additional, resilient power in key Communications rooms including upgrading Uninterruptable Power Supply (UPS) where required.

Other Service Improvements

9. The managed service contract between for 24x7 Network monitoring and support for the City of London and City of London Police with Freedom/Agilisys/Roc went live on the 1st of September.
10. Agilisys was successfully recertified to ISO27001 in City of London and City of London Police. This is the widely recognised standard for the Information Security Management Systems.

Outlook Cached Addresses

11. There was an issue reported to IT that Members were stilling getting documents from Officers sent to the private email address and not their City of London Corporation email address. The update on this issue is detailed below:
 - The Outlook's Auto-complete feature is designed for the convenience of sending an email. It uses an internal Outlook algorithm to scan the Global Address List (GAL) and the user's contacts and any manually typed address and makes suggestions when the user starts typing.
 - This can be switched off completely, however not selectively, for example it cannot be restricted to only internal Corporation addresses.
 - For most outlook users the feature is convenient and saves the requirement of looking up email addresses for regular contacts.
 - The impact of turning this feature off would give the user only the ability to select from GAL or contacts and not type in a name and have Outlook complete it for them. There are 3rd party utilities which will clear external addresses from autocomplete on a schedule e.g. daily, weekly etc. These would incur a cost though and an added layer of complexity on top of Outlook, which we would not recommend unless it can be restricted to a small number of users.
 - IT have enabled a warning enabled - if a user has an external email address in the To/CC/BCC box, Outlook will warn them of this.
 - This issue is best managed by regular communications to staff who have most contact with Members to make them aware and ask them to consciously select the Members email details from the GAL.

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Committee(s)	Dated:
IT Sub-Committee – For Information	15 th June 2018
Subject: IT Division Risk Update	Public
Report of: The Chamberlain	For Information
Report author: Samantha Kay – IT Business Manager	

Summary

All IT Risks are now in the Risk Management System, with mitigation actions included. The IT Division currently holds 9 risks, a decrease of two from the previous period. There are currently no RED risks. There are no extreme impact risks, there are 4 major impact, 5 serious impact and no Minor impact risks. IT currently holds 1 risk on the Corporate Risk Register, whilst feeding in to the GDPR Corporate risk which is owned by Comptrollers.

Summary of the Corporate Risks

CR 16 – Information Security - This risk will remain at Red until January 2019 when key security projects will be completed, and the 10 Steps maturity model has reached a maturity level of 4.

CR-25 – General Data Protection Regulation –

Progress on high risk areas identified in the Mazars audit:

- Significant progress has been made toward facilitating departmental compliance with GDPR requirements
- Significant progress has been made toward ensuring contractor compliance with GDPR requirements
- An overarching CoL retention schedule is in place and 75% of departments have responded with detailed retention schedules.
- The management of unstructured data constitutes a significant GDPR compliance risk. Four potential suppliers have been identified

Recommendation(s)

Members are asked to:

- Note the report.

Main Report

Background

1. Risk remains a key focus for the IT Division and we are continuing to ensure that it drives the priority for project works and Change Management decisions. Regular reviews will ensure the ongoing successful management of these risks across the division

Current Position

2. The IT Division Currently holds 1 Amber risk on the Corporate Risk Register and assists to mitigate one other Amber Corporate Risk. The IT Division currently holds 9 risks, none of which are scored as Red. All risks have owners, clear actions, with target dates to enable focussed management, tracking and regular and consistent reviews.

Current status

3. Since the last report the IT Risk Register has seen the following activity:
 - 3 Additional risks have been identified
 - 1 Risk has increased in score
 - 1 Risk has reduced in score
 - 4 Risks have been reduced from Departmental to Divisional level.

The remainder are static and continue to be monitored alongside the relevant on-going projects.

Risks with Score Changes

4. New Risks

- **CHB IT 023 – IT Procurement Waivers** – Initially identified as an amber risk, mitigating actions have been completed reducing the score to a green – this will remain as green on the register to ensure continuous review.
- **CHB IT 024 – IT Service Provision** – Following the downgrading of the Corporate Risk for IT Service Provision this risk was established as a departmental risk, however following a more detailed review the mitigating actions were covered at a more detailed level across other departmental risks. Therefore, this risk will be deactivated.
- **CHB IT 025 – Management of IT Managed Service Contracts** – This is scored at Amber and highlights the need to ensure that all Managed Service Contracts are managed appropriately to ensure best delivery and commercial value.

5. Score Increases

CHB IT 001 – Resilience - Power & Infrastructure – Increased back to Amber following continual review. The requirements for UPS and tighter access control for Comms rooms have highlighted an increase in the risk

6. Score Decreases

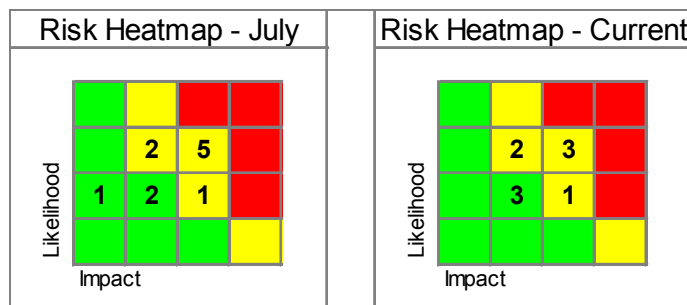
CHB IT 002 – Connectivity – Local and Wide Area Network – Reduced to Green as the new core switches and network has transitioned to live.

7. Risks reduced from Departmental to Divisional Level

The following risks have been reduced to division level due to mitigating actions being completed, and processes implemented to maintain systems going forward.

- CHB IT 003 – End to End System Monitoring
- CHB IT 007 – Target Operating Model
- CHB IT 008 – Hardware Lifecycle Management
- CHB IT 009 – Starters, Movers & Leavers Process

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



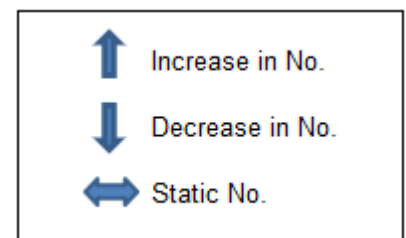
8. Further breakdown of current Division risks:

Major Impact:

Risks with "likely" likelihood and "major" impact:	0	↔
Risks with "possible" likelihood and "major" impact:	3	↓
Risks with "Unlikely" likelihood and "major" impact:	1	↔

Serious Impact:

Risks with "likely" likelihood and "serious" impact:	0	↔
Risks with "possible" likelihood and "serious" impact:	2	↔
Risks with "unlikely" likelihood and "serious" impact:	3	↑



9. Next steps

- Ensuring that IT deal with Risks in a dynamic manner.
- Ensuring all actions are up to date and allocated to the correct responsible owners.
- Ensuring all members of the IT division including suppliers are aware of how Risk is managed within the Corporation and have a mechanism to highlight areas of concern across the estate.

- 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.

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Committee(s)	Dated:
IT Sub-Committee – For Decision Policy and Resources Committee – For Decision	2 nd November 2018 15 th November 2018
Subject: The Digital Declaration	Public
Report of: The Chamberlain	For Decision
Report author: Sean Green – IT Director	

Summary

This report details a national Government initiative that it is recommended the City of London Corporation (CoL) endorses and formally signs up to. This is the UK Ministry for Housing, Communities and Local Government (MHCLG) Local Government Digital Declaration.

The declaration publicly commits the organisation to embrace and develop digital ways of working, digital citizen and business engagement and skills development. There is also an expectation that organisations signing the declaration agree they will collaborate on digital projects sharing skills and knowledge.

In addition, MHCLG have set up a £7.5m fund for local authorities to bid for to develop digital ways of working, citizen engagement and skills development.

Recommendation(s)

Members are asked to:

Agree to recommend to the Policy and Resources Committee that City of London Corporation should sign up to the UK Ministry for Housing, Communities and Local Government (MHCLG) Digital Declaration

Main Report

Background

1. A fund of £7.5m has been set aside by the UK Ministry for Housing, Communities and Local Government (MHCLG) for local authorities to bid for to develop digital ways of working, citizen engagement and skills development. In addition to encouraging collaboration and buy-in to common standards they are asking Local Government organizations across the UK to sign up to the Digital Declaration which many of the London councils have already now completed.

What it means to sign the declaration

2. Signing up to the declaration would affirm CoL's collective ambition for local public services in the internet age, and our commitments to realising it. It would commit us to working on a new scale to:
 - design services that best meet the needs of citizens;
 - challenge the technology market to offer the flexible tools and services we need;
 - protect citizens' privacy and security;
 - deliver better value for money.
3. CoL would be agreeing to the following 5 principles:
 - We will go even further to redesign our services around the needs of the people using them. This means continuing to prioritise citizen and user needs above professional, organisational and technological silos;
 - We will 'fix our plumbing' to break our dependence on inflexible and expensive technology that doesn't join up effectively. This means insisting on modular building blocks for the IT we rely on, and open standards to give a common structure to the data we create;
 - We will design safe, secure and useful ways of sharing information to build trust among our partners and citizens, to better support the most vulnerable members of our communities, and to target our resources more effectively;
 - We will demonstrate digital leadership, creating the conditions for genuine organisational transformation to happen, and challenging all those we work with to embrace this local Digital Declaration.
 - We will embed an open culture that values, incentivises and expects digital ways of working from every member of our workforce. This means working in the open wherever we can, sharing our plans and experience, working collaboratively with other organisations, and reusing good practice.

4. The commitment from CoL's leaders, service managers and politicians will be to:

- Make sure that digital expertise is central to our decision-making and that all technology decisions are approved by the appropriate person or committee. This will ensure that we are using our collective purchasing power to stimulate a speedy move towards change;
- Have visible, accessible leaders throughout the organisation (publishing blogs, tweeting and actively participating in communities of practice), and support those who champion this Declaration to try new things and work in the open;
- Support our workforce to share ideas and engage in communities of practice by providing the space and time for this to happen;
- Publish our plans and lessons learnt (for example on blogs, Localgov Digital slack; at sector meetups), and talk publicly about things that have could have gone better (like the GOV.UK incident reports blog);
- Try new things, from new digital tools to experiments in collaboration with other organisations;
- Champion the continuous improvement of cyber security practice to support the security, resilience and integrity of our digital services and systems.

5. CoL's transformation, information technology and digital teams will:

- Research how to reuse existing user research, service design, common components and data and technology standards before starting to design or procure something new;
- Build capacity in service-design, so that each service we transform is informally tested by our peers against our national service standards where appropriate;
- Where appropriate every new IT solution procured must operate according to the technology code of practice, putting us in control of our service data, using open standards where they exist and contributing to their creation where they don't;
- Share knowledge about digital projects where there is an opportunity for potential reuse or collaboration with others;
- Work together to establish the trust frameworks we need to safely analyse and share personal data. This will allow CoL to better serve our shared customers and reduce the need to ask customers for the same information multiple times;
- Work together to create common solutions that allow us to check people's eligibility for services with central government and others in real time with their consent;
- Take inspiration and ideas from a wide range of sources and participate individually in communities of practice and interest outside the organisation.

Conclusion

6. The digital revolution brings about an unprecedented access to information for better decision making and the capabilities to engage and collaborate with stakeholders across traditional internal and external boundaries.
7. Most local government organisations will sign up to the Digital Declaration as a charter for modernising their organisation.
8. The transparency of this commitment sends a strong message to staff, members, partners and customers.
9. The aim will be to embed digitally enabled working and practices into business as usual.

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The Local Digital Declaration

A common aspiration for the future of
local public services

July 2018

~~Introduction~~

This declaration affirms our collective ambition for local public services in the internet age, and our commitments to realising it. It commits us working on a new scale to:

- design services that best meet the needs of citizens
- challenge the technology market to offer the flexible tools and services we need
- protect citizens' privacy and security
- deliver better value for money

This joint endeavour was initiated by the UK Ministry for Housing, Communities and Local Government (MHCLG), the Government Digital Service (GDS), and a collection of local authorities and sector bodies from across the UK. We invite all local authorities and the organisations we collaborate with to join us by signing the Declaration and committing to deliver a first action from which we can all benefit.

The opportunity

Never before has it been possible to collaborate so effectively, to deliver services across so many boundaries, to interrogate our data so insightfully, to realise such great efficiencies, and to reshape public services for the benefit of all while retaining local sovereignty.

Great work has already been done to transform our services using digital tools and technology. But we have an opportunity to do more.

Our ambition

We want to co-create the conditions for the next generation of local public services, where technology is an enabler rather than a barrier to service improvements, and services are a delight for citizens and officials to use. We know that one size doesn't fit all, but by developing common building blocks local authorities will be able to build services more quickly, flexibly and effectively. Only in this more open and flexible market will we unlock our full potential for innovation.

Our ambition requires both a culture shift and a technology shift, and we've agreed 5 principles to help us do it:

1. We will go even further to redesign our services around the needs of the people using them. This means continuing to prioritise citizen and user needs above professional, organisational and technological silos.
2. We will 'fix our plumbing' to break our dependence on inflexible and expensive technology that doesn't join up effectively. This means insisting on modular building blocks for the IT we rely on, and open standards to give a common structure to the data we create.

3. We will design safe, secure and useful ways of sharing information to build trust among our partners and citizens, to better support the most vulnerable members of our communities, and to target our resources more effectively.
4. We will demonstrate digital leadership, creating the conditions for genuine organisational transformation to happen, and challenging all those we work with to embrace this Local Digital Declaration.
5. We will embed an open culture that values, incentivises and expects digital ways of working from every member of our workforce. This means working in the open wherever we can, sharing our plans and experience, working collaboratively with other organisations, and reusing good practice.

Our commitments

MHCLG will establish a delivery team to support all Declaration co-signatories in realising this ambition. It will play a leadership role within central government, advocating for the approach set out in this declaration. It will work with councils as equal partners to create the tools and conditions for reform, delivering common technical patterns and routes to procurement for core services. And, as part of a collective effort alongside local government networks, it will help local authorities find out about priority projects that support this mission and support the continued growth of the local digital community.

In addition, each co-signatory will commit to the following activities:

Our leaders, service managers, board members and politicians will:

- A. Make sure that digital expertise is central to our decision-making and that all technology decisions are approved by the appropriate person or committee. This will ensure that we are using our collective purchasing power to stimulate a speedy move towards change.
- B. Have visible, accessible leaders throughout the organisation (publishing blogs, tweeting and actively participating in communities of practice), and support those who champion this Declaration to try new things and work in the open.
- C. Support our workforce to share ideas and engage in communities of practice by providing the space and time for this to happen.
- D. Publish our plans and lessons learnt (for example on blogs, [Localgov Digital slack](#); at sector meetups), and talk publicly about things that have could have gone better (like the [GOV.UK incident reports blog](#)).
- E. Try new things, from new digital tools to experiments in collaboration with other organisations.

- F. Champion the continuous improvement of cyber security practice to support the security, resilience and integrity of our digital services and systems.

Our transformation, information technology and digital teams will:

- G. Research how to reuse existing user research, service design, common components, and data and technology standards before starting to design or procure something new.
- H. Build capacity in service-design, so that each service we transform is informally tested by our peers against our national [service standard](#) where appropriate (GDS will be publishing a local-friendly iteration).
- I. Where appropriate every new IT solution procured must operate according to the [technology code of practice](#), putting us in control of our service data, using open standards where they exist and contributing to their creation where they don't.
- J. Share knowledge about digital projects where there is an opportunity for potential reuse or collaboration with others.
- K. Work together to establish the trust frameworks we need to safely analyse and share personal data. This will allow us to better serve our shared customers and reduce the need to ask citizens for the same information multiple times.
- L. Work together to create common solutions that allow us to check people's eligibility for services with central government and others in real time with their consent.
- M. Take inspiration and ideas from a wide range of sources, and participate individually in communities of practice and interest outside the organisation (for example, [LocalGovCamp](#), [OneTeamGov](#), and related networks and events).

Co-publishers



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Committee(s)	Dated:
Information Technology Sub-committee	02/11/2018
Audit and Risk Management Committee	06/11/2018
Subject:	Public
General Data Protection Regulation (GDPR) Audit	
Report of:	For Information
Michael Cogher, Comptroller & City Solicitor	
Report author:	
Michael Cogher, Comptroller & City Solicitor,	

Summary

This report presents the outcome of the internal audit of phase 1 of the Corporation's arrangements for compliance with the General Data Protection Regulation (GDPR) which came into force on 25th May 2018 together with a general update on the phase 2 activities. Oversight of GDPR is the responsibility of the IT Sub-committee and the Audit and Risk Management Committee.

Recommendations

1. Members are asked to note the report.
2. To determine the frequency of further GDPR monitoring reports and in particular in relation to data breaches.

Introduction

1. The EU introduced updated and harmonised data protection regulations known as the General Data Protection Regulation (GDPR) which came into force on 25 May 2018.
2. This Report outlines the steps that the Corporation has taken to ensure that it is GDPR compliant, the findings and recommendations of the internal auditors, Mazars, and the work being undertaken in phase 2 of the GDPR project which commenced on 25th May 2018.

GDPR Project Progress

3. The first phase of the Corporation's preparations for GDPR were completed in advance of the GDPR implementation date of 25th May 2018. In summary these included a review and revision of the Corporation's information governance practices, policies and procedures, privacy notices; training and awareness raising; and ensuring the necessary technical IT and information security systems are GDPR compliant.

4. These tasks were the subject of phase of a detailed project plan overseen by the Information Board and IS Steering Group and delivered by the GDPR Project Team and departmental Access to Information Network Representatives (AIN) and management teams. Member scrutiny and member level decision making was undertaken by the IT Sub-Committee and the Policy and Resources Committee.
5. The Comptroller & City Solicitor was formally appointed by committee as the Corporation's Data Protection Officer (DPO) in November 2017. The role of the DPO is to inform and advise the organization as to its obligations under GDPR, monitor compliance, advise on data protection impact assessments and co-operate and act as a contact point with the ICO. Chief Officers remain responsible for the use and security of personal data held by their departments and institutions.
6. The GDPR implementation project plan covering all tasks required to effectively prepare for GDPR compliance was created in September 2017 and audited by Mazars with a positive outcome and with no minor or major risks to project delivery identified. A further audit was undertaken by Mazars in late May 2018 to assess the Corporation's readiness and levels of compliance with GDPR requirements. The Mazars audit adjudged the Corporation to be 'materially compliant with GDPR requirements', the GDPR Project Team found the findings of the Mazar's report to be broadly accurate, some of the recommendations had already been incorporated into the GDPR phase 2 project plan. The GDPR Project Team responded to Mazar's report and a final draft was received from Mazar's in October 2018 (Appendix 1) with a reduced number of high priorities based on feedback from the GDPR Project Team. The auditor's recommendation and the management response are set out in Appendix 1, pages 7 to 14 of the report.
7. Phase two GDPR project which runs from 25 May 2018 to 31 December 2018 aims to further embed and refine GDPR knowledge and compliance across the Corporation with the following priority areas:
 - Reviewing third party contracts for GDPR compliance (considered high priority by Mazars).
 - Reviewing and refining the overarching Corporation records retention policy and developing detailed departmental records retention policies (considered high priority by Mazars).
 - Auditing departmental compliance with GDPR requirements, advising and further embedding GDPR compliance as business as usual (considered low priority by Mazar's but viewed as critical to GDPR compliance by the GDPR Project Team).

GDPR Departmental Self-audit Monitor

8. Mazar's identified 'that there is a risk that implementation of tasks may not be sufficiently monitored in departments'.

9. To further embed GDPR as standard operational practice in departments a GDPR Self-Audit Monitor has been developed covering the key elements required for GDPR compliance (Appendix 2) for the departments which process large volumes of personal data and this was issued for completion by AIN representatives in Departments with a deadline of 31 October 2018. Once completed and returned the C&CS Information Team will undertake audits and advise AIN representatives on risk areas that require rectification and on how greater levels of compliance can be achieved. Progress and identified high risk areas will be reported to the Data Protection Officer, and where required IT Sub-committee and the Audit and Risk Management Committee.
10. Detailed guidance tailored to departments is on-going and will continue as department specific GDPR issues and risks arise particularly from the departmental compliance audits.

Third Party Contractors

11. This is an area rated as high priority by the Mazar's audit. The standard data protection clause was revised and has now been incorporated in all new contracts. All existing contractors received a written request for a response to confirm that they are GDPR compliant. 20 departments have been asked to complete a Contracts Register for live contracts with third parties who process personal data on behalf of the City of London Corporation, as a data controller. This register is used to identify key requirements of the GDPR for 3rd parties - if sub-processors are used, if procurement data protection schedules are in place and whether a Data Protection Impact Assessment is required. Of the 20 departments, 8 (40%) have completed the register, 5 (35%) confirmed they do not have such contracts and 7 (25%) departments are still working on the register.
12. A deadline of 31st October 2018 was issued to departments for the completion of and return of this register. The GDPR team will review the returns and determine any further action required (Appendix 3).

Records retention policy and schedules

13. The perceived lack of a record retention schedule was rated as a high priority in the Mazar's audit. The position across the Corporation remains mixed, with some areas of good practice and others needing improvement. The existing model records retention policy and schedule originally devised by the LMA was reviewed, revised and re-issued on the intranet. Departments were requested to complete a more detailed records retention schedule and 64% have done so thus far. Further, 14% of record retention schedules are currently work in progress and 22% of departments have not yet submitted a schedule (Appendix 3).

Information governance

14. Information governance was rated as low risk by the Mazar's report.

15. GDPR Corporate Risk CR 25 was created, agreed by Audit & Risk Committee and continues to be actively management, monitored and reported to both the Corporate Risk Management Group and to committee. The CR 25 Risk report is attached as (Appendix 5).
16. Project delivery is controlled at bi-weekly Project Team stage control meetings which monitor progress, capture GDPR issues and risks, assess required changes and associated corrective action and allocate work packages. The Project Team reports to the Information Board and IS Steering Group, additionally update reports and revised policies are reported to Policy & Resources and Establishment Committees and to IT sub-committee.
17. Regular liaison with IT workstreams is taking place which are reported to the GDPR Project Team for action and to the Information Board.

Training and communication

18. Six half day training sessions for AIN representatives and key staff were by the Comptroller & City Solicitor and Senior Information Compliance Officer all AIN representatives have undertaken the initial training. Further focused training has been provided to the HR Department, Remembrancer's Events Team, EDO. Quarterly AIN representatives' training and networking events have commenced with the first session taking place on 5th October 2018.
19. Five training sessions for Members were delivered, and member guidance substantially revised to incorporate GDPR requirements, template forms issued including RoPA, Privacy notices.
20. A mandatory GDPR e-learning training package was launched on City Learning on 23 April 2018 compliance levels were monitored by the Data Protection Officer and reported to Chief Officers current take up is over 94% (Appendix 4).
21. The GDPR corporate communications plan was agreed with the Communications Team and launched on 8 May 2018, further communications drives will be scheduled.
22. An initial GDPR intranet page has been updated to include guidance, news, policies, procedures, the relevant forms and FAQ's. This will further be updated in due course.

Data Privacy Impact Assessments

23. A data Privacy Impact Assessment template was developed and tested on the corporate CRM project and has now been refined, adopted and incorporated into the corporate project management toolkit and Corporate procurement process.

Policies

24. GDPR related policies have been revised to incorporate GDPR requirements including Employee Data Protection Policy, Data Protection Policy, Data Subject Rights Policy, Pupil and Parent Data Protection Policy, Data Breach Policy, Appropriate use of IT Policy, Information Security Policy, Storage of Data Policy, System Vulnerability Scanning Policy, Security Patching Policy and Procedure.
25. All staff will be required to re-read the key policies to refresh their knowledge and a MetaCompliance tracking tool will be used to monitor this.

Information Technology Systems

26. Requests for Tender have been sent to 4 potential providers of a software discovery tool which would be used to identify where personal data is stored at risk across the entire IT estate. Costs are required to assess the level of funding required.

Data Breaches

27. Under GDPR there is a duty to notify the ICO of data breaches posing a risk to individuals rights within 72 hours (where feasible) of becoming aware of the breach. Where there is a high risk to data subjects they must also be informed.
28. Since 25th May there have been 23 breaches notified to the DPO. A number of these related to pre-GDPR breaches. 5 were judged to be notifiable to the ICO. The ICO has responded to 3 indicating no action will be taken.
29. Of the 5, two related to mechanical problems with payslips/P60s, one to a misdirected email, one to a phishing attack and one to insecure use of post. In all cases Departments have been advised of appropriate steps to be taken to prevent future occurrences. Data subjects were notified in 4 cases.
30. The breach notification policy has been revised to provide that the Town Clerk, relevant Chief Officer(s), the Chairman of the IT Sub-committee and the relevant service committee Chairmen are notified of breaches notified to the ICO.
31. Members may wish to receive separate and more detailed reports, for example on a six-monthly basis, on data breaches.

Conclusion

32. GDPR places significant obligations on the Corporation in relation to the processing of personal data to protect the rights and freedoms of everyone.

33. The GDPR project has made significant progress, baseline compliance with GDPR requirements was achieved in May 2018 further work undertaken has reinforced and enforced compliance with GDPR requirements across departments. A further external audit during 2019 to measure levels of compliance across the Corporation will be considered in due course.

Appendices

1. Mazars Audit Report with management responses
2. Self-Audit Monitor Template and 2a. Guidance
3. Summary of completed Records Retention Schedules and Third-Party Contracts
4. Table: Departments completion of the Data Protection E-Learning Programme, as of 3 October 2018.
5. Pentana Report Risk

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Report to:



GDPR Project Review

2 October 2018

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Status of our reports

This report (“Report”) was prepared on the basis of the limitations set out in Appendix 6 by Mazars LLP at the request of City of London Corporation (CoL) and terms for the preparation and scope of the Report have been agreed with them. The matters raised in this Report are only those which came to our attention during our work. Whilst every care has been taken to ensure that the information provided in this Report is as accurate as possible, Mazars have only been able to base findings on the information and documentation provided and consequently no complete guarantee can be given that this Report is necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required.



Executive Summary

Background

The City of London Corporation (CoL) provides services such as environment protection, housing, council tax, children and adult social care, to a residential population of approximately 8,000 people. There are however over 400,000 people that commute into the City every day for work and over 10 million visit as tourists every year.

At the request of the CoL, Mazars LLP has undertaken a review of their GDPR Project Plan for the introduction of, and compliance with, the General Data Protection Regulation (GDPR) legislation.

Adopted in April 2016 by the European Union, the GDPR came into effect on 25th May 2018. The legislation is intended to strengthen data protection rights for individuals within the EU.

This legislation also applies to organisations outside the EU that offer goods or services to individuals within the EU. The UK government has confirmed that the UK's decision to leave the EU will not affect the commencement of the GDPR.

Article 5 of the GDPR requires that personal data shall be:

- Processed lawfully, fairly and in a transparent manner in relation to individuals;
- Collected and used for specified, explicit and legitimate purposes;
- Adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;
- Accurate and, where necessary, kept up to date (including taking every reasonable step to ensure inaccuracies are erased or rectified);
- Kept in a form which permits identification of data subjects for no longer than necessary (for the purposes of which the personal data is being processed). This includes not storing information for longer than necessary; and
- Processed in a manner that ensures appropriate security over the personal data.

Leading up to May 2018, the CoL has engaged with Mazars to undertake a review of their GDPR Project Plan and a high level overview of the CoL's data privacy governance, to assess the current preparations for compliance.

The ICO's 12 steps guidance includes processes that should already be in place (to comply with the Data Protection Act 1998):

1. **Awareness:** You should make sure that decision makers and key people in your organisation are aware that the law is changing to the GDPR. They need to appreciate the impact this is likely to have.
2. **Information you hold:** You should document what personal data you hold, where it came from and who you share it with. You may need to organise an information audit.
3. **Communicating privacy information:** You should review your current privacy notices and put a plan in place for making any necessary changes in time for GDPR implementation.

4. **Individuals' rights:** You should check your procedures to ensure they cover all the rights individuals have, including how you would delete personal data or provide data electronically and in a commonly used format.
5. **Subject access requests:** You should update your procedures and plan how you will handle requests within the new timescales and provide any additional information.
6. **Lawful basis for processing personal data:** You should identify the lawful basis for your processing activity in the GDPR, document it and update your privacy notice to explain it.
7. **Consent:** You should review how you seek, record and manage consent and whether you need to make any changes. Refresh existing consents now if they don't meet the GDPR standard.
8. **Children:** You should start thinking now about whether you need to put systems in place to verify individuals' ages and to obtain parental or guardian consent for any data processing activity.
9. **Data breaches:** You should make sure you have the right procedures in place to detect, report and investigate a personal data breach.
10. **Data Protection by Design and Data Protection Impact Assessments:** You should familiarise yourself now with the ICO's code of practice on Privacy Impact Assessments as well as the latest guidance from the Article 29 Working Party and work out how and when to implement them in your organisation.
11. **Data Protection Officers:** You should designate someone to take responsibility for data protection compliance and assess where this role will sit within your organisation's structure and governance arrangements. You should consider whether you are required to formally designate a Data Protection Officer.
12. **International:** If your organisation operates in more than one EU member state (i.e. you carry out cross-border processing), you should determine your lead data protection supervisory authority. Article 29 Working Party guidelines will help you do this.

Purpose of Review

The objective of the review is to provide an independent, objective opinion on the Col's GDPR Project Plan and data privacy governance taking into account the implementation in progress.

Scope of Review

- Assessment of plans in place to address GDPR, including identifying responsibility for ensuring that all areas are covered and no gaps are left leading up to the implementation of the new rules;
- Overview of the main areas of risk in relation to the new GDPR regulation; and
- Assessment of general awareness amongst staff in relation to the new regulation.

The Terms of Reference for this review are included in Appendix 5.

Key Findings

Priority	Number of recommendations
HIGH	2
MEDIUM	0
LOW	5
TOTAL	7

Summary of the issues identified as a result of our work

The CoL has achieved material compliance with GDPR, as they have all the necessary measures in place and are in progress of becoming fully compliant (please see 'Good Practices' section below), once all the below points have been fulfilled.

- The review of third party contracts has not been fully completed but there has been good progress to address these sufficiently i.e. contractual clauses for data sharing;
- A final retention policy has not been implemented, although this is currently under review. Furthermore, a formal review of all data stored on computer network drives is required, with the help of proposed diagnostic tools;
- The GDPR Project team and the Access to Information Network (AIN) representatives (reps) have worked and coordinated successfully on implementations tasks; however, the going use of the AIN reps should be regularly reviewed to confirm that their continued use meets the expected requirements;
- A mini gap analysis and follow-up audit is beneficial to ensure the tasks are completed and identify any remaining aspects of the GDPR implementation;
- There is ongoing 'Business As Usual' support by the Governance team to continue with GDPR compliance, alongside engagement with the AIN reps who monitor and support departments. The GDPR e-learning course suggests engagement; however, the remaining 6% out of the 94% completion should be identified in order to establish if they are active staff or not;
- Additional resourcing may be needed to embed compliance more actively in some departments, this could be utilised from the GDPR Project team.

Full compliance can be achieved within the organisation once all the above points have been completely accomplished. In particular the review of all data and successfully updating all third party contracts.

Within the overall findings, two 'high' and 5 'low' recommendations were identified during the course of the review. The rating definitions are outlined in Appendix 4.



Good Practices Identified

Areas of good practice / compliance identified during the review

During the course of this review, a number of good practices were identified, as follows:

- A phase two project plan is in place, which includes:
 - Designing a structured job role for the AIN reps;
 - Updating all third party contracts;
 - Follow-up training sessions, communications and reporting;
 - A mini gap-analysis and a follow-up audits across departments;
 - A final retention policy and diagnostic software (sniffing tool) to be enforced; and
 - Investigation tools and meta compliance tools to assess compliance.
- The GDPR project will continue to embed compliance within phase 2 of the implementation and address all key issues, which will run until the 31 December 2018. The Comptroller and City Solicitor was appointed as the Data Protection Officer (DPO) in September 2017. The DPO is of a legal background and is aware of the importance of GDPR compliance. The DPO has good support from senior staff members.
- The training plan indicates that 94% of staff have completed the training. They are keen to get this figure up to the full 100% and identify who the remaining 8% are against active staff.
- A final retention policy is being considered in order to build a formal review of data, which will be come into force in phase two of the implementation.
- There are AIN's reps within the organisation who are responsible for GDPR implementation tasks in their respective departments. They coordinate with the GDPR Project team to support and encourage compliance throughout departments.
- Since our initial review CoL has demonstrated substantial progress on key areas by taking into account our recommendations, particularly in relation to the size of the organisation.

Findings and Recommendations

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Ref	Finding	Recommendation	Management responses	Priority
1	<p>Reviewing third party contracts</p> <p>The reviewing of existing third party contracts has not been fully completed in compliance with the GDPR, particularly contracts with suppliers to ensure data sharing is consistently compliant. It is, however, noted that good progress is being made on the review of third party contracts, in particular updating contractual clauses and data sharing agreements which are yet to be finalised.</p> <p>These contracts must be amended before transferring data to third parties. Moreover, an assessment of contracts that are high risk also need to be completed, by identifying where CoL are controllers or processors, where applicable and taking into account the relevant lawful basis for processing.</p>	<p>The review of the third party contracts requires immediate action if data is transferred between third parties, particularly those that are of high risk where CoL is the data controller and those with suppliers. However, we are aware this is a core focus within phase two of the implementation and it should be flagged as vital to continue processing compliantly.</p> <p>Distinction between where COL is a data controller and data processor is also necessary to determine the responsibility.</p>	<p>Departments have been collating a standard format Contracts Register for live contracts with third parties who process personal data on behalf of the City of London Corporation as a data controller. This has been a time-consuming exercise and progress has been made with 66% of departments in scope submitting returns. A progress report was sent to Chief Officers on 16.10.18 and will be further reported in the GDPR progress report to IT-sub committee on 02.11.2018.</p> <p>When all returns are received, a Corporate Register of contractor GDPR compliance will be created exceptions and non-responses will be reported to Chief Officers for rectification.</p> <p>Responsibility: Departmental Managers supported by departmental AIN reps and the C&CS Information Compliance Team</p> <p>Target Implementation Date: 31 December 2018</p>	<p>High</p>

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Ref	Finding	Recommendation	Management responses	Priority
2	Retention policy			
	<p>A final records retention schedule has not been implemented, which is particularly concerning considering the vast amount of information stored. Although there is a generic records retention policy that forms the basis of the final version this has not yet come into force; it is noted at the time of audit, however, that progress has been made in terms of departments reviewing their own retention schedules as part of the final one.</p> <p>In addition to this, a formal review of the data stored both physically and electronically is necessary to identify what information needs to be retained or deleted. The concerns are around unstructured data, and the 'W Drive' is an example of a server that has a vast amount of information. The Information Management team is encouraged to review and manage the data stored on network drive. Based on the interview with the Deputy IT Director, we understand that this can be achieved using diagnostic software known as 'Sniffing Tools'. The IS team is also investigating tools to identify and manage all unstructured data to ensure compliance with GDPR. Although this is a grey area that has not yet reached full compliance there are good measures in place to satisfy this going forward.</p>	<p>CoL should ensure that the final retention schedule is put into place rapidly, in order to ensure all staff are aware of how long they should potentially keep their physical and electronic data for.</p> <p>A data cleanse or destruction review is essential in managing data throughout the organisation, in order not to keep information 'for longer than is necessary', particularly if the purposes it was collected for has been completed. This will be deemed unnecessary as there is unlikely to be a lawful basis for retention. Ensuring that data is either erased or anonymised when you no longer require it will reduce the risk of it becoming irrelevant, excessive, inaccurate or out of date. This will help comply with the data minimisation and accuracy principles under the GDPR.</p> <p>This should be accessed immediately and followed up on an annual basis, with help from the 'sniffing tool' and any other investigating tools that will assist with this.</p>	<p>a) Records Retention Good progress has been made on departmental records retention schedules but 8 departments are yet to submit schedules. In addition to local schedules, there is the 83 page CoL Model Retention Schedule which has also been updated. For info. there is a draft Records Management policy from 2015 which will be revised and re-issued as part of the corporate Information Management Review.</p> <p>Responsibility: Departmental Managers supported by departmental AIN reps and the C&CS Information Compliance Team</p> <p>Target Implementation Date: 31 December 2018</p> <p>b) Data Storage / Discovery This remains as a red risk on the GDPR plan. Currently awaiting costs from 4 potential suppliers. This should be two separate findings – Records Retention Schedules and Data Discovery & Retention. We have some control over Records Retention but Data Discovery & Retention is largely dependant on a 3rd party service provider. They are separate items on the project plan.</p> <p>Responsibility: IS Department</p> <p>Target Implementation Date: 31.03.2019</p>	High

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Ref	Finding	Recommendation	Management responses	Priority
3	Review of GDPR programme governance arrangements			
	<p>The GDPR project team and AIN reps are responsible for the coordination of implementation tasks throughout the organisation. The governance structure has been regarded as efficient as support has been provided at department level; however, this needs to be finalised in terms of the structured job role for the AIN reps and having the appropriate tools in place to assess and monitor compliance. Moreover, the use of AIN reps should be reviewed to ensure that the process meets the City's success criteria.</p>	<p>Using tools such as Balanced Scorecards should provide granular updates of completion of tasks. Going forward it is beneficial that the GDPR project team will produce reports to keep track of the progress and communicate this with the AIN reps, to monitor progress or take further action where required.</p>	<p>A Self-Audit Compliance Monitor has been developed with input from some AIN Reps and business users. This has been issued to departments for completion in October 2018.</p> <p>Returns will be analysed high risks will be identified and AIN reps advised accordingly to improve compliance standards.</p> <p>AIN reps will provide the base compliance data, the responsibility for managing compliance lies with departmental management teams.</p> <p>A review of the AIN role in the wider context of Information Management will be conducted as part of the IM Review.</p> <p>Responsibility: Departmental Managers supported by departmental AIN reps and the C&CS Information Compliance Team</p> <p>Target Implementation Date: 31.12.2018</p>	Low


Ref	Finding	Recommendation	Management responses	Priority
4	Mini-gap analysis and a follow-up audit	<p>A mini-gap analysis and follow-up audit for each department should be undertaken as it will ensure all outstanding tasks have been addressed, particularly due to the size of the organisation.</p> <p>This should be documented on a department level to see where improvements can be made. It will incorporate a direction going forward for phase two of the implementation.</p> <p>We are aware that the above points will be a focus in phase 2 of the GDPR implementation.</p>	<p>A Self-Audit Compliance Monitor has been developed with input from some AIN Reps and business users. This has been issued to departments for completion in October 2018.</p> <p>Returns will be analysed high risks will be identified and AIN reps advised accordingly to improve compliance standards.</p> <p>Responsibility: Departmental Managers supported by departmental AIN reps and the C&CS Information Compliance Team</p> <p>Target Implementation Date: 31 December 2018</p>	Low

Ref	Finding	Recommendation	Management responses	Priority
5	GDPR is not seen as an ongoing 'Business as Usual' (BAU) responsibility			
	<p>Based on staff interviews, there is a concern that individuals in the organisation at all levels do not see GDPR as an ongoing BAU responsibility and that there may not be enough change at an individual level. However, this finding is based only on a small sample of representatives and there has been an ongoing BAU by the Governance team for many years under the previous Data Protection legislation to try and incorporate compliance and will continue throughout the GDPR.</p>	<p>The Governance team, Project team and the AIN reps should continue to communicate with staff on the importance of GDPR under BAU practices. Staff should be regularly informed of their accountability and responsibility when collecting and processing data under the GDPR.</p> <p>A GDPR compliance checklist and Q&A sessions will endure engagement and remain consistent with compliance measures.</p>	<p>The Self-Audit Monitor will help identify areas which need to be managed. Also, the key GDPR polices will be re-issued and tracked by meta-compliance.</p> <p>The DPO has started quarterly AIN Forums to share knowledge and information on GDPR compliance issues and news. This will be supported by more general GDPR comms.</p> <p>Annual GDPR refresher e-learning is scheduled.</p> <p>Further specialist GDPR training will be delivered in response to feedback from AIN reps and where specific risks of non-compliance are identified by the Information Compliance Team.</p> <p>Responsibility: Departmental Managers supported by departmental AIN reps and the C&CS Information Compliance Team</p> <p>Target Implementation Date: 31 December 2018</p>	<p>Low</p>

Ref	Finding	Recommendation	Management responses	Priority
6	GDPR e-learning			
	<p>A GDPR e-learning course was sent out on 24 April and was expected to be completed by 18 May. The initial completion rate reported was 63%. The most recent completion on the GDPR e-learning course increased to 94%, which suggests there has been more engagement around GDPR.</p>	<p>The CoL should identify whether they are active staff that may have potentially affected the results. CoL should also devise a communication strategy or procedure to address the remaining staff whom are yet to complete the GDPR e-learning course. We also suggest that CoL should ensure that GDPR e-learning is integrated with the induction training of all new joiners.</p>	<p>E-learning compliance levels were analysed by departments and reported to Chief Officers on 16.10.2018 and will be further reported to IT sub-committee on 02.11.2018.</p> <p>Annual GDPR refresher e-learning is scheduled.</p> <p>Responsibility: Departmental Managers supported by departmental AIN reps and the C&CS Information Compliance Team</p> <p>Target Implementation Date: 31.03.2019 ongoing thereafter</p>	<p>Low</p>

Ref	Finding	Recommendation	Management responses	Priority
7	Additional resources			
	<p>Based on staff interviews, there were concerns that additional resourcing could be needed to complete certain tasks, such as reviewing third party contracts. As discussed in the closing meeting, the CoL believe they already have the correct resources within the organisation and do not believe additional resourcing will make a big impact.</p>	<p>If there are difficulties meeting the December deadline then additional resources either internally or externally should be considered. Further resources may be necessary, particularly for the Compliance and IS teams. This could be utilised from the GDPR Project team to assist in to embedding GDPR compliance throughout all CoL departments.</p>	<p>The compliance team is correctly resourced to deliver of the CoLC GDPR project phase 2.</p> <p>Ownership of GDPR should transition to BAU by December the Compliance Team will then manage ongoing GDPR governance, undertake follow-up audits, deliver GDPR refresher training, monitor and analyse data breaches and deliver communications and networking.</p> <p>Responsibility: Departmental Managers supported by departmental AIN reps and the C&CS Information Compliance Team</p> <p>Target Implementation Date: 31.12.2019 ongoing thereafter</p>	<p>Low</p>

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TERM	DEFINITION
DATA	Is: (a) Information which is recorded to be processed by equipment which has been instructed for that purpose; (b) recorded as part of or with the intent of forming part of a relevant filing system; (c) recorded information held by a public authority; or (d) forms part of an accessible record (health, educational, etc.).
PERSONAL DATA	Any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.
SENSITIVE DATA	Personal data of the subject consisting of the following information: (a) ethnic origin; (b) political opinions; (c) religious or similar beliefs; (d) membership of trade union(s); (e) physical and mental health; (f) sexual life; (g) commission or alleged commission of any offences; or (h) any court proceedings pertaining to (g).
PROCESSING	Any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction.
DATA SUBJECT	To whom the personal data pertains.
DATA CONTROLLER	The natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data; where the purposes and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law.
DATA PROCESSOR	Any person other than an employee of the Data Controller who processes data on the Data Controller's behalf.
INACCURATE DATA	Data which is incorrect or factually misleading.
RECIPIENT	A natural or legal person, public authority, agency or another body, to which the personal data are disclosed, whether a third party or not. However, public authorities which may receive personal data in the framework of a particular inquiry in accordance with Union or Member State law shall not be regarded as recipients; the processing of those data by those public authorities shall be in compliance with the applicable data protection rules according to the purposes of the processing.
THIRD PARTY	A natural or legal person, public authority, agency or body other than the data subject, controller, processor and persons who, under the direct authority of the controller or processor, are authorised to process personal data.

Appendix 2 – Documents Reviewed

List of documents reviewed as part of the engagement

- GDPR Project Plan;
- List of people in the GDPR project board;
- GDPR project board minutes;
- Contact details and job description of the Data Protection Officer;
- Records of processing activities (information register or data mapping);
- Data transfers register;
- Privacy Notices;
- Templates of terms and conditions of employment;
- Employee handbook;
- Employee Data protection policy;
- Data retention policy;
- Data breach policy;
- Data breach notification templates;
- Information security policy;
- Data protection and data breach training material to employees;
- Standard data sharing agreement template used with third parties;
- Evidence of marketing changes regarding consent;
- Back-up policy;
- Vulnerable scanning policy;
- Use of IT posters; and
- Audit and Risk Management Committee papers.

Appendix 3 – Staff interviewed

Name	Title
Daniel Mckee	Comptrollers
Jimmy Maravala	Community and Children's Services
Terry Morris	HR
Carol Simpson	HR
Matt Gosden	IS
Colin Tharby	IS

Mazars LLP appreciates the time provided by all the individuals involved in this review and would like to thank them for their assistance and cooperation.

Appendix 4 – Rating Definitions

Recommendation significance

In order to assist management in using our reports, we categorise our recommendations according to their level of priority as follows:

Priority Level	Definition
HIGH	Major issues for the attention of senior management. Such issue must imperatively be addressed before the 25 th May 2018 as it can lead to an important fine or serious reputational damage.
MEDIUM	Important issues to be addressed by management in their areas of responsibility. Such issue must be included in the GDPR compliance project plan to be implemented as soon as possible, preferably before the 25 th May 2018.
LOW	Minor issues that, although not essential, should be included in the GDPR compliance project plan as a matter of good practice and be implemented by the end of the year 2018.

The risks in this report have been assessed by considering the two levels of fines introduced in the GDPR, as shown in the table on the next pages.

Additional consideration is given when assessing the risks when processing activities involve special categories of data, as defined in Article 9 of the GDPR, or data relating to criminal conviction and offences, as defined in Article 10 of the GDPR. Such personal data must be processed with particular attention under the GDPR, especially in respect of data subjects' rights, legal basis for processing, international transfers, and implementation of proportionate security measures. The ICO's case law and the Article 29 Group's guidelines have also been taken into consideration to assess the risks.

Maximum administrative fines for non-compliance with GDPR Articles below and to which entity apply:	Up to €20m or 4% of global annual turnover, whichever is higher	Up to €10m or 2% of global annual turnover, whichever is higher
Art. 5 - Principles relating to processing of personal data	Controller	
Art. 6 - Lawfulness of processing	Controller	
Art. 7 - Conditions for consent	Controller	
Art. 8 - Conditions applicable to child's consent in relation to information society services		Controller
Art. 12 to 22 – Rights of data subjects	Controller	
Art. 25 - Data protection by design and by default		Controller
Art. 26 – Agreements between joint controllers		Controller
Art. 27 – Designation of representatives of controllers or processors not established in the Union		Controller and Processor
Art. 28 – Controller engagement of processors		Controller
Art. 29 – Processors acting only under the consent and instructions of the controller		Processor

Maximum administrative fines for non-compliance with GDPR Articles below and to which entity apply:	Up to €20m or 4% of global annual turnover, whichever is higher	Up to €10m or 2% of global annual turnover, whichever is higher
Art. 30 – Written records of processing activities		Controller and Processor
Art. 31 - Cooperation with the supervisory authority		Controller and Processor
Art. 32 - Security of processing (technical and organisational measures)		Controller and Processor
Art. 33 – Data breach reporting		Controller and Processor
Art. 34 – Data breach communication		Controller
Art. 35 – Conduct data protection impact assessments		Controller
Art. 36 – Consultation supervisory prior to processing after data protection impact assessment indicates high risk		Controller
Art. 37-38-39 – Appointment Data Protection Officer		Controller and Processor
Art. 44 to 49 - Transfers of personal data to third countries or international organisations	Controller and Processor	
Art 58 – Failure to comply with an order or with an investigation imposed by supervisory authorities	Controller and Processor	

Appendix 5 – Objectives and Scope

Background:

The new General Data Protection Regulation (GDPR) comes into force on 25 May 2018. Through GDPR, the European Commission seeks to strengthen and unify data protection for natural persons situated within the EU. An early, high level assessment will be made of CoL's plans and readiness to address the new requirements, to continue being compliant after 25 May 2018.

Audit objective and scope:

The primary purpose of this review is to provide an independent, objective assessment of CoL compliance with the GDPR requirements, and status of project plans CoL has in place.

Scope:

The primary purpose of this review is to provide an independent, objective assessment of CoL's readiness for the forthcoming GDPR requirements, and status of project plans CoL has in place.

This review will focus on the following areas:

- An assessment of the plans in place to meet with GDPR which came into force from May 2018. The audit will identify appropriate responsibility and plans to ensure that all areas are covered and no gaps are left;
- To review progress of CoL's GDPR risk assessment; and
- An assessment of general awareness amongst CoL's staff and Senior Management in relation to the new regulation.

We will bring to the attention of management any significant matters relating to these or other areas that come to our attention during the course of the review.

Approach

Our approach to the review will be as follows:

- Review progress of the work towards GDPR compliance via documentation review and discussions with appropriate personnel;
- Validate the risks identified and assess the project plans in place;
- Identify gaps for the areas under review; and
- Hold closing meetings with relevant key personnel to discuss audit findings and recommendations.

Type of Report:

A final report will be provided which will entail an executive summary of the key findings.

The report will also include detailed issues with agreed action plans assigned to the relevant individuals and agreed timeframes.

All issues raised in the final reports are monitored and issues falling overdue will be escalated to the Audit Committee.

Date of fieldwork:

It is proposed that fieldwork will start on 7 May 2018 and resource requirements are estimated at 4 days with 1 day to write and review the report. Total resources are therefore estimated to be 5 days.

Key contacts:

Engagement Director	Mark Towler	mark.towler@mazars.co.uk
Senior Manager, Data Privacy	Vincent Rezzouk-Hammachi	vincent.rezzouk@mazars.co.uk
Data Privacy Consultant	Safeena Tariq	safeena.tariq@mazars.co.uk
Data Privacy Consultant	Liam McKenzie	liam.mckenzie@mazars.co.uk
Data Privacy Consultant	Paul Seseri	paul.seseri@mazars.co.uk

Deliverable	Dates
Fieldwork start	07/05/2018
Fieldwork completion	25/05/2018
Exit meeting	31/05/2018
Draft report issued	28/06/2018
Final report issued	TBC

Appendix 6 – Statement of Responsibility

The matters raised in this report are only those which came to our attention during the course of our work and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Recommendations for improvements should be assessed by you for their full impact before they are implemented. The performance of our work is not and should not be taken as a substitute for management's responsibilities for the application of sound management practices.

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Accordingly, regardless of the form of action, whether in contract, tort or otherwise, and to the extent permitted by applicable law, Mazars LLP accepts no liability of any kind and disclaims all responsibility for the consequences of any person (other than the CoL on the above basis) acting or refraining to act in reliance on the report or for any decisions made or not made which are based upon such report, regardless of whether or not the CoL has consented to the disclosure of this report.

Registered office: Tower Bridge House, St Katharine's Way, London E1W 1DD, United Kingdom.

Registered in England and Wales No 0C308299.

DUMMY INFORMATION - DEMO PURPOSES ONLY



Please update the form for your department and return to information officer@cityoflondon.gov.uk by the 7th of the reporting period.

GDPR Departmental Self-Audit Monitor					Exceptions
Department : Reporting Period: October 2018	Sub Dept.1	Sub Dept.2	Sub Dept.3	Sub Dept.4	
Compliance Action	Enter a number between 0-3 using the definitions below against each compliance action				
GDPR Risks					
Key risks to compliance understood and notified to Compliance team. i.e 3rd party contracts not GDPR compliant, no record of consent from the data subject, no records retention schedule in place, processes do not comply with data subjects rights.	1	3	2	1	
Awareness - Communication & Guidance					
Any job-specific training needs are identified and being managed	2	1	1	3	
All staff are aware of the GDPR issues and queries process	1	1	0	3	
ROPA and Records Management					
Records Retention Schedule in place	1	3	3	1	
Process for updating Retention Schedule is in place	2	2	3	1	
ROPA in place	3	1	3	3	
Process for updating ROPA is in place	3	1	2	1	
Communicating privacy information					
Process for updating and communicating privacy notices (how the City of London Corporation as a data controller collects and uses personal information) is in place	3	2	2	2	
Lawful basis for processing personal data - consent					
Records are kept for where consent has been received from the data subject	3	2	1	1	
Contracts					
There are written agreements in place with all third party service providers and processors, including those who process personal data on behalf of the City of London Corporation as a data controller, that ensure the personal data that they access and process is protected and secure.	3	0	0	2	
Data Subjects Rights					
All relevant staff are aware of the process for an individuals' requests to access their personal data (SAR , Right to Access)	2	2	3	3	
Guidance is in place to respond to individuals' other rights					
Right to rectification					
Right to Erasure					
Right to Restriction					
Right to Data Portability					
Right to Object					
Right to Object to Automated Decision Making / Profiling	1	2	3	2	

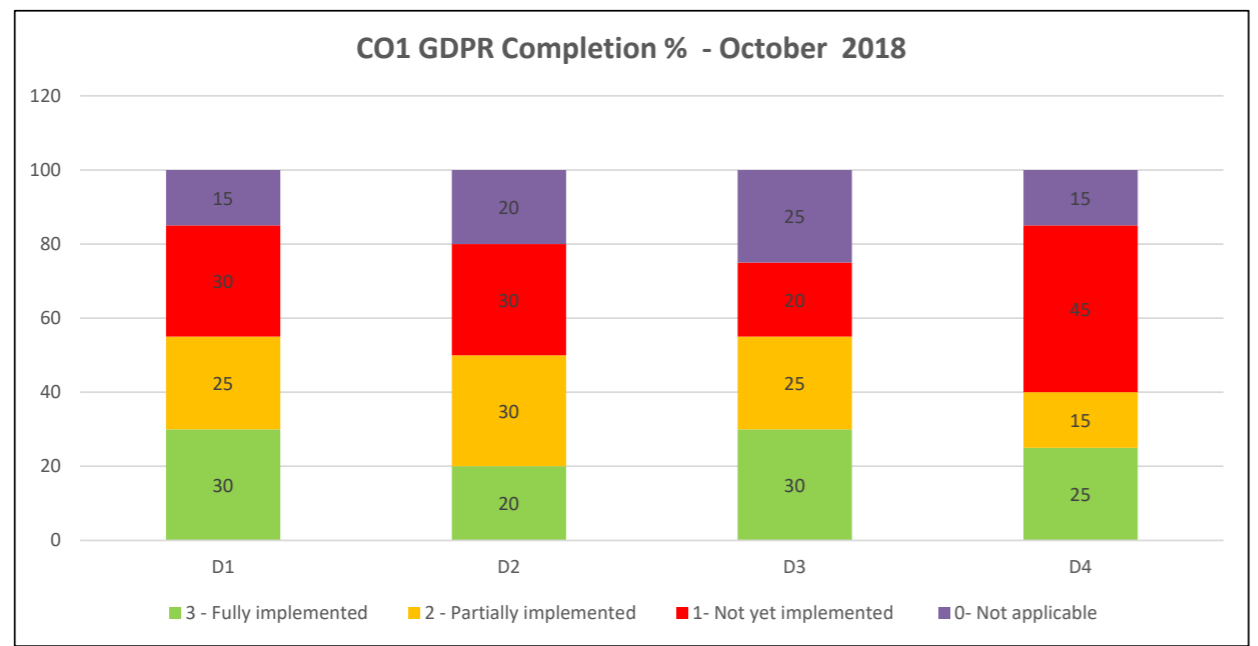
Guidelines for processing children's data are in place	0	0	0	0	
Data Protection					
All staff have read the CoL Data Protection Policy 2018	1	1	1	1	
All staff are aware of the Data Protection Impact Assessment procedure and guidance	1	1	1	1	
All staff are aware of the process for identifying and reporting a Data Protection breach	2	2	3	3	
Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) i.e marketing by phone, email, text or fax; use of cookies or a similar technology on the CoL website; or compiling a telephone directory (or a similar public directory	0	0	0	1	
Guidance in place for transferring data securely outside of the EU	2	3	2	1	
Guidance in place for transferring data securely between CoL and 3rd parties	3	3	2	0	
All staff have read the CoL Information Security Policy and the Security Policy - People	0	0	0	0	Note: This policy document and guidance will be formally issued very soon.

Count	DO NOT ENTER DATA IN THESE CELLS			
	D1	D2	D3	D4
3 - Fully implemented	30	20	30	25
2 - Partially implemented	25	30	25	15
1- Not yet implemented	30	30	20	45
0- Not applicable	15	20	25	15

Supplementary Notes

These questions and definitions are largely taken from the ICO GDPR self-assessment tool

Compliance Graph



GDPR SELF AUDIT MONITOR

What is the GDPR Self-Audit Report ?

The GDPR Self-Audit Report is an excel document that records and summarises and measures a department's scores against a number of GDPR compliance actions. It has been developed with input from some AIN representatives, the business and the Audit & Risk Team.

3 - Fully implemented
2 - Partially implemented
1- Not yet implemented
0- Not applicable

How Will It Be Used ?

The report will be used to ;

- Identify by individual department the % of Compliance Actions that are fully implemented, partially implemented etc. and summarise this by function in a graph.
- Identify where departments need to focus attention to improve compliance levels and reduce risk.
- Allow function heads to look for comparisons and trends amongst their collective departments.
- Provide updates on GDPR compliance to Directors, Managers, Staff and the Data Protection Officer and Committees.

How to Complete It

Each department should decide their own internal steps for completing the report. In discussions held with some AIN representatives and business users, the following was proposed as good practice.

- A master copy should be placed on a shared folder.
- A person from each of the relevant sub-departments (i.e. The Commons and Epping Forest will be sub-departments of Open Spaces) will access and update the report by entering a score between 0 and 3 against the action.
- The "Exceptions" column should be used to add supporting comments.
- When all sub-departments are complete, the file should be saved as an overall summary for the department, in this case Open Spaces.
- The completed report will be saved to the shared folder and sent to the GDPR Compliance team. information.officer@cityoflondon.gov.uk
- Subsequent reports will be produced by cutting and pasting the latest version scores into the previous version.
- The graphs will be completed by the Compliance team.

When to Complete It

A first report should be sent to the Compliance Team by the 7th November. Thereafter the report should be sent to the Compliance Team by the 7th December, 7th January etc..

As this is a self-assessment report; random checks will be carried out to obtain supporting evidence for the scores.

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Appendix 3

Summary of Completed Records Retention Schedules and Third Party Contracts

v0.1 16.10.18

Records Retention Schedules	
Completed Schedules	
1	C&CS
2	Chamberlains
3	City of London Police
4	City Surveyors
5	CoL School Boys
6	CoL School Girls
7	Community and Childrens Services
8	Community Safety
9	Corporate CRM
10	DBE
11	Electoral Services
12	Freemens
13	GSMD - Higher Education - Student
14	GSMD - Junior - Pupils
15	GSMD - Junior - Staff
16	HR
17	IT
18	LMA (Retention by Function)
WIP	
19	Open Spaces
20	Remembrancers
21	Markets and Consumer Protection
22	City Bridge Trust
Nil Returns	
23	Barbican
24	ED
25	Corp Strategic and Performance
26	Corporate Comms
27	Contact Centre
28	Mansion House and CCC

Contracts Registers	
Completed Registers	
1	Audit & Risk
2	C&CS
3	City Surveyors
4	Commercial
5	Electoral Services
6	HR
7	IT
8	TCD - Business Support
WIP	
9	Barbican
10	CoL School Girls
11	CoL School Boys
12	GSMD
13	Freemens
14	TCD - Culture
15	DBE
Nil Returns	
16	Corporate Communications
17	EDO
18	Open Spaces
19	Remembrancers
20	Markets and Consumer Protection

Assumes GSMD will submit 1 register

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Appendix 4 Table: Departments completion of the Data Protection E-Learning Programme, as of 19 October 2018.

Department	Complete	Percentage	In Progress	Percentage	Not yet started	Percentage	Exempt	Percentage	Temporary Exempt**	Percentage	Total	Overall Percentage***
Barbican	351	81.25%	14	3.24%	36	8.33%	21	4.86%	10	2.31%	432	88.43%
CCC/Mansion House	143	97.28%	1	0.68%	1	0.68%	2	1.36%	0	0.00%	147	98.64%
Chamberlain's	292	95.42%	1	0.65%	4	1.31%	6	1.96%	3	0.98%	306	98.37%
City Surveyors Department	238	88.81%	2	0.75%	6	2.24%	18	6.72%	4	1.49%	268	97.01%
Comptroller's and City Solicitors	60	96.77%	0	0.00%	0	0.00%	1	1.61%	1	1.61%	62	100.00%
Dept. of the Built Environment	247	97.63%	3	1.19%	0	0.00%	2	0.79%	1	0.40%	253	98.81%
Dept. Communities and Children's Services	332	81.77%	4	0.99%	8	1.97%	57	14.04%	5	1.23%	406	97.04%
Guildhall School of Music and Drama	260	88.74%	9	3.07%	19	6.48%	4	1.37%	1	0.34%	293	90.44%
Markets and Consumer Protection	254	91.03%	0	0.00%	3	1.07%	20	7.16%	2	0.72%	279	98.91%
Misc.****	18	45.00%	2	5.00%	20	50.00%	0	0.00%	0	0.00%	40	45.00%
Open Spaces	331	69.25%	4	0.84%	28	5.86%	113	23.64%	2	0.42%	478	93.31%
Remembrancers	28	93.33%	0	0.00%	1	3.33%	1	3.33%	0	0.00%	30	96.67%
Schools*	507	89.89%	15	2.65%	25	4.43%	14	2.48%	8	1.41%	569	93.78%
Town Clerks Department	389	92.18%	4	0.95%	7	1.66%	9	2.13%	13	3.08%	422	97.39%
Total	3439		61		165		270		51		3986	

* The totals provide for schools, is a combined total for the City of London School, City of London School for Girls and the City of London Freeman's School.

** Those marked temporary exempt will need to complete the course on their return to work, for example they are on a period of long term absence, maternity leave, etc.

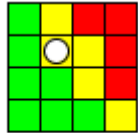
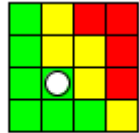

*** The overall percentage is a combined total of those who have completed the course, have been made exempt or are temporarily exempt.

**** Anyone who has not been assigned a department e.g. Contractors

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Appendix 5

CR 25 GDPR Project Phase 2

Risk no, Title, Creation date, Owner		Current Risk Rating & Score	Risk Update and date of update	Target Risk Rating & Score	Target Date	Current Risk score change indicator
<p>CR25 General Data Protection Regulation Project phase 2</p> <p>01-Dec-2017 Michael Cogher</p>	<p>Cause: Inadequate departmental systems and procedures are in place which meet the additional requirements of GDPR legislation.</p> <p>Event: CoL is unable to comply with GDPR requirements - poor, non-secure and non-compliant processing of personal data.</p> <p>Effect: CoL exposed to adverse publicity, reputational damage, financial penalties imposed by the Information Commissioners Office. Increased volume of Subject Access Requests.</p>	<p>Likelihood</p>  <p>Impact</p>	<p>6</p> <p>Progress on high risk areas identified in the Mazars audit:</p> <ul style="list-style-type: none"> • Significant progress has been made toward facilitating departmental compliance with GDPR requirements - see actions. • Significant progress has been made toward ensuring contractor compliance with GDPR requirements - see actions. • An overarching CoLC retention schedule is in place and 75% of departments have responded with detailed retention schedules. • The management of unstructured data constitutes a significant GDPR compliance risk. Four potential suppliers have been identified - see actions <p>03 Oct 2018</p>	<p>Likelihood</p>  <p>Impact</p>	<p>4</p> <p>31-Dec-2018</p>	<p></p> <p>Constant</p>

Appendix 5

CR 25 GDPR Project Phase 2

Action no, Title,			Action owner	Latest Note Date	Due Date
CR25g GDPR Project Phase 2 governance	<ol style="list-style-type: none"> 1. Report to Summit Group 2. report to Audit & Risk Committee 3. Report to IT sub-committee 4. GDPR Project Team meetings 	<ul style="list-style-type: none"> • Project meetings held bi-weekly are effectively monitoring project outputs • Report to Summit October 2018 • Report to Audit & Risk Committee scheduled for 15.11.18 • Report to IT sub-committee 02.11.18 	Michael Cogher	03-Oct-2018	31-Dec-2018
CR25h Departmental Records Retention Schedules	<ul style="list-style-type: none"> • Departments to supply existing records retention schedules to supplement the CoLC corporate retention schedule. • GDPR compliance team to advise and review departmental retention schedules. 	Departmental record retention schedules included in departmental compliance monitor. 64% of departments have responded with details of their retention schedules	Michael Cogher	03-Oct-2018	31-Oct-2018
CR25i Departmental Compliance Audits	<ul style="list-style-type: none"> • Investigation of use of meta compliance tool • If 1 unsuccessful create audit template for departments to complete • GDPR compliance Team review returns and advise departments on non-compliance issues 	<ul style="list-style-type: none"> • Departmental compliance audits issued to depts in September. • Meetings with departmental AIN reps ongoing. • Departmental responses to compliance audits being analysed. 	Michael Cogher; Nick Senior	03-Oct-2018	30-Nov-2018
CR25j Data Privacy Impact Assessment	<ul style="list-style-type: none"> • Refine existing draft DPIA template • Road test • Incorporate into CoLC projects and procurement processes 	Data privacy impact assessments now mainstreamed into CoLC project management methodology and in toolkit on intranet.	Michael Cogher	03-Oct-2018	30-Sep-2018
CR25k GDPR Contractor Compliance	<ul style="list-style-type: none"> • Standard contract clauses developed and applied to all new contracts • Template for departmental use to record and monitor compliance • Will be tested by GDPR compliance Team as part of departmental GDPR audits 	A number of departments have responded supplying details of contractor compliance. Assessment of departmental compliance included in compliance monitor - departments will be chased by DPO in this issue.	Michael Cogher; Nick Senior	03-Oct-2018	31-Dec-2018
CR25l Management of unstructured personal data	<ul style="list-style-type: none"> • Paper to summit group on deletion of W drive data. • Data discovery tool procurement 	Software to identify unstructured personal data is being scoped. Potential suppliers are now set up on Capital esourcing and we await their costs to provide a software data discovery tool to identify where data might be stored at risk (i.e. freely accessible) across the entire CoLC IT estate.	Matt Gosden	03-Oct-2018	31-Dec-2018

Committee(s)	Dated:
IT Sub Committee	02/11/2018
Subject: Design, build, support and hosting for new website	Public
Report of: Town Clerk (Director of Communications)	For Information
Report author: Melissa Richardson, Digital Publishing and Content Strategy Lead, Communications, Town Clerks	

Summary

The purpose of this report is to keep Members updated on the progress of the website project, specifically to establish progress to date of the tender process.

The current website does not meet our needs and does not reflect well on the City of London Corporation. The content management system of the current website will also be redundant after October 2020

Therefore, we wish to replace the current website with one with the ability to display well on mobile devices, to provide comprehensive search results and to provide information in a task-based and user-focused manner.

The project was approved at Gateway 3/4 by Projects Sub Committee, Resource Allocation Sub Committee and at Policy and Resources committee, both on 3 May 2018.

Our suppliers will be in place by the end of this year.

Main Report

Background

1. The current website was launched in 2012 and, inevitably, is showing its age and no longer reflects well on the City of London Corporation.
2. All support for SharePoint 2010 [the current website platform] will cease in October 2020 (regular support stopped in 2015). SharePoint will not be providing a platform for external sites in future, so it cannot simply be updated. Leaving our website an unsupported platform poses a major risk.
3. Our current website does not display well on mobile devices, is not task structured (ie lacking user focus) and the out of the box search engine cannot provide the results from across the full range of corporate information (ie

Member, Jobs and Media sites are separate) that users would expect.

Current Position

4. Because of the above problems the Communications Team began examining the process of replacing the website in July 2017. A supplier open day was held to test the market and gain feedback on likely costs and timescales for the project. This has provided the estimated figures included in this report. Subsequently, the IT Category Board agreed the Procurement process and the project was agreed at Gateway 1/2 by Projects Sub Committee. A digital consultant was employed to consult with Members and officers, gather the business requirements and to draft the invitation to tender. On 20 February an Options paper was taken to the IT category board and approved. The Gateway 3/4 paper went to Projects Sub on 14 March and was also approved. The project has been included in the Chamberlain's consolidated Project Funding Update report to Resource Allocation Sub Committee and, also, approved at Policy and Resources committee, both on 3 May 2018.
5. It went out to tender in August with evaluations in September 2018. The results of these evaluations went to the IT Category Board on 9 October. The award will be made to the supplier following the Gateway 5 report. This will let the project commence and release the funding and is imminent at the time of writing.
6. The contract will be let under the Crown Commercial Services framework, G-Cloud 10. The call off contract will be agreed with the successful supplier following the approval of the Gateway 5 report. It is anticipated that the new supplier will commence the initial phases of the project during December 2018/January 2019 in line with the outline project plan.
7. A dedicated Project Manager will be recruited once the funding is released.
8. This will allow an early discovery phase (suppliers liaising in order to make informed recommendations about how to meet required outcomes), enabling work to start properly in early 2019. Based on previous experience, this will allow a realistic amount of time for building, consultation and testing to ensure the new site is ready before summer 2020.

Proposal

9. The following was proposed and agreed:
 - To scope and procure services to deliver a new City of London Corporation website
 - To move to a cloud-based hosting and external support model
 - To address known issues, eg Information Architecture (IA - how the site is built and structured), responsiveness (how it displays on mobile devices) and search functionality through the new website design.

10. The initial one-off capital and supplementary revenue estimated cost of £513,000 be funded via a bid to the Policy and Resources Committee for allocations from the 2018/19 City Fund and City's Cash provisions for new schemes and from the general reserves of Bridge House Estates, broadly on a 50/45/5% basis respectively. The Town Clerk's local risk budget be increased by £40,000 to meet the additional ongoing annual revenue costs for support and maintenance, to be funded in the first year via a request for allocations from the Finance Committee contingencies of the three funds on a 50/45/5% basis, together with a base budget adjustment of £40,000 per annum for the following three financial years.

Conclusion

11. The IT Category Board approved the tender on 9 October 2018 and the Gateway 5 report is imminent. This will allow an early discovery phase (suppliers liaising in order to make informed recommendations about how to meet required outcomes), enabling work to start properly in early 2019. Based on previous experience, this will allow a realistic amount of time for building and testing to ensure the new site is ready before October 2020.

Melissa Richardson

Digital Publishing and Content Strategy Lead

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Committee(s): IT Sub Committee	Date: 2 nd November 2018
Subject: Gigabit City programme update	Public
Report of: Director of Built Environment	For information
Report author: Steven Bage Strategic Infrastructure Advisor	

Summary

This report seeks to update Members on the progress of the Gigabit City programme being led by the City Property Advisory Team (CPAT), which aims to improve wired and wireless connectivity in the Square Mile.

Openreach is deploying “Fibre To The Premises” (FTTP) to all areas of the Square Mile (at no cost to building owners), offering speeds up to 1 gigabit per second (100 times faster than standard copper broadband, 12 times faster than superfast broadband) at affordable prices. Whilst 60% of the Square Mile is now enabled for FTTP, Openreach is struggling to identify and engage building owners (to seek their consent to install FTTP) due to the complex nature of building ownership in the City. CPAT has recently secured funding to appoint a specialist property agent to identify the owners / managing agents of unknown buildings so that they can be approached by Openreach and the required consent gained.

The City of London Wireless Concession, signed with Cornerstone Technology Infrastructure Ltd (CTIL) in March 2017, has already delivered a world leading gigabit Wi-Fi network, (which has over 100,000 users), and will boost mobile network coverage and capacity through the installation of 200 “small cells” providing enhanced mobile coverage at street level by Q1 2019. The Wireless Concession will also present attractive market conditions for mobile operators, which will ensure that the Square Mile is amongst the first to benefit from 5G when it becomes available in 2021. CTIL has committed to undertaking an outdoor 5G trial in the Square Mile beginning in early 2019.

Recommendations:

- i. **Members are asked to note the contents of this report for information.**

Main Report

1. The “Gigabit City” programme (formerly called the Superfast City programme) being led by the City Property Advisory Team (CPAT) seeks to bring about world leading wired and wireless connectivity in the Square Mile by:

- Securing investment and quick deployment of new fibre broadband infrastructure to offer speeds of up to 1 gigabit per second at affordable price points.
- Working with wireless delivery partner CTIL, to build unparalleled world class wireless networks (Wi-Fi, 4G and 5G post 2021) within the Square Mile using City owned street furniture assets and buildings, to ensure that mobile “black spots” become a thing of the past.

Wired connectivity

Fibre To The Cabinet (FTTC)

2. Openreach has now completed their roll out of “Fibre To The Cabinet” (FTTC), also known as superfast broadband, in 37 locations across the Square Mile, offering enhanced broadband speeds of up to 80 megabits per second. The FTTC roll out predominately covers only the larger residential and small business clusters in the City, and buildings with less small office or residential units have not been able to benefit from the FTTC deployment.

Fibre to The Premises (FTTP)

3. CPAT has engaged over 50 broadband operators to encourage them to invest in wide spread roll out of Fibre To The Premises (FTTP) which uses “full fibre” optic infrastructure and can provide speeds of up to 1 gigabit per second. So far the cost and physical challenges associated with installing new fibre optic cables under the highway in the City, (and further difficulties in securing road closures and street permits) has discouraged the majority of operators, and only Openreach has committed to deploying FTTP across the City of London at no cost to building owners of tenants and which will use existing ducts (avoiding the need for street works).
4. Openreach does however require a wayleave to be signed by the landlord in order to connect a building to FTTP, and owing to the complex ownership structures applied to many buildings in the Square Mile, Openreach is struggling to identify landlords of buildings, to approach them asking for consent. Openreach has enabled 60% of the Square Mile for FTTP and has expended significant resource in trying to contact landlords, however to date very few buildings in the Square Mile have been connected to FTTP.
5. CPAT has used all City Corporation media channels to engage building owners, the City property industry, small businesses and residents to increase awareness of FTTP. Similarly the Chairman of Policy & Resources has written to all City property agents outlining that without the required take up, Openreach is likely to postpone installation works of FTTP in the Square Mile in order to focus on other parts of the UK (given their pressing delivery targets imposed by Government).
6. In order to assist Openreach in overcoming this significant barrier to deployment of FTTP, CPAT has secured funding from the Priorities Investment Pot (approved by RASC on 04/10/18) to appoint a specialist property agent to identify unknown building owners (or their managing agents) to support Openreach in seeking the

necessary consents to connect buildings to FTTP.

Connecting CoL Housing Estates

7. The City Corporation has completed an expression of interest exercise to select 3 fibre broadband operators (Community Fibre, Hyperoptic and Vision Fibre Media) to provide affordable gigabit fibre broadband to the City's 3000 flats across Golden Lane, Middlesex St estates and outlying housing estates in other London Boroughs by the end of 2018. CPAT is leading the coordination of installations with the Department of Community & Children's Services across the 12 estates, (expected to be completed within 2019), and considering solutions to reduce disruption to residents (such as appointing a single contractor to act for all 3 operators) are being considered.

Standardised Wayleave / Barriers Removal Award

8. CPAT and Remembrancers have worked alongside the City Law Society and the British Standards Institution to develop a standardised wayleave toolkit to speed up installation of broadband services, which has been downloaded several thousand times and is being used routinely across the property and telecoms industries. The wayleave has recently been revised to reflect changes to the new Electronic Communications Code. City of London and City Law Society has recently been awarded the "Barriers Removal Award" at the Connected Britain Awards 2018 for the standardised wayleave toolkit.

Wireless connectivity

9. The City of London has entered into a 15 year contract with Cornerstone Telecommunications Infrastructure Ltd (CTIL) to undertake a Wireless Concession to address existing issues with patchy 4G and WiFi coverage across the Square Mile.
10. The Wireless Concession has already delivered a world leading free to use gigabit Wi-Fi network (at no cost to the City Corporation), using 156 street furniture locations which went live in September 2017, and currently has over 100,000 users.
11. The second phase of the project is to roll out "small cells" to improve 4G mobile coverage at street level. This is now underway with over 100 small cells already having been built and a further 100 small cells being mounted on the City's street furniture by Q1 2019, which represents the largest concentration of small cells deployed anywhere in the UK. The City of London and CTIL was recently awarded the "Wireless Connectivity Award" at the Connected Britain Awards 2018 for the gigabit Wi-Fi and small cells deployment in the Square Mile.
12. Whilst O2 is currently the only mobile operator installing small cells in the Square Mile, CTIL expect other mobile network operators to follow suit for 4G services and eventually 5G (the next generation of mobile standards) in the next few years. CTIL will be installing a 5G outdoor trial in the City in 2019.

13. CTIL has reviewed the feasibility of connecting the outdoor areas of the Barbican and Golden Lane estates with the Wi-Fi and small cells networks using lighting columns on the estates. However a lack of Line of Sight with other Wi-Fi and small cell equipment on surrounding streets has prevented these areas from being connected.
14. 5G will offer greater data speeds and will be heavily reliant upon small cells to ensure optimum coverage at street level. The City Corporation is committed to becoming an early adopter of 5G to support future mobile phone usage and future technologies such as smart city applications and it is expected that there will be significant demand for small cells to be installed on City owned street furniture post 2021 (once 5G standards have been internationally ratified). CTIL will be installing a 5G outdoor trial in the City in 2019.
15. The Wireless Concession promotes the City as an exemplar in providing world class wireless infrastructure, to support agile working and future adoption of smart cities applications. The London Assembly Regeneration Committee's *"Digital Connectivity in London"* report published on 29th June 2017 recognised the leading role of the City Corporation in delivering a world leading wireless infrastructure across the Square Mile.
16. It is important that the Square Mile is in a state of readiness for the roll-out of 4G cells and for when 5G becomes available. As the roll out of 5G evolves beyond 2021, it is widely anticipated that due to the growing requirement for small cells to support 5G, and the limited number of street furniture locations in areas such as the Square Mile, there will be a need to house small cells on building elevations facing the street. This would require a widening of current planning legislation around the number of antennae permitted to be housed on a building (under the General Permitted Development Order 2015), and this is likely to be a future work stream for the City Corporation in line with partner organisations such as the GLA.

Conclusion

17. Whilst the Square Mile has a world class telecommunication infrastructure for those businesses that can afford it, the City has lagged behind other global and UK cities in the provision of affordable gigabit broadband. The securing of Openreach's investment in FTTP is expected to overcome this problem, however the lack of engagement from building owners presents a significant hurdle in ensuring delivery of "full fibre" infrastructure. It is expected that the appointing of a specialist property agent to identify unknown building ownerships can overcome this issue and allow all of the Square Mile to benefit from FTTP.
18. The Wireless Concession granted to CTIL has already put the City Corporation ahead of the game in delivering a world leading free to use public gigabit Wi-Fi network and being the first in the UK to deploy a network of 4G small cells. The concession will also provide attractive market conditions to encourage greater investment from mobile operators so that the Square Mile will be an early adopter of 5G networks in 2021.

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