



Digital Services Sub (Finance) Committee

Date: FRIDAY, 5 APRIL 2019

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 Sir Andrew Parmley
James Tumbridge
Rehana Ameer
Deputy Hugh Morris

Enquiries: Rofikul Islam
Rofikul.islam@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 or 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 of the meeting of 4th February 2019.

For Decision
(Pages 1 - 8)
4. **OUTSTANDING ACTIONS FROM PREVIOUS MEETINGS**
Report of the Chamberlain.

For Information
(Pages 9 - 10)
5. **FORWARD PLAN - MARCH 2019**
Joint report of the Town Clerk's Department and the Chamberlain.

For Information
(Pages 11 - 12)
6. **CHANGE AND ENGAGEMENT UPDATE**
Report of the Chamberlain.

For Information
(Pages 13 - 16)
7. **DIGITAL SERVICES SUB-COMMITTEE (DSSC) TERMS OF REFERENCE**
Report of the Town Clerk's Department.

For Decision
(Pages 17 - 20)
8. **CR 16 INFORMATION SECURITY RISK**
Report of the Chamberlain.

For Information
(Pages 21 - 40)
9. **IT DIVISION - IT SERVICE DELIVERY SUMMARY**
Report of the Chamberlain.

For Information

(Pages 41 - 46)

10. **FREEMEN'S SCHOOL: IT MANAGED INFRASTRUCTURE SERVICE**

Report of the Headmaster, Freeman's School, as the Chief Officer.

For Decision
(Pages 47 - 68)

11. **LIBRARY SELF SERVICE KIOSKS**

Report of the Director of Community and Children's Services.

For Information
(Pages 69 - 90)

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

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

14. **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

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

To agree the non-public minutes of the meeting held on 4 February 2019.

For Decision
(Pages 91 - 94)

16. **IT DIVISION RISK UPDATE**

Report of the Chamberlain.

For Information
(Pages 95 - 108)

17. **2020 SOURCING PROJECT - PROGRESS UPDATE MARCH 2019**

Report of the Chamberlain.

For Information
(Pages 109 - 112)

18. **POLICING PROGRAMMES - UPDATE REPORT**

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

For Information

(Pages 113 - 120)

19. **TRANSFORMATION UPDATE - COL & COLP**
Report of the Chamberlain.

For Information
(Pages 121 - 124)

20. **WAIVER REPORT ORACLE LICENSING, SUPPORT & MAINTENANCE FOR FINANCIAL MANAGEMENT SYSTEM & PROPERTY MANAGEMENT SYSTEM FOR COL**
Report of the Director of IT for the City of London Corporation and the City of London Police.

For Decision
(Pages 125 - 152)

21. **CITY OF LONDON POLICE IP TELEPHONY AND CALL RECORDING UPGRADE**
Joint report of the Chamberlain and the Commissioner the City of London Police.

For Information
(Pages 153 - 170)

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

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

DIGITAL SERVICES SUB (FINANCE) COMMITTEE

Monday, 4 February 2019

Minutes of the meeting of the Digital Services Sub (Finance) Committee held at Guildhall, EC2 on Monday, 4 February 2019 at 11.00 am

Present

Members:

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

Officers:

Rofikul Islam	- Town Clerk's Department
Emma Cunnington	- Town Clerk's Department
Sean Green	- Chamberlain's Department
Andrew Bishop	- City of London Police
Mona Moore	- Chamberlain's Department
Colin Tharby	- Chamberlain's Department
Sean Spicer	- Chamberlain's Department
Kevin Mulcahy	- Chamberlain's Department
Sam Collins	- Chamberlain's Department
Jonathan Chapman	- City of London Police
Matt Gosden	- Chamberlain's Department
Peter Kane	- Chamberlain's Department
Gary Brailsford-Hart	- City of London Police

In attendance:

Eugene O'Driscoll	Agilisys
Sean Grimes	Agilisys

1. **APOLOGIES**

Apologies were received from Tim Levene and Alderman Sir Andrew Parmley.

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

There were no declarations.

3. **MINUTES OF THE PREVIOUS MEETING**

RESOLVED – That the public minutes and summary of the meeting held on 2 November 2018 be approved as a correct record subject to the following change:

- That Deputy Hugh Morris' apologies for that meeting be noted.

The Chairman advised that he would be adding his electronic signature to the minutes in due course.

4. **OUTSTANDING ACTIONS FROM PREVIOUS MEETINGS**

The Sub-Committee received a joint report of the Town Clerk and the Chamberlain outlining outstanding actions from the previous meetings.

The Chairman took this opportunity to advise the Sub-Committee that items 8 and 19 from that day's agenda had been withdrawn. In addition, Members were informed that there had been some movement on the items and that item 21 and item 28 were to be moved into the public session.

RESOLVED, that:

- The report be noted.

5. **WORK PROGRAMME FOR FUTURE MEETINGS**

The Sub-Committee received a joint report of the Town Clerk and the Chamberlain concerning a forecast of events relevant to the Digital Services Sub Committee.

Members commented on the June 2019 session regarding 'New Ways of Working Review' that the timing of the session seemed to be too late and that the correct terminology to use was 'smart' working. In addition, Members agreed that a yearly plan, rather than quarterly, would be better focused and more useful for Members to receive, and it be noted that the programme would be flexible.

RESOLVED, that:

- The forward plan be noted.

6. **CHAMBERLAIN'S DEPARTMENT DIGITAL ADOPTION**

The Sub-Committee heard a presentation from the Chamberlain regarding his department's digital adoption.

Members heard how the Chamberlain's Department had been recognised as a leading example and enabler for digital change within the organisation. The Chamberlain mentioned highlights including:

- That through the IT Transformation Programme, the department delivered 2,600 Windows 10 devices and 936 mobile devices to the organisation.

- In the Chamberlain's department, this included a move to 100% laptops, encouraging more staff to work flexibly through providing greater agility to work anytime and from anywhere. The Chamberlain reported that his department was the primary adopter for Skype for Business (65%) and SharePoint (59%).

A Member raised concerns that in light of the digital approach for service users, consideration was needed for some residents, who were not computer literate and may feel isolated, as a result. The Chamberlain assured the Sub-Committee that the City Corporation was intending on encouraging residents to use the online services but not to make this mandatory. The Chairman also referenced the grants given by the City Bridge Trust to programmes that help those who need to enhance their digital skills across London.

A Member commented that other local authorities have had issues with their data collection proformas where fields are made mandatory, which legally have no mandatory basis. He urged the City Corporation to be careful in terms of how it asked for personal information online.

Lastly, a Member encouraged the Chamberlain to think about measuring the effectiveness and customer experience of online services. The Chamberlain reported an increase of improved responses to feedback surveys from customers and work that was being undertaken to drive down costs to services to ensure that it can be maintained.

RESOLVED, that:

- The presentation be noted.

7. **DIGITAL STRATEGIC FRAMEWORK**

The Subcommittee received a presentation from the Head of Corporate Strategy and Performance, which gave an overview on the Digital Strategic Framework at a corporate level. The presentation emphasised that the Digital Strategic Framework would lead towards a more user-friendly service, more choices with lower costs and assist City Corporation departments to deliver more for less.

Members then made the following key points:

- It was important to avoid jargon such as "add value" and be clear on what specific outcomes would be;
- Questions were raised over the use of the term "strategic" and discussed whether the framework was tactical;
- Important to see alignment of different digital services and how the City Corporation would prioritise individual services.

RESOLVED, that:

- The presentation be noted.

8. **CASE FOR A DIGITAL STRATEGIC FRAMEWORK**

Item 8 was withdrawn from the agenda.

9. **GENERAL DATA PROTECTION REGULATION (GDPR/DATA PROTECTION ACT 2018 (DPA))**

The Committee considered a report of the Comptroller and City Solicitor, which provided a general update on the progress of phase two of the GDPR/DPA

Implementation Project and the planned outcomes for the final phase of the work to embed GDPR/DPA implementation into the City Corporation.

Members heard how the Finance Committee and Policy & Resources Committee would be considering a change in the terms of reference of the Digital Services Sub Committee to ensure that all physical and mechanical breaches of GDPR would be reported to this Sub-Committee. It was noted that the Chairman of the Audit and Risk Management Committee also received notice of ICO breach reports as they happened and members requested that they receive updates of detailed reports every six months.

A Member, noting that the Electoral Services Team had not completed their self-audit, stressed the importance of the Team to check its cloud based services would not be affected by moving out of the European Economic Area after Brexit. The Member also noted that it was important that the Information Commissioner's Office (ICO)'s advice be clarified, as an organisation would need specific reasons to explain why it had missed the 72 hour window to report a GDPR breach.

The Chairman commended the Comptroller & City Solicitor on his recent GDPR accreditation.

A Member noticed that there appeared to be compliance issues with Human Resources and Department of Built Environment. The Comptroller reassured the Member that some of these red risks were ready to be moved to amber, and that he expected green status to move to 80% across the City Corporation.

In addition, Members heard how the Barbican Estate had been breaking down barriers by translating information to non-English speakers who live in the Barbican so that they understood the importance of data security.

The Sub-Committee expressed collective disappointment for those Departments who are not 100% GDPR compliant and suggested any Department that failed to adhere to the standards put in place on GDPR/PDA would be asked to appear before this Sub Committee.

RESOLVED – That the Committee:

- note the report;
- receive further GDPR/DPA monitoring reports in relation to data breach at a frequency of every six months;
- request that any Department who failed to maintain 100% GDPR compliance be invited to explain the reasons for this at the Digital Services Sub Committee.

10. **CR 16 INFORMATION SECURITY RISK**

The Committee considered a report of the Chamberlain on CR 16 Information Security Risk.

A Member asked for further clarification on the delineation of CR16 and the risk relating to GDPR. Members heard that the information security policies were incorporated into other policies (such as the Social Media policy).

RESOLVED – that the Sub Committee:

- note the report;
- agree that the risk can be recommended to the Audit and Risk Committee to be moved to Amber.

11. IT DIVISION - IT SERVICE DELIVERY SUMMARY

The Sub Committee received a report of the Chamberlain regarding a summary of the IT Service's recent delivery.

RESOLVED – that the report be noted.

12. IT DIVISION RISK UPDATE

The Sub Committee received a report of the Chamberlain updating Members on IT risks.

Members welcomed the active management of a risk register and asked for further analysis to be circulated electronically outside of the meeting.

RESOLVED – that the report be noted.

13. UPDATE ON NEW WEBSITE

The Sub Committee received a report of the Director of Communications on the progress of the new website.

Members heard how a supplier for the website had now been selected and a Project Manager from the supplier was working closely with the City Corporation.

Following a comment, it was also reported that the chosen supplier had the facility to maintain the website platform using software that is regularly refreshed and updated.

A Member reported that the maintenance of the current website took longer than advertised the previous weekend and that the holding message should have been updated to reflect this.

Members were in agreement that the search engine on the current website was not fit for purpose, therefore the search engine would be a test to see how successful the new website would be.

Members discussed that whilst the Public Relations and Economic Development Sub Committee would also receive updates on the website in respect of its content, it was important that this Sub Committee also received an update if the project is under schedule or over budget in six months' time.

RESOLVED – that the report be noted.

14. **MICROSOFT LICENSING AND CLOUD PRODUCTIVITY SUITE (OFFICE 365)**

The Sub Committee received a report of the Chamberlain on Microsoft Licencing and Cloud productivity suite (Office 365).

A Member noted that Office 365 is widely used by other Local Authorities but that some of those Local Authorities found they had legal issues around the location of where the servers for Office 365 were hosted.. The Director of IT was asked to verify the location for the City Corporation's servers.

At this point, the Chairman moved item 21 and item 28 into the public session.

15. **SMART WORKING UPDATE**

The Committee received a report of the Chamberlain updating Members on progress with the Smart Working Programme.

RESOLVED – that the report be noted.

16. **MARKETS STOCK CONTROL SOFTWARE**

The Committee received a report of the Chamberlain updating Members on progress in the implementation and adoption of the Markets Stock Control Software.

RESOLVED – that:

- The report be noted;
- The report be shared with the Markets Committee

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

There were no questions.

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

There was one item of other business. The Chairman took the opportunity to introduce Rofikul Islam to the Sub Committee as its new committee clerk.

19. **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.

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

That the non-public minute and summary of the meeting held on 2 November 2018 be approved as a correct record.

21. **INFORMATION & CYBER SECURITY STRATEGY - SECURITY SPEND FORECAST**

Item 19 had been withdrawn.

At this point, the Chairman agreed to take items 22 and 27.

22. **2020 SOURCING PROJECT - POSITION STATEMENT**
The Sub Committee considered a report of the Chamberlain concerning the City Corporation's contract with Agilisys, which was due to expire on 31 August 2020.
23. **COL IT TRANSFORMATION PHASE II IT SERVICE 2020 CONTRACT**
The Sub Committee received a joint report of the Chamberlain and the Commissioner of the City of London Police on the City Corporation's IT Service 2020 Contract.
24. **COLP IT MODERNISATION - MANAGED DESKTOP & O365**
The Committee received a joint report of the Chamberlain and the Commissioner of the City of London Police concerning City of London Police IT Modernisation Managed Desktop and Office 365.
25. **COLP IT MODERNISATION - SECURITY ZONE**
The Committee received a joint report of the Chamberlain and the Commissioner of the City of London Police regarding the CoLP IT Modernisation Security Zone.
26. **HOUSING MANAGEMENT SYSTEM UPGRADE**
The Committee received a report of the Director of Community and Children Services on the Housing Management System Upgrade.
27. **CONTRACT VARIATION: MIDLAND iTRENT HR AND PAYROLL SYSTEM EXTENSION**
The Committee considered a report of the Chamberlain on the increase of contract value for Midland iTrent HR and Payroll system's extension.
28. **POLICING PROGRAMMES - UPDATE REPORT**
The Committee received a report of the Chamberlain and the Commissioner of the City of London Police updating Members on the current position of the Home Office's National Policing Programmes and local projects.
29. **SYNECTICS COMPLAINT WAIVER**
The Committee considered a report of the Chamberlain concerning the Synectic Complaint Waiver.
30. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB COMMITTEE**
There were no non-public questions.
31. **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 12.47 pm

Chairman

Contact Officer: Rofikul Islam
Rofikul.islam@cityoflondon.gov.uk

Digital Services Sub Committee – Outstanding Actions- Public

Item	Date	Action	Officer(s) responsible	To be completed / progressed to next stage	Progress Update
1.	4 February 2019	IT Division Risk Update	Director of IT	April 2019	<p>Members welcomed the active management of a risk register and asked for further analysis to be circulated electronically outside of the meeting.</p> <p>When there is more than 6 weeks between DSSC meetings an updated risk report will be circulated to committee Members via committee services to allow for the monthly cycle of reviewing and updating IT risks. This will start from April 2019 onwards</p>

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Agenda Item 5

Forward Plan – Updated March 2019

Report Title	Report Month	Category	Who
IT Division Business Plan	May 2019	Strategic	SG
Information Management Strategy	May 2019	Operational	MG
Migration of Drives and IM Protective Marking	May 2019	Strategic	MG
Presentation from Open Spaces	May 2019	Strategic	KM
Information Management Roadmap	May 2019	Strategic	KS/SG
Digital Services Strategy CoL and CoLP	June 2019	Strategic	KS/SG
Web Project Update	June 2019	Strategic	BR
Police Accommodation Programme Technology Roadmap Update	June 2019	Strategic	AB
Police National Programmes Update	June 2019	Strategic	AB
Presentation from Markets and Consumer Protection	June 2019	Strategic	TBC
IT Operating Model Implementation Review	September 2019	Strategic	SG
IT Service Benchmarking Review	September 2019	Strategic	MG
Review the Data Protection Policy	September 2019	Strategic	MC
Post 2020 Strategic IT Partner Procurement Update	September 2019	Strategic	KM
Smart Working Review	September 2019	Strategic	SC
GDPR Update	September 2019	Strategic	MC
2020 Procurement Sign off	November 2019	Strategic	KM
Presentation from City Surveyors	November 2019	Strategic	TBC
Update on Information Management	November 2019	Strategic	SG
Web Project Update	November 2019	Strategic	MR
Presentation from DBE	TBA	Strategic	TBA
Presentation from Economic Development	TBA	Strategic	TBA
Presentation from Town Clerks	TBA	Strategic	TBA
Presentation from Remembrancer	TBA	Strategic	TBA
Presentation from Comptroller	TBA	Strategic	TBA
Presentation from Barbican	TBA	Strategic	TBA
Presentation from CoLP	TBA	Strategic	TBA

Contributors

Sean Green – SG

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

Committee(s)	Dated:
Digital Services Sub Committee – For Information	28 th March 2019
Subject: Change and Engagement Update	Public
Report of: The Chamberlain	For Information
Report author: Sam Collins, Head of Change and Engagement	

Summary

February saw the deployment of Microsoft Teams across the City Corporation, this is now in use by over 600 staff. Adoption levels for SharePoint and Skype for Business continue to increase month on month. Work has started to upgrade the Audio Visual (AV) equipment and install Skype Room systems in Chief Officer's rooms, Corporate meeting rooms and Committee rooms.

Recommendation(s)

Members are asked to:

- *Note the report.*

Main Report

Background

1. The desktop element of the IT Transformation Programme completed in February 2018, with the delivery of Windows 10 devices and Microsoft Office 365 to the organisation. This 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

2. The User Adoption Dashboard (delivered through PowerBI) continues to provide significant insight into City Corporation staff using the various technology elements, as well as the level of use.
 - Around 1200 City Corporation staff are regularly using Skype for Business.
 - There has been a month on month increase in the total use of Skype Audio and Video functionality, peaking at over 460 hours in February –

this has doubled since the end of the Collaborate campaign in October 2018 (see figure 1).

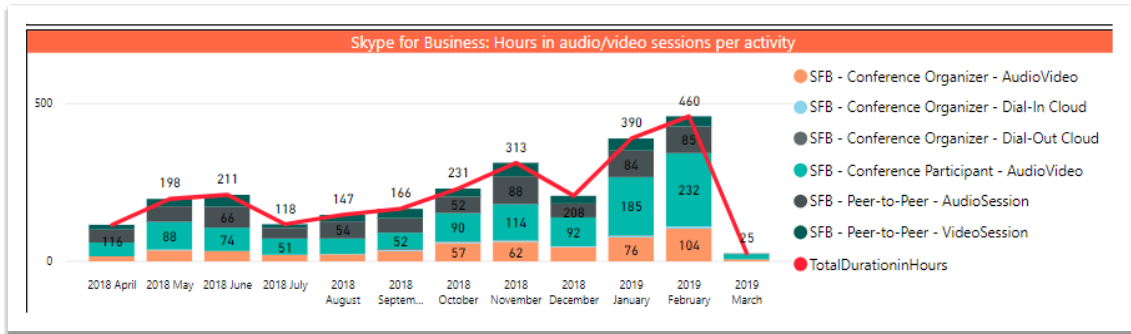


Figure 1

- The no. of active SharePoint sites across the organisation continues to increase – in February there were 581 active SharePoint sites, more than double the figure this time last year (Figure 2).

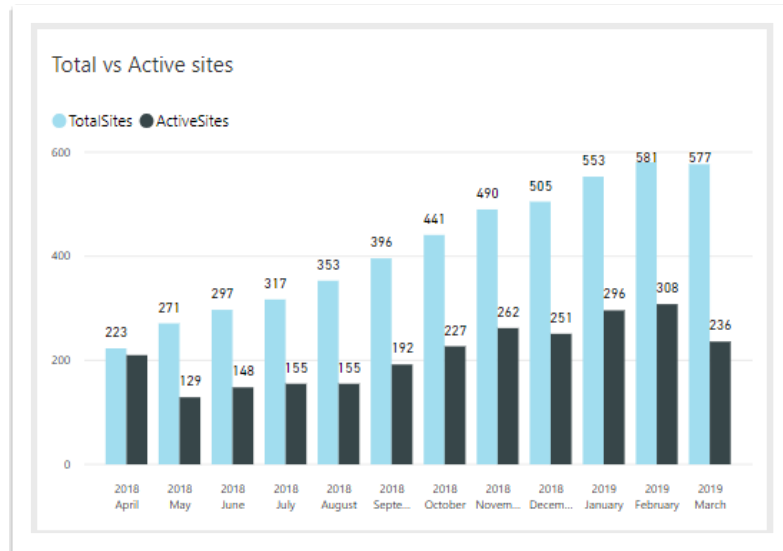


Figure 2

- Chamberlain’s department and the Town Clerk’s department remain at the forefront of adoption on Skype for Business and SharePoint.

Skype Video-Conferencing Rooms

3. One of the Adoption barriers highlighted in the Sei Mani Report (Sept 2018), was the lack of appropriate Audio-Visual (AV) Equipment in offices and meeting spaces. This is being addressed through a series of installations;
 - Skype Room Systems and display screens have been installed and are now in use in the Chairmen of Policy and Resources’ office, the Chamberlain’s Office and the City Surveyor’s Meeting Room;

- A mobile Collaboration Screen, with videoconferencing functionality, has been provided for use in Committee Rooms;
- A project is underway to install Skype Room Systems and display screens in 5 Chief Officer's offices and meeting rooms;
- A further three pilot rooms have been agreed, including Chairmen's Meeting Room 1 and two Corporate meeting spaces.
- Subject to appropriate funding, these will be followed by a larger project to equip all Corporate Meeting Rooms and Committee Rooms with high quality AV equipment to enable audio and video conferencing capability.

Microsoft Teams

4. Microsoft Teams was launched across the City Corporation on 11th February and remotely installed to all desktops and laptops. The launch included an automated provisioning process using the O365 Toolkit (SharePoint, Flow). To date, over 100 Teams have now been requested, and it is in use by over 600 City Corporation Staff. Teams is Microsoft's fastest growing business application.
5. The collaboration software's core capabilities include messaging, calling, video meetings and file sharing through bringing together the functionality of other O365 applications. Microsoft Teams was original launched by Microsoft in March 2017 and is now used by more than 200,000 organisations.

Sam Collins

Head of Change and Engagement, IT Division

T: 020 7332 1504

E: sam.collins@cityoflondon.gov.uk

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Committee: Digital Services Sub Committee	Date: 28 March 2019
Subject: Annual Review of the Sub-Committee's Terms of Reference	Public
Report of: Town Clerk	For Decision
Report author: John Cater, Town Clerk's Department	

Summary

As part of the post-implementation review of the changes made to the governance arrangements in 2011, it was agreed that all committees should review their terms of reference annually. This enables any proposed changes to be considered in time for the reappointment of Committees by the Court of Common Council.

It is proposed to formally change the name of the Sub-Committee from the Information Technology Sub-Committee to the **Digital Services Sub-Committee**. Furthermore, it is proposed that the Sub-Committee assume responsibility for the *additional responsibilities of overseeing IT Security practices and compliance and the Data Protection compliance (all media including paper)*. The Terms of Reference of the Digital Services Sub-Committee are attached as an appendix to this report for your consideration.

Recommendation

That the Sub-Committee:

- a) subject to any comments and agreement, approves the Terms of Reference of the Digital Services Sub Committee for submission to the Court (as a sub set of the Finance Committee Terms of Reference) as set out in the appendix 1;
- b) considers the frequency of meetings of the Sub-Committee; and
- c) agrees that any changes to the Terms of Reference required in the lead up to the appointment of Committees be delegated to the Town Clerk, in consultation with the Chairman and Deputy Chairman.

Main Report

Review of the Committee's Terms of Reference and Frequency of Meetings

1. There are two amendments which are proposed to the Committee's Terms of Reference.
2. These proposed amendments are set out within the Terms of Reference set out at Appendix 1.

3. In addition, Members are asked to consider the frequency of meetings for the Sub-Committee. Currently meetings of the Committee are scheduled to be held bimonthly. In 2019/20, six meetings of the Sub-Committee are scheduled.

Appendices

- Appendix 1 – Digital Services Sub Committee Terms of Reference

Contact:

John Cater

Telephone: 020 7332 1407

Email: John.Cater@cityoflondon.gov.uk

Digital Services Sub-Committee (DSSC) Terms of Reference

The DSSC recommends Digital Services and Information Management strategy for both the City of London Corporation and the City of London Police to the Finance Committee. Furthermore, the Sub Committee also oversees the implementation of said strategy. The delivery of digital services internally by both officers and our contractor partners is also within the remit of the DSSC. ***It also has the additional responsibilities of overseeing IT Security practices and compliance and the Data Protection compliance (all media including paper).***

Composition

- Chairman of the Finance Committee
- Deputy Chairman of the Finance Committee
- One Member appointed by the Police Committee as a Special Interest Area holder.
- Between 10 and 12 further Members, made up of:
 - Members of the Finance Committee, appointed by the Finance Committee.
 - Members of the Court of Common Council, appointed by the Finance Committee. (It is not necessary for there to be a balance between the number of Finance Committee representatives and Court of Common Council Representatives)

Chairmanship

- Chairman – To be nominated by the Chairman of the Finance Committee for approval by the Finance Committee.
- Deputy Chairman – To be appointed by the Chairman of the Sub-Committee for approval by the Finance Committee.

Terms of Reference

- To oversee the risk management and risk assessment of all Digital services to ensure that the services provided allow the effective delivering of the Corporation's and the Police's business operations.
- ***To oversee IT and both physical and computer based Data Protection compliance.***
- To ensure the appropriateness and effectiveness of the Digital infrastructure and services for the City of London Corporation and the City of London Police.
- To ensure that all appropriate actions are taken to assure the security, resilience and sustainability of all Digital systems.
- To operate as an intelligent client for all major IT outsourcing arrangements which have been contracted to third parties.
- To oversee effectiveness and value for money of the digital services provision in all departments.
- Where appropriate, to hold informal workshop meetings to provide an opportunity to give in-depth scrutiny to projects.
- To report back, as necessary, to the Finance Committee.

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Committee(s)	Dated:
Digital Services Sub Committee (DSSC)	28 th March 2019
Subject: CR 16 Information Security Risk	Public
Report of: Chamberlain	For Information
Report author: Gary Brailsford-Hart ,Director of Information & Chief Information Security Officer	

Summary

The generally accepted definition of a data breach is a security incident in which sensitive, protected or confidential data is copied, transmitted, viewed, stolen or used by an individual not authorized to do so.

CR16 was developed as means to capture and mitigate the risks a ‘cyber breach’ would present to the City Corporation. It is evident that dependent on the nature of the breach the impact can vary from very low to critical. Cyber threat is often viewed as a complex, dynamic and highly technical risk area. However, what is often at the root of a breach is a failure to get the basics right, systems not being patched, personnel not maintaining physical security, suppliers given too much information.

The National Cyber Security Centre (NCSC) 10 Steps to Cyber Security framework has been adopted to strengthen the controls in this risk area; this framework is now used by the majority of the FTSE350. The control scores are developing well and are reflective of the ongoing adoption across the City Corporation, all risk areas continue to be actively monitored and risk managed. Scores will continue to increase as improvements to people, process and technology are delivered.

The overall objective is to bring our security controls to an appropriate level of maturity. Currently, the organisation has a target maturity score of Level 4 (Managed and Measureable) across all areas, three controls are currently at this level, and seven control areas are currently at Level 3 (Defined Process). The mitigation controls are currently Amber (action required to maintain or reduce rating), with the ongoing improvements the CR16 risk is currently Amber.

Recommendation(s)

Members are asked to:

- Note the report.

Main Report

Background

1. Cyberspace has revolutionised how many of us live and work. The internet, with its more than 3 billion users, is powering economic growth, increasing collaboration and innovation, and creating jobs.
2. Protecting key information assets is of critical importance to the sustainability and competitiveness of businesses today. The City Corporation needs to be on the front foot in terms of our cyber preparedness. Cyber security is all too often thought of as an IT issue, rather than the strategic risk management issue it actually is.
3. Corporate decision making is improved through the high visibility of risk exposure, both for individual activities and major projects, across the whole of the City Corporation.
4. Providing financial benefit to the organisation through the reduction of losses and improved “value for money” potential.
5. The City Corporation is prepared for most eventualities, being assured of adequate contingency plans. We have therefore adopted the NCSC Ten Steps to Cyber Security framework to assist and support our existing strategic-level risk discussions, specifically how to ensure we have the right safeguards and culture in place.
6. The creation of CR16 demonstrates the City Corporations commitment to the identification and management of this risk area.

Current Position

7. The development and implementation of an Information Security Management System (ISMS) was seen as an essential requirement to permit the measurement and assurance of the CR16 risk. A number of frameworks were considered, and the NCSC Ten Steps to Cyber Security framework, supported by the NCSC 20 Critical Security Controls, was chosen as the most appropriate for the City Corporation.
8. The first step of the ISMS is the “risk management regime“, as the NCSC describe it, this is the strategy that glues different controls and processes together. This ensures we do not fragment the approach to cyber security and identify hidden vulnerabilities and potential for compromise, ensuring the ability to measure the risk profile. The remaining nine steps are broken down into four clear delivery areas: Establish, Manage, Enhance, and Deliver.

Information Risk Management

	% Complete	Target Score	Actual Score	Trend
Information Risk Management	86%	4	4	↑
<p>Risk appetite statement is the next applicable piece of work in this area. Involves an overarching agreement with the SIRO and then a cascade framework for application in each of the business areas across the City. In addition, a code of connection has been developed to support institutional departments connecting to and consuming core IT services from City. This work is pending review of SIRO role and position within the business.</p>				



Establish

	% Complete	Target Score	Actual Score	Trend
Monitoring	72%	4	3	↑
Incident Management	90%	4	4	↑
Secure Configuration	86%	4	3	↑

The deployment, throughout October/November, of the Security Information and Event Management collector has taken place. However, connection work remains outstanding and once in place this will establish direct improvements to the monitoring and secure configuration across the City infrastructure.

Manage

	% Complete	Target Score	Actual Score	Trend
Network Security	69%	4	3	↑
Managing User Privileges	75%	4	3	↑

Network security will directly improve following the implementation of the Security Information and Event Management collector was deployed throughout October/November. The issues of managing user privileges is currently being managed manually and a technical solution has been purchased and is awaiting implementation across the infrastructure – this is a complex piece of software and whilst installation is simple, the application and management will take time to develop and tune.

Enhance

	% Complete	Target Score	Actual Score	Trend
Malware Prevention	68%	4	3	↑
Removable Media Controls	89%	4	4	↑

A project is underway to review the existing anti-malware solution and determine if enhancements are required, this remains ongoing. The removable media controls have recently been reviewed and the deployment of controls have been confirmed. To improve the removable media control score requires further work in respect of policies and user education, this is currently being included within the procedural refresh for removable media across IT, this will include a sign-off process for receipt of device and responsibilities.

Deliver

	% Complete	Target Score	Actual Score	Trend
Home and Mobile Working	64%	4	3	↑
User Education and Awareness	75%	4	3	↑

The next steps for the Home and Mobile Working control area are for a thorough review of user acceptance policies and guidance. In addition, the aging Citrix infrastructure is being replaced, once complete this will improve the scores in this area. A developed schedule of awareness and training is being rolled out across the organisation with a different theme each month.

- To provide an overview of CR16 risk management the current compliance with the HMG Ten Steps assurance programme is detailed below (table 1) under each of the ten steps areas. The control scores continue to improve and are embedding across the City Corporation, the risk areas are actively monitored and risk managed. Scores continue to increase as improvements to people, process and technology are delivered as part of the continuous improvement process. We have delivered and assessed the mitigation controls and believe that we have achieved an acceptable level of assurance. Furthermore, the risk management framework will reflect the controls as they mature within the organisation.

Table 1 - HMG Ten Steps assurance for the City Corporation as at March 2019

Ten Steps - Control Area	% Complete	Target Score	Actual Score	Trend
1. Information Risk Management	86%	4	4	↑
2. Network Security	69%	4	3	↑
3. Malware Prevention	68%	4	3	↑
4. Monitoring	72%	4	3	↑
5. Incident Management	90%	4	4	↑
6. Managing User Privileges	75%	4	3	↑
7. Removable Media Controls	89%	4	4	↑
8. Secure Configuration	86%	4	3	↑
9. Home and Mobile Working	64%	4	3	↑
10. User Education and Awareness	75%	4	3	↑

Options

10. Endorsement and support for the management and delivery of CR16 risk management plan has been obtained directly from chief officers as well as strategically via papers to Summit Group, Digital Services Sub and Finance Committees.

Proposals

11. Continue to implement the 10 steps programme across the City Corporation.
12. Continue to monitor threat, risks and harm and make recommendations for changing the risk status accordingly.

Implications

13. Failure to demonstrate appropriate controls in this risk area will expose the City Corporation to unacceptable levels of risk and could hinder a number of strategic objectives.
14. There are also a number of statutory requirements to consider for the management of this risk area, these are summarised at Appendix 3.

Health Implications

15. There are no health risks to consider as part of this report.

Conclusion

16. There is an extensive programme of work underway to mitigate the risks identified within CR16. This report articulates the work in progress and clearly identifies where we will be directing continuing effort to manage this risk to an initial acceptable level and then monitoring as the controls mature across the organisation.
17. The breadth and scope of the necessary controls are cross-organisational and should not be entirely seen as a technical issue to be solved by the IT department. For example if users leave the door open and their computers logged on then technical controls cannot in themselves defend the organisation.
18. The realisation of this risk would certainly have a severe impact on technical systems and directly impact the operational effectiveness of potentially the entire City Corporation. It is therefore imperative that the underlying issue of developing a security culture is supported through the delivery of risk controls for CR16. There is positive support for this work across the organisation and senior management understand and are supportive of the necessary changes to ensure the City Corporation's security.
19. It is important to note that whilst we are improving the CR16 risk position, it will only remain so with the continued operation and maintenance of the controls

being put in place to manage it and should not therefore be considered a one-off exercise.

Appendices

Detailed Appendices available on request:

- Appendix 1 – CR16 Information Security
- Appendix 2 – 10 Steps to Cyber Security Dashboard & Breakdown
- Appendix 3 – Statutory Requirements Summary
- Appendix 4 – Maturity Scoring Matrix

Gary Brailsford-Hart

Director of information & Chief Information Security Officer

T: 020 7601 2352 E: gary.brailsford@cityoflondon.police.uk

Appendix 1 – CR16 Updated Risk Report

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CHB IT 030 Information Security (formerly CR16) 14-Mar-2019 Peter Kane	Cause: Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information. Event: Cybersecurity attack - unauthorised access to COL IT systems. Loss or mishandling of personal or commercial information. Effect: Failure of all or part of the IT Infrastructure, with associated business systems failures. Harm to individuals, a breach of legislation such as the Data Protection Act 2018. Incur a monetary penalty of up to £500,000. Compliance enforcement action. Corruption of data. Reputational damage to Corporation as effective body.		12	Following approval from Summit the risk has been reduced to Amber. this will be reduced to a Departmental Level Risk 11 Mar 2019		8	31-Jan-2019	 Decreasing

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR16b Review and strengthen Data Retention, Management and Ownership.	For all major systems establish data owner and retention policy for information therein.	Complete	Sean Green	23-May-2018	30-Apr-2018
CR16h Online Training for Members	Online training to be made available to Members following workshop in February 2016.	Complete	Gary Brailsford-Hart	23-May-2018	30-Apr-2018
CR16i Technical Security Infrastructure	The Development and implementation of more technical security infrastructure	Using a recognised Cyber security maturity model there is a dashboard being reported that shows via a RAG status 10 areas of focus to mitigate this risk with training, processes and tools being delivered that in combination will bring the risk to Amber by June 2018. Dedicated project manager is supporting the delivery of new Cyber protection solutions for the CoL and CoLP estates. – Action now completed	Sean Green	20-Aug-2018	30-Jun-2018
CR16j GDPR Lessons Learnt	GDPR Data Breaches lessons learned being reviewed by the IT Security team, with mitigations agreed and implemented to reduce the likelihood of similar data breaches in the future. To be reported to the IT Sub-Committee November 2018 meeting	Complete - Lessons learned completed on breaches and additional training provided to staff where required.	Gary Brailsford-Hart	13-Dec-2018	30-Nov-2018

Appendix 1 – CR16 Updated Risk Report

CR16k Final stages of completing IT security projects	Final stages of completing IT security projects which will mean that we can assure Members that the City of London Corporation has implemented all the national government recommended security practices and technology achieving a maturity level of 4.	IT Security projects have been delivered as planned. The IT Security team are recommending to the Audit and Risk Committee that this risk is reduced to Amber.	Gary Brailsford-Hart	06-Feb-2019	04-Feb-2019
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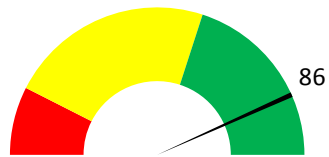
City of London Corporation

10 Steps Maturity Assessment

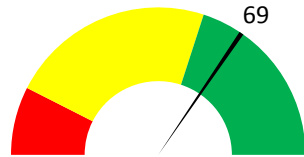
01 March 2019

10 Steps to Cyber Security: Dashboard

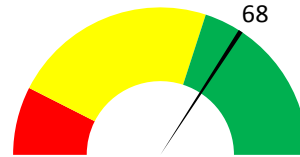
1. Information Risk Management



2. Network Security



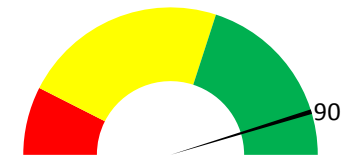
3. Malware Prevention



4. Monitoring



5. Incident Management

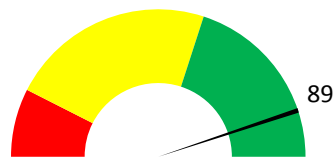


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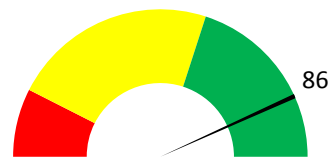
6. Managing User Privileges



7. Removable Media Controls



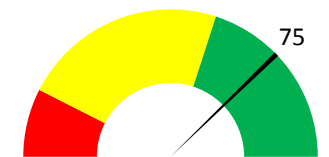
8. Secure Configuration



9. Home and Mobile Working



10. User Education and Awareness



	% Complete	Target Score	Actual Score
Information Risk Management	86%	4	4
Establish a governance framework	100%	4	4
Determine the organisation's risk appetite	25%	4	2
Maintain the Board's engagement with information risk	100%	4	4
Produce supporting policies	100%	4	4
Adopt a lifecycle approach to information risk management	100%	4	4
Apply recognised standards	100%	4	4
Make use of endorsed assurance schemes	100%	4	4
Educate users and maintain their awareness	75%	4	3
Promote a risk management culture	75%	4	3

	% Complete	Target Score	Actual Score
Monitoring	72%	4	3
Establish a monitoring strategy and supporting policies	50%	4	2
Monitor all ICT systems	75%	4	3
Monitor network traffic	75%	4	3
Monitor all user activity	75%	4	3
Fine-tune monitoring systems	50%	4	2
Establish a centralised collection and analysis capability	75%	4	3
Provide resilient and synchronised timing	100%	4	4
Align the incident management policies	75%	4	3
Conduct a lessons learned review	75%	4	3

	% Complete	Target Score	Actual Score
Removable Media Controls	89%	4	4
Produce corporate policies	50%	4	2
Limit the use of removable media	100%	4	4
Scan all media for malware	100%	4	4
Formally issue media to users	100%	4	4
Encrypt the information held on media	100%	4	4
Actively manage the reuse and disposal of removable media	100%	4	4
Educate users and maintain their awareness	75%	4	3

	% Complete	Target Score	Actual Score
User Education and Awareness	75%	4	3
Produce a user security policy	75%	4	3
Establish a staff induction process	50%	4	2
Maintain user awareness of the cyber risks faced by the organisation	75%	4	3
Support the formal assessment of Information Assurance (IA) skills	100%	4	4
Monitor the effectiveness of security training	50%	4	2
Promote an incident reporting culture	75%	4	3
Establish a formal disciplinary process	100%	4	4

	% Complete	Target Score	Actual Score
Network Security	69%	4	3
Police the network perimeter	75%	4	3
Install firewalls	100%	4	4
Prevent malicious content	75%	4	3
Protect the internal network	80%	4	3
Segregate network as sets	25%	4	1
Secure wireless devices	100%	4	4
Protect internal IP addresses	25%	4	1
Enable secure administration	25%	4	2
Configure the exception handling process	100%	4	4
Monitor the network	50%	4	2
Assurance process	100%	4	4

	% Complete	Target Score	Actual Score
Incident Management	90%	4	4
Obtain senior management approval	100%	4	4
Provide specialist training	100%	4	4
Define the required roles and responsibilities	100%	4	4
Establish a data recovery capability	100%	4	4
Test the incident management plan	100%	4	4
Decide what information will be shared and with whom	50%	4	2
Collect and analyse post-incident evidence	75%	4	3
Conduct a lessons learned review	100%	4	4
Educate users and maintain their awareness	75%	4	3
Report criminal incidents to law enforcement	100%	4	4

	% Complete	Target Score	Actual Score
Secure Configuration	86%	4	3
Use supported software	80%	4	3
Develop and implement corporate policies to update and patch systems	100%	4	4
Create and maintain hardware and software inventories	80%	4	3
Manage your operating systems and software	100%	4	4
Conduct regular vulnerability scans	75%	4	3
Establish configuration control and management	75%	4	3
Disable unnecessary peripheral devices and removable media access	100%	4	4
Implement white-listing and execution control	100%	4	4
Limit user ability to change configuration	100%	4	4
Limit privileged user function	50%	4	2

	% Complete	Target Score	Actual Score
Malware Prevention	68%	4	3
Develop and implement anti-malware policies	75%	4	3
Manage all data import and export	75%	4	3
Blacklist malicious web sites	100%	4	4
Provide detailed media scanning machines	25%	4	1
Establish malware defences	75%	4	3
End user device protection	50%	4	2
User education and awareness	75%	4	3

	% Complete	Target Score	Actual Score
Managing User Privileges	75%	4	3
Establish effective account management processes	100%	4	4
Establish policy and standards for user identification and access control	75%	4	3
Limit user privileges	75%	4	3
Limit the number and use of privileged accounts	75%	4	3
Monitor	75%	4	3
Limit access to the audit system and the system activity logs	50%	4	2
Educate users and maintain their awareness	75%	4	3

	% Complete	Target Score	Actual Score
Home and Mobile Working	64%	4	3
Asses the risks and create a mobile working security policy	50%	4	2
Educate users and maintain their awareness	50%	4	2
Apply the security baseline	100%	4	4
Protect data at rest	100%	4	4
Protect data in transit	75%	4	3
Review the corporate incident management plans	75%	4	3

Control Area	% Complete	Target Score	Actual Score
Information Risk Management	86%	4	4
Network Security	69%	4	3
Malware Prevention	68%	4	3
Monitoring	72%	4	3
Incident Management	90%	4	4
Managing User Privileges	75%	4	3
Removable Media Controls	89%	4	4
Secure Configuration	86%	4	3
Home and Mobile Working	64%	4	3
User Education and Awareness	75%	4	3

Current status of 10 Step control areas across organisation.

ASSESSMENT DATE: 01 March 2019

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Appendix 3: Statutory Requirements Summary

Data Protection Act 2018

<http://www.legislation.gov.uk/ukpga/2018/12/contents>

The Data Protection Act regulates the use of personal data by organisations. Personal data is defined as information relating to a living, identifiable individual.

The Act is underpinned by six guiding principles which requires that personal data shall be:

- a) processed lawfully, fairly and in a transparent manner in relation to individuals ('lawfulness, fairness and transparency');
- b) collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes ('purpose limitation');
- c) adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed ('data minimisation');
- d) accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay ('accuracy');
- e) kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by the GDPR in order to safeguard the rights and freedoms of individuals ('storage limitation');
- f) processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures ('integrity and confidentiality')."

As a data controller, the City Corporation must also notify annually with the Information Commissioner's Office. The Act also places a responsibility on the Controller to notify the ICO of data breaches within 72 hours. The Information Commissioner has the power to issue fines of up to 4% of annual global turnover or 20 million euros (whichever is the greater) for a breach of the Data Protection Act.

Freedom of Information Act 2000

<http://www.legislation.gov.uk/ukpga/2000/36/contents>

The Freedom of Information Act gives individuals a right of access to information held by the City Corporation, subject to a number of exemptions. Requests for information must be made in writing (email, letter or fax) but can be received by any member of staff at the City Corporation. Such requests must be responded to within 20 working days. The City Corporation has an internal appeal process if a requester is unhappy with a response to a request and the Information Commissioner regulates the Act.

Privacy and Electronic Communications Regulations 2003

<http://www.legislation.gov.uk/uksi/2003/2426/contents/made>

Section 11 of the Data Protection Act allows individuals to control the direct marketing information they receive from organisations. The Privacy and Electronic Communications Regulations specifically regulate the use of electronic communications (email, SMS text, cold calls) as a form of marketing and allow individuals to prevent further contact.

Regulation of Investigatory Powers Act (RIPA) 2000

<http://www.legislation.gov.uk/ukpga/2000/23/contents>

RIPA regulates the powers of public bodies to carry out surveillance and investigation and also deals with the interception of communications.

Copyright, Designs and Patents Act 1988

<http://www.legislation.gov.uk/ukpga/1988/48/contents>

The Copyright, Designs and Patents Act (CDPA) defines and regulates copyright law in the UK. CDPA categorises the different types of works that are protected by copyright, including:

- Literary, dramatic and musical works;
- Artistic works;
- Sound recordings and films;
- Broadcasts;
- Cable programmes;
- Published editions.

Computer Misuse Act 1990

<http://www.legislation.gov.uk/ukpga/1990/18/contents>

The Computer Misuse Act was introduced partly in reaction to a specific legal case (R v Gold and Schifreen) and was intended to deter criminals from using a computer to assist in the commission of a criminal offence or from impairing or hindering access to data stored in a computer. The Act contains three criminal offences for computer misuse:

- Unauthorised access to computer material;
- Unauthorised access with intent to commit or facilitate commission of further offences;
- Unauthorised modification of computer material.

Human Rights Act 1998

<http://www.legislation.gov.uk/ukpga/1998/42/contents>

The Human Rights Act puts the rights set out in the 1953 European Convention on Human Rights into UK law. Article 8, relating to privacy, is of most relevance to information security – it provides a right to respect for an individual's "private and family life, his home and his correspondence", a right that is also embedded within the Data Protection Act.

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

The Equality Act was introduced in October 2010 to replace a number of other pieces of legislation that dealt with equality, such as the Equal Pay Act, the Disability Discrimination Act and the Race Relations Act. The Equality Act implements the four major EU Equal Treatment Directives.

Terrorism Act 2006

<http://www.legislation.gov.uk/ukpga/2006/11/contents>

The Terrorism Act creates a number of offences in relation to terrorism. Section 19 of the Act imposes a duty on organisations to disclose information to the security forces where there is a belief

or suspicion of a terrorist offence being committed. Failure to disclose relevant information can be an offence in itself.

Limitation Act 1980

<http://www.legislation.gov.uk/ukpga/1980/58>

The Limitation Act is a statute of limitations providing legal timescales within which action may be taken for breaches of the law – for example, six years is the period in which an individual has the opportunity to bring an action for breach of contract. These statutory retention periods will inform parts of the City Corporation's records management policy.

Official Secrets Act 1989

<http://www.legislation.gov.uk/ukpga/1989/6/contents>

City Corporation members of staff may at times be required to sign an Official Secrets Act provision where their work relates to security, defence or international relations. Unauthorised disclosures are likely to result in criminal prosecution. Section 8 of the Act makes it a criminal offence for a government contractor (potentially the City Corporation) to retain information beyond their official need for it and obligates them to properly protect secret information from accidental disclosure.

Malicious Communications Act 1988

<http://www.legislation.gov.uk/ukpga/1988/27/contents>

The Malicious Communications Act makes it illegal to “send or deliver letters or other articles for the purposes of causing stress or anxiety”. This also applies to electronic communications such as emails and messages via social networking websites.

Digital Economy Act 2010

<http://www.legislation.gov.uk/ukpga/2010/24/contents>

The Digital Economy Act regulates the use of digital media in the UK. It deals with issues such as online copyright infringement and the obligations that internet service providers (ISPs) have to tackle online copyright infringement.

Privacy and Electronic Communications (EC Directive) (Amendment) Regulations 2011

<http://www.legislation.gov.uk/uksi/2011/1208/contents/made>

An amendment to the Privacy and Electronic Communications Regulations in 2011 obliged websites to inform users about their use of cookies and seek consent for setting more privacy intrusive cookies.

Police and Justice Act 2006

<http://www.legislation.gov.uk/ukpga/2006/48/contents>

Section 39 and Schedule 11 of the Police and Justice Act amend the Protection of Children Act 1978 to provide a mechanism to allow police to forfeit indecent photographs of children held by the police following a lawful seizure.

Counter-Terrorism and Security Act 2015

<http://www.legislation.gov.uk/ukpga/2015/6/contents>

Accessing websites or other material which promotes terrorism or violent extremism or which seeks to radicalise individuals to these causes will likely constitute an offence under the Counter-Terrorism and Security Act 2015.

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Maturity Scoring Matrix

Scoring	Definition	Controls	Awareness & Communication	Polices, Plans & Procedures	Tools & Automation	Skills & Expertise	Responsibility & Accountability	Goal Setting and Measurement
0	Non-existent	Complete lack of any recognisable processes. The enterprise has not even recognised that there is an issue to be addressed.	Complete lack of any recognisable processes. The enterprise has not even recognised that there is an issue to be addressed.	Complete lack of any recognisable processes. The enterprise has not even recognised that there is an issue to be addressed.	Complete lack of any recognisable processes. The enterprise has not even recognised that there is an issue to be addressed.	Complete lack of any recognisable processes. The enterprise has not even recognised that there is an issue to be addressed.	Complete lack of any recognisable processes. The enterprise has not even recognised that there is an issue to be addressed.	Complete lack of any recognisable processes. The enterprise has not even recognised that there is an issue to be addressed.
1	Initial/Ad Hoc	There is evidence that the enterprise has recognised that the issues exist and need to be addressed. There are, however, no standardised processes; instead, there are ad hoc approaches that tend to be applied on an individual or case-by-case basis. The overall approach to management is disorganised.	Recognition of the need for the process is emerging. There is sporadic communication of the issues.	There are ad hoc approaches to processes and practices. The process and policies are undefined.	Some tools may exist; usage is based on standard desktop tools. There is no planned approach to the tool usage.	Skills required for the process are not identified. A training plan does not exist and no formal training occurs.	There is no definition of accountability and responsibility. People take ownership of issues based on their own initiative on a reactive basis.	Goals are not clear and no measurement takes place.
2	Repeatable but intuitive	Processes have developed to the stage where similar procedures are followed by different people undertaking the same task. There is no formal training or communication of standard procedures, and responsibility is left to the individual. There is a high degree of reliance on the Procedures have been standardised and documented, and communicated through training. It is mandated that these processes should be followed; however, it is unlikely that deviations will be detected. The procedures themselves are not sophisticated but are the	There is awareness of the of the need to act. Management communicates the overall issues.	Similar and common processes emerge, but are largely intuitive because of individual expertise. Some aspects of the process are repeatable because of individual expertise, and some documentation and	Common approaches to use of tools exist but are based on solutions developed by key individuals. Vendor tools may have been acquired, but are probably not applied correctly, and may even be shelfware.	Minimum skill requirements are identified for critical areas. Training is provided in response to needs, rather than on the basis of an agreed plan, and informal training on the job occurs.	An individual assumes his/her responsibility and is usually held accountable, even if this is not formally agreed. There is confusion about responsibility when problems occur, and a culture of blame tends to exist.	Some goal setting occurs; some financial measures are established but are known only by senior management. There is inconsistent monitoring in isolated areas.
3	Defined process	Procedures have been standardised and documented, and communicated through training. It is mandated that these processes should be followed; however, it is unlikely that deviations will be detected. The procedures themselves are not sophisticated but are the	There is an understanding of the need to act. Management is more formal and structured in its communication.	Usage of good practices emerges. The process, policies and procedures are defined and documented for all key activities.	A plan has been defined for use and standardisation of tools to automate the process. Tools are being used for their basic purposes, but may not all be in accordance with the agreed plan, and	Skill requirements are defined and documented for all areas. A formal training plan has been developed, but formal training is still based on individual initiatives.	Process responsibility and accountability are defined and process owners have been identified. The process owner is unlikely to have the full authority to exercise the responsibilities.	Some effectiveness goals and measures are set, but are not communicated, and there is a clear link to business goals. Measurement processes emerge, but are not consistently applied. IT balanced scorecard ideas are being adopted, as is occasional intuitive application of root
4	Managed and measureable	Management monitors and measures compliance with procedures and takes action where processes appear not to be working effectively. Processes are under constant improvement and provide good practice. Automation and tools are used in a limited or fragmented way.	There is understanding of the full requirements. Mature communication techniques are applied and standard communication tools are used.	The process is sound and complete; internal best practices are applied. All aspects of the process are documented and repeatable. Policies have been approved and signed off on by management. Standards for developing and maintaining the processes and procedures are adopted and followed.	Tools are implemented according to a standardised plan, and some have been integrated with other related tools. Tools are being used in main areas to automate management of the process and monitor critical activities and controls.	Skill requirements are routinely updated for all areas, proficiency is ensured for all critical areas, and certification is encouraged. Mature training techniques are applied according to the training plan, and knowledge sharing is encouraged. All internal domain experts are involved, and the effectiveness of the training plan is assessed.	Process responsibility and accountability are accepted and working in a way that enables a process owner to fully discharge his/her responsibilities. A reward culture is in place that motivates positive action.	Efficiency and effectiveness are measured and communicated and linked to business goals and the IT strategic plan. The IT balanced scorecard is implemented in some areas with exceptions noted by management and root cause analysis is being standardised. Continuous improvement is emerging.
5	Optimised	Processes have been refined to a level of good practice, based on the results of continuous improvement and maturity modelling with other enterprises. IT is used in an integrated way to automate the workflow, providing tools to improve quality and effectiveness, making the enterprise quick to adapt.	There is advanced, forward-looking understanding of the requirements. Proactive communication of the issues based on trends exists, mature communication techniques are applied, and integrated communication tools are in use.	External best practices and standards are applied. Process documentation is evolved to automated workflows. Processes, policies and procedures are standardised and integrated to enable end-to-end management and improvement.	Standardised tool sets are used across the enterprise. Tools are fully integrated with other related tools to enable end-to-end support of the processes. Tools are being used to support improvement of the process and automatically detect control exceptions.	The organisation formally encourages continuous improvement of skills, based on clearly defined personal and organisational goals. Training and education support external best practices and use of leading-edge concepts and techniques. Knowledge sharing is an enterprise culture, and knowledge-based systems are being deployed. External experts and industry leaders are used for guidance.	Process owners are empowered to make decisions and take action. The acceptance of responsibility has been cascaded down throughout the organisation in a consistent fashion.	There is an integrated performance measurement system linking IT performance to business goals by global application of the IT balanced scorecard. Exceptions are globally and consistently noted by management and root cause analysis is applied. Continuous improvement is a way of life.

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NOT PROTECTIVELY MARKED

Committee(s)	Dated: 28 th March 2018
Digital Services Sub-Committee – For Information	
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 was generally very good in January for both the City of London Corporation and City of London Police, with continued high levels of customer satisfaction. Repeat issues for power and telephony were responded to and plans are in place to permanently resolve these. All priority incidents were resolved within targets.

- There were 4 P1 incidents for City of London Corporation and 1 for City of London Police.
- There was 1 P2 incident for the City of London Corporation and 3 for City of London Police.
- The Net Promoter Score average for the City of London Corporation and City of London Police for the last 3 months is 64. Any score over 50 is considered very good.
- 81% of users who completed the customer satisfaction survey following contact with the City of London Corporation 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.

Recommendations

Members are asked to note this report

Main Report

Service levels and exceptions

1. City of London Police (CoLP)

P1 incidents

There was 1 P1 incident

Affected Service	Reason	Resolution
Niche	The root cause of the connectivity issue is under investigation by the application 3 rd party supplier.	Service restored without intervention.

P2 Incidents

There were 3 P2 incidents

Affected Service	Reason	Resolution
Telephony	Hardware failure	The hardware was replaced.
Telephony	3rd party circuit was down	The 3rd party Elite resolved the circuit issue
3rd floor GYE Network	UPS failure	The UPS was by-passed temporarily

2. City of London Corporation (CoL)

P1 incidents

There were 4 P1 incidents

Affected Service	Reason	Resolution
Gower	Known issue	Application services were restarted.
Website	An external attack on the website, which did not cause any service impact.	The attacker's IP was blocked.
CBIS	A planned change for Network Transformation had an unexpected impact.	A failed change was reversed; it was reviewed and reintroduced successfully without impact.
Printing	A load-balancer failed to respond correctly when a connection was interrupted.	Application services were restarted.

P2 Incidents

Affected Service	Reason	Resolution
Guildhall 5 th floor network	Power failure	Power was restored and a faulty UPS device taken out of service,

With regards to the P1 incident for the City of London Corporation public website, it should be noted that IT monitoring and response processes were effective such that the website was fully available at all times with no degradation of service. The P1 prevented a denial-of-service attack. The incident was reported to City of London Police Action Fraud as an attack.

The P1 for CBIS was for just over an hour on a Sunday. It was caused by a Network Transformation change that was then reversed, re-planned and re-introduced successfully and without further impact to CBIS.

The P1 for Gower was a brief outage caused by application services hanging. These were restarted within 5 minutes to restore services.

The P1 for printing is under investigation by Konica to identify why the service did not fail-over correctly.

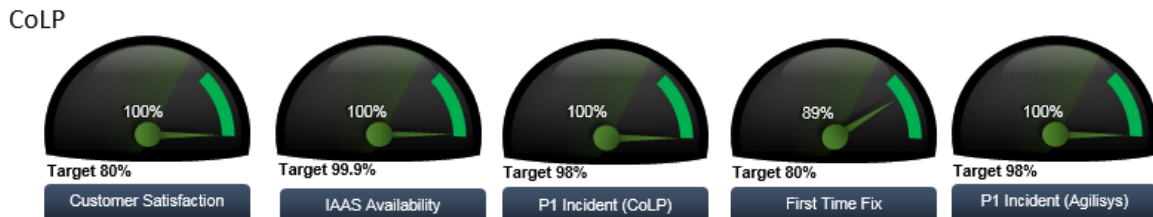
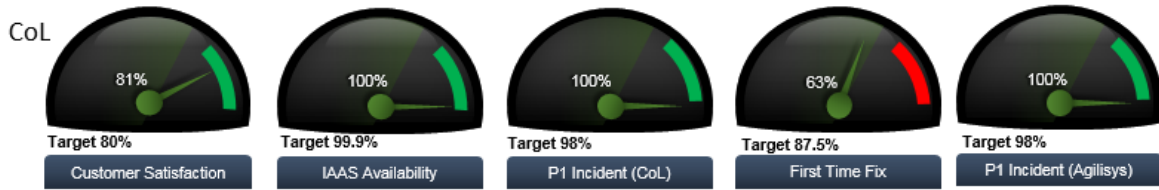
The UPS on the 5th floor of Guildhall was taken out of service by CoL Facilities in response to the COL P2.

With regards to the P1 incident for Niche, users were presented with connectivity errors when trying to launch the application. No changes were made in the COLP environment to trigger this, and service restored without intervention at the COLP end of the connection. The supplier was unable to identify a definitive root cause. The IT service is monitoring the service and working with the supplier to diagnose the issue and identify a root cause.

With regards to the two incidents affecting telephony in City of London Police, these circuits are coming to end of life and numbers will be moved to another provider. The UPS device on the 3rd floor of GYE was replaced following a temporary by-pass to resume service.

Service performance summary is detailed in the dashboard below.

Gauges to monitor performance – Jan 2019



Service improvements








3. City of London Police Improvements include:

- Telephony is moving over to a new IP solution in Summer of 2019
- Improvements are planned to the call logging messaging that is sent to customers after logging a call, and for the duration of the call. The messaging will be clearer and more customer friendly and is designed to improve customer information stored in the system.
- IMS/DRS, a new CCTV solution will be entering into a soft go-live in Spring 2019 to trial support and process.

4. City of London Corporation improvements include:

- The 6 Degrees internet link was discontinued in City of London and all services successfully migrated to use the new BT link.

Social Responsibility update

Commitment	Update	RAG status
3 back-end Apprentices (Level 4) Working on COL account.	<ul style="list-style-type: none"> • 1 started October 2018 • 2 started November 2018 	
Minimum 3 weeks p/year of work experience for 14-18 year olds from deprived boroughs.	<ul style="list-style-type: none"> • Week 1 delivered March 2018 • Week 2 delivered July 2018 • Week 3 scheduled for March 2019 	
Minimum of 6 weeks work experience for 19+ year olds.	<ul style="list-style-type: none"> • 6 week placement scheduled for February 2019 	
Two digital inclusion training workshops delivered per year for socially excluded groups p/year.	<ul style="list-style-type: none"> • First workshop delivered December 2018 • Second workshop scheduled for February 2019 	
4 page summary report sharing key findings from Agilisys initiatives to include more women in technology.	<ul style="list-style-type: none"> • Report due for submission end January 2019. • Follow up workshop to be arranged for Feb 2019. 	
2 visits to schools per year to raise awareness/promote IT careers.	<ul style="list-style-type: none"> • First visit completed on 5th November 2018. • Second visit currently being scheduled for March 2019. 	
Responsible procurement supply chain map covering Lenovo laptop and components.	<ul style="list-style-type: none"> • Report presented to in March 2019. • Feedback provided from Intel (CPU, chipset) and Samsung (RAM, storage). • Further investigations are taking place to provide audit information on Factory working conditions for staff. 	

Public Services Network (PSN) Certificate

5. City of London Police achieved their PSN certificate valid till March 2020
6. The City of London Corporation PSN certificate application has been submitted.

Matt Gosden
Deputy IT Director
T: 07714 746996
E: Matt.Gosden@cityoflondon.gov.uk

Committees:		Dates:
Corporate Projects Board <i>for decision</i> Projects Sub <i>for decision</i> Digital Services Sub Committee <i>for decision</i> IT Category Board <i>for decision</i> Freemen’s Board of Governors <i>for decision</i>		28 February 2019 22 March 2019 05 April 2019 12 March 2019 <i>Urgency (next mtg 4/6/19)</i>
Subject: Freemen’s School: IT Managed Infrastructure Service Unique Project Identifier: 12062	Gateway 1-4 Project Proposal & Options Appraisals Regular	
Report of: Roland Martin, Headmaster, Freemen’s School, as Chief Officer Report Author: Paul Hykin		For Decision
<h1 style="margin: 0;">PUBLIC</h1>		

Recommendations

<p>1. Approval track, Next steps and Requested decisions</p>	<p>Approval track: 2. Regular</p> <p>Next Gateway: Gateway 5 - Authority to Start Work (Regular Track)</p> <p>Next Steps: Full procurement, through CCS/DFE framework, and formal evaluation leading to recommendation to Chief Office (Head of School) to approve and execute contract</p> <p>Requested Decisions: The committees are asked to:</p> <ol style="list-style-type: none"> 1. Approve combined G1-4 progression of project to G5 2. Approve recommended option (1) 3. Note total estimated cost of project of £530,000 over 5 years, all funded from Freemen’s school fees.
<p>2. Resource requirements to</p>	

<p>reach next Gateway</p>	<p>Procurement support and legal services drawn from City under normal recharge arrangements, no exceptional costs expected or identified</p> <table border="1" data-bbox="528 300 1390 913"> <thead> <tr> <th data-bbox="528 300 762 443">Item</th> <th data-bbox="762 300 1007 443">Reason</th> <th data-bbox="1007 300 1198 443">Funds/ Source of Funding</th> <th data-bbox="1198 300 1390 443">Cost (£)</th> </tr> </thead> <tbody> <tr> <td data-bbox="528 443 762 842">Freemen's will use retained consultant to provide additional technical consultancy to support the procurement.</td> <td data-bbox="762 443 1007 842">Managed service definition and tender technical evaluation skills not within Freemen's staff team</td> <td data-bbox="1007 443 1198 842">Freemen's operating costs funded by parents fees. Budgeted.</td> <td data-bbox="1198 443 1390 842"><£30,000</td> </tr> <tr> <td data-bbox="528 842 762 913">Total</td> <td data-bbox="762 842 1007 913"></td> <td data-bbox="1007 842 1198 913"></td> <td data-bbox="1198 842 1390 913">£30,000</td> </tr> </tbody> </table> <p>Recommended option: 1 Procure Managed Infrastructure service through the CSS DFE educational IT services framework agreement;</p>	Item	Reason	Funds/ Source of Funding	Cost (£)	Freemen's will use retained consultant to provide additional technical consultancy to support the procurement.	Managed service definition and tender technical evaluation skills not within Freemen's staff team	Freemen's operating costs funded by parents fees. Budgeted.	<£30,000	Total			£30,000
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Total			£30,000										
<p>3. Governance arrangements</p>	<ul style="list-style-type: none"> • Service Committee – Freemen's Governors • Freemen's Bursar – Sue Williams • Project cost, impact and change management is internal to the school and the senior leadership team a will act as Project Board as required. 												

Project Summary

<p>4. Context</p>	<ol style="list-style-type: none"> 1. Continual growth in expectations and use of IT throughout the school, both on & off site and for extended hours means current in-house team not resourced and unable to provide service to high levels required. 2. School has strong but demanding journey of change for IT in teaching and learning; and this has to be underpinned by robust, rigorous secure and professionally supported IT infrastructure. 3. To support change, we need to move scarce internal resources to proactive and learning support and away from break/fix and infrastructure. 4. Combined Gateway report is being utilised to as next key stage is to move quickly to commence procurement to enable Jan 2020 completion of transition. G5 will provide gateway approval before contract committed.
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	<p>5. This project has consulted with the City IS managed service outsource project which will run in parallel. There are potential synergies and the two projects will continue to collaborate to ensure that opportunities for Freeman’s to benefit from the wider project are identified. This Freeman’s project will continue through procurement and will contract with selected supplier on timescales which allow key components to be novated to the City IS Managed service as and when that is demonstrably achievable and presents value for money for both.</p>
<p>6. Brief description of project</p>	<p><i>Use numbered short paragraphs</i></p> <ol style="list-style-type: none"> 1. The project will procure a suitably qualified supplier to manage Freeman’s network and systems infrastructure. The supplier will monitor, manage, support and implement change for all aspects of this, and be expected to bring proven tools, processes and skills to bear. This will be operated as remote management from an industrial strength and secure data centre and will operate monitoring and change 24/7. 2. This will free internal staff from ‘break fix’ to provide proactive support to teaching staff and pupils, and to get out across the school to help teachers make better use of IT in learning
<p>3. Consequences if project not approved</p>	<p><i>Use numbered short paragraphs</i></p> <ol style="list-style-type: none"> 1. If the procurement approach is not approved, then the school will seek to build in house capacity and capability to undertake this work. This will take longer and has higher risks of not enabling the educational transformation required. 2. To provide an equivalent service we estimate adding 3 staff to the IT service team (currently 3) to provide the extended hours, and the purchase of and training for infrastructure monitoring tool kits. Our ability to recruit and retain the breadth of staff and skills will present an ongoing risk to the school. 3. We will have to accept a slower than anticipated improvement in the use of technology in teaching and learning – recognising that the school is already 3-5 years behind its peers and competitors in this area.
<p>4. SMART Project Objectives</p>	<p><i>What is the project required to achieve? Highlight a few objectives. These may be derived from your measures of success as described in your Project Briefing.</i></p> <ol style="list-style-type: none"> 1. The availability of our core network services to staff and learners will increase from current levels of 90-95% to 99.9% during core hours; 2. No major or long-term unplanned outages of core systems will exceed 4 hours (current worst incident was 4 days outage)

	<p>3. Staff perceptions of IT should improve, as measured by the following table (1 Poor, 5 Excellent):</p> <table border="1"> <thead> <tr> <th>CLFS staff perception of IT</th> <th>Actual</th> <th>Target</th> </tr> <tr> <td></td> <th>Jul-18</th> <th>Jul-20</th> </tr> </thead> <tbody> <tr> <td>Rate our IT provision to support outstanding teaching and learning</td> <td>2.34</td> <td>3.5</td> </tr> <tr> <td>How modern do you consider our provision to be</td> <td>1.9</td> <td>3.5</td> </tr> <tr> <td>How far do you feel able to trust and rely on our IT</td> <td>2.35</td> <td>3.25</td> </tr> <tr> <td>How do you rate our ability to innovate with IT</td> <td>2.24</td> <td>3.5</td> </tr> <tr> <td colspan="3">(All scores on ascale of 1:5; Survey of all staff 7/18)</td> </tr> </tbody> </table>	CLFS staff perception of IT	Actual	Target		Jul-18	Jul-20	Rate our IT provision to support outstanding teaching and learning	2.34	3.5	How modern do you consider our provision to be	1.9	3.5	How far do you feel able to trust and rely on our IT	2.35	3.25	How do you rate our ability to innovate with IT	2.24	3.5	(All scores on ascale of 1:5; Survey of all staff 7/18)		
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5. Key Benefits	<ol style="list-style-type: none"> 1. Benefits will accrue over the life of the managed service, which is expected to run for a period of 5 years. These benefits will include the measurable objectives above. 2. Benefits to our students will be: <ol style="list-style-type: none"> a) Increased knowledge, experience and awareness of the potential use of IT in learning in particular deeper experience of collaborative learning, and of individualised learning; b) Strong preparedness for HE and the world of work through IT skills, better collaborative and team working skills; c) A richer curriculum with stronger computing and computer science curriculum; 3. Freeman’s School reputation will be enhanced through improved perceptions from parents and pupils, avoiding reputational risk and supporting growth in pupil recruitment. 4. Immediate benefits of the procurement approach recommended will be to procure an educationally aware IT supplier who will provide the service within the budget proposed. 																					
6. Project category	5. Other priority developments																					
7. Project priority	A. Essential																					
8. Notable exclusions	<ol style="list-style-type: none"> 1. The replacement, improvement and updating of actual infrastructure is being delivered as a series of improvement projects throughout 2018 and 2019. This project relates only to the service to operate and maintain those once completed; 2. The support services provided to our staff and students will continue to be an essential function of the in-house team. This will ensure the responsiveness and flexibility required to reflect emerging teaching practice. 																					

Options Appraisal

9. Overview of options	<i>See: Options table for full explanation.</i>
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	<ol style="list-style-type: none"> 1. (Recommended) Procured Managed Infrastructure service through the CSS DFE educational IT services framework agreement; 2. In house solution through recruitment, training, purchase of tools and systems, process and working practice development 3. Adoption within current Agilisys IT outsource – merging the school’s academic infrastructure support into this existing contract 4. Adoption with planned replacement of the Agilisys outsource contract
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Resource Implications

10. Total estimated cost	<p>Likely cost range: £330,000 to £530,000 over 5 years.</p> <p>Procurement and transition</p> <p>Fixed cost in Freeman’s staff and consultancy time to complete procurement £30,000</p> <p>On-going Managed Service Cost</p> <p>Minimum cost at £60,000 per annum or £300,000 for 5 years; Maximum cost at £100,000 per annum of £500,000 for 5 yrs; (This is the estimated range of on-going annual costs expected from the procurement. There are no further annual fixed costs)</p> <p>Recommended option: 1 Procure Managed Infrastructure service through the CSS DFE educational IT services framework agreement;</p>															
11. Funding strategy	<p>Is funding confirmed:</p> <p>All funding fully guaranteed</p>	<p>Who is providing funding:</p> <p>External - Funded wholly by contributions from external third parties</p> <p>All funds for this project including the 5 year managed service charges will come from Freeman’s revenue funding, which is obtained from Parent’s fees which are assessed annually and uplifted according to requirements/price elasticity.</p> <p>Recommended option</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Funds/Sources of Funding</th> <th style="text-align: left;">Cost (£)</th> </tr> </thead> <tbody> <tr> <td>School’s own funds (from fees)</td> <td></td> </tr> <tr> <td>1/4/19 – 31/3/20</td> <td>£55,000</td> </tr> <tr> <td>1/4/20 – 31/3/21</td> <td>£100,000</td> </tr> <tr> <td>1/4/21 – 31/3/22</td> <td>£100,000</td> </tr> <tr> <td>1/4/22 – 31/3/23</td> <td>£100,000</td> </tr> <tr> <td>1/4/23 – 31/3/24</td> <td>£100,000</td> </tr> </tbody> </table>	Funds/Sources of Funding	Cost (£)	School’s own funds (from fees)		1/4/19 – 31/3/20	£55,000	1/4/20 – 31/3/21	£100,000	1/4/21 – 31/3/22	£100,000	1/4/22 – 31/3/23	£100,000	1/4/23 – 31/3/24	£100,000
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	1/4/24 – 31/12/24	£75,000
	Total	£530,000

Appendices

<u>Appendix 1</u>	<i>Project Briefing</i>
<u>Appendix 2</u>	
<u>Appendix 3</u>	

Contact

<u>Report Author</u>	Paul Hykin
<u>Email Address</u>	phykin@hhes.co.uk
<u>Telephone Number</u>	07958 032659

Options appraisal table.

Delete option numbers as appropriate

	Option 1 Freemen’s Procured Managed Service	Option 2 Freemen’s in-house service	Option 3 Extend current Agilisys contract	Option 4 Incorporate Freemens’ needs into Agilisys replacement service
1. Brief description	<p>(Recommended) Procured Managed Infrastructure service through the CSS DFE educational IT services framework agreement;</p> <p>School procures standalone service tailored to meet specific educational requirements</p> <p>Help desk, drop in, deskside and classroom support retained in house.</p> <p>Close cooperation and information sharing with the City IS Managed Service procurement project throughout will identify any synergies and opportunities to benefit.</p>	<p>In house solution through recruitment, training, purchase of tools and systems, process and working practice development</p>	<p>Adoption within current Agilisys IT outsource – merging the school’s academic infrastructure support into this existing contract.</p> <p>This approach would involve responsibility for the school’s academic network transferring to City IS.</p> <p>Agilisys would need to provide costs against Freeman’s SSR, and then once negotiated and agreed, run transition</p>	<p>Adoption with planned replacement of the Agilisys outsource contract.</p> <p>This approach would mean responsibility for the school’s academic network transferring to City IS.</p> <p>City project would incorporate Freeman’s SSR into future procurement and reflect this though to supplier appointment and transition</p>
1. Scope and exclusions	<ul style="list-style-type: none"> • Detailed specification • Procurement • Managed infrastructure, to include: • Monitoring 24/7 • Incident resolution • Change management and implementation 	<ul style="list-style-type: none"> • Service improvement planning • Staff requirements, definition and grading • Recruitment • Training • Process development • Quality management • Staff replacements 	<ul style="list-style-type: none"> • Service definition • Proposal and negotiation • Due diligence • Transition 	<ul style="list-style-type: none"> • Service definition • Agreement as to structure and approach of incorporated service • Procurement • Due diligence • Transition

	Option 1 Freemen's Procured Managed Service	Option 2 Freemen's in-house service	Option 3 Extend current Agilisys contract	Option 4 Incorporate Freemens' needs into Agilisys replacement service
	<ul style="list-style-type: none"> • Development planning • Support, advice, guidance • Excludes any equipment supply 			
Project Planning				
2. Programme and key dates	<p>Overall project: 10 months procurement 60 months managed</p> <p>Key dates: Approvals complete 4/19 Procurement start 1/6/19 Supplier appointed 1/10/19 Transition commences 1/12/19 Service live 1/1/20 Contract break 31/12/22 End point 31/12/23 (assumes full term)</p> <p>Other works dates to coordinate: Continual review and coordination with building master programme throughout</p>	<p>Overall project: Staff recruitment, build team, develop processes 12 months Thereafter operate</p> <p>Key dates: Staff approvals complete 4/19 Recruitment start 1/6/19 Team in place 1/10/19 Training complete 1/12/19 Process dev complete 12/19</p> <p>Other works dates to coordinate: Continual review and coordination with building master programme throughout</p>	<p>Overall project: 3 months negotiation 3 months due diligence and transition</p> <p>Key dates: Negotiations complete 30/5/19 Transition completes 30/8/19 Contract ends 30/8/20</p> <p>Other works dates to coordinate: Continual review and coordination with building master programme throughout</p>	<p>Overall project: 12 months procurement 60 months managed</p> <p>Key dates: Approvals complete 6/19 Procurement start 6/2019 Supplier appointed 11/19 Transition commences 2/20? Service live 9/20 Contract break 9/23 End point 8/25 (assumes full term)</p> <p>Other works dates to coordinate: Continual review and coordination with building master programme throughout</p>

	Option 1 Freemen's Procured Managed Service	Option 2 Freemen's in-house service	Option 3 Extend current Agilisys contract	Option 4 Incorporate Freemens' needs into Agilisys replacement service
3. Risk implications	<p>Overall project risk: LOW</p> <ol style="list-style-type: none"> 1. The CCS/DFE framework contractual terms may be unacceptable to City legal; (Low: CCS are negotiating on behalf of education across UK) 2. Delay in the release of the Framework agreement by CCS (Low: high profile, and we have some modest contingency) 	<p>MEDIUM</p> <p>Recruitment of staff for the school to implement is highly challenging in current employment environment</p> <ol style="list-style-type: none"> 1. Timescales to service transformation drawn out, impacts school improvement and change overall. 2. Increasing teaching staff frustrations and reputational damage 	<p>HIGH</p> <ol style="list-style-type: none"> 1. This approach would mean a major transfer of responsibility for the school's academic network to City IS. 2. Unknown whether the Agilisys contract would meet school needs; 3. High risk to transition in closing year of Agilisys contract; 4. Agilisys commitment to service levels at distant and very different location 	<p>HIGH</p> <ol style="list-style-type: none"> 1. This approach would mean a major transfer of responsibility for the school's academic network to City IS. 2. Ability of school to influence / ensure our requirements reflected in new contract 3. School priorities lost or marginalised against much larger square mile contract; 4. Costs and SLAs unknown until late 2019
4. Benefits and disbenefits	<p>Benefits</p> <ol style="list-style-type: none"> 1. Service directly under Freeman's control 2. Service explicitly designed to meet school and pupil needs 3. Benchmark suggests lowest cost option 4. Lowest risk through procurements and transition <p>Disbenefits</p>	<p>Benefits</p> <ol style="list-style-type: none"> 1. Staff will be school employees directly managed and therefore answerable; 2. More flexibility to reflect changing requirements <p>Disbenefits</p> <ol style="list-style-type: none"> 3. Risks and challenges of recruiting and retaining staff 	<p>Benefits</p> <ol style="list-style-type: none"> 1. Freeman's can benefit from existing and established contract and supplier management <p>Disbenefits</p> <ol style="list-style-type: none"> 1. Indications are that this is very expensive option (200-250k/annum) 2. Unclear what the appetite for this by Agilisys would be 	<p>Benefits</p> <ol style="list-style-type: none"> 1. Freemens can benefit from 'piggyback' on much broader contract and all of the works done by City IS 2. Economise of scale should provide value for money <p>Disbenefits</p> <ol style="list-style-type: none"> 3. School requirement is urgent – current. Unclear when this option would deliver and when within that

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	<p>5. School has responsibility to deliver whole project. (Although we will benefit from City IS advice and guidance)</p>	<p>in challenging employment market;</p> <p>4. Additional costs of extended hours working including estate and H&S implications</p> <p>5. Breadth of skills is broad for a very small team</p> <p>6. Process and quality improvement required without vendor experience</p>	<p>3. Unclear whether Agilisys have competency and capability to oversee school infrastructure</p> <p>4. Unclear whether Freeman's would get the attention and focus required to deliver our transformation</p> <p>5.</p>	<p>Freemen's would be transitioned.</p> <p>4. Indications are that this is very expensive option (200-250k/annum)</p> <p>5. Unclear whether incoming supplier would have competency and capability to oversee school infrastructure</p> <p>6. Unclear whether Freeman's would get the attention and focus required to deliver our transformation and service against much more urgent and local demands in the square mile</p> <p>7. Unclear whether City IS have the desire and appetite to take on the Freeman's teaching network</p> <p>8. It is important that 'front of class' and 'pupil drop in' support is retained – not sure if this would fit typical outsourcer's approach</p>
5. Stakeholders and consultees	<p>1. Freeman's teaching staff</p> <p>2. Freeman's administrative staff</p>	As per option 1	As per option 1	As per option 1

	Option 1 Freemen's Procured Managed Service	Option 2 Freemen's in-house service	Option 3 Extend current Agilisys contract	Option 4 Incorporate Freemens' needs into Agilisys replacement service
	3. Freemen's pupils 4. Freemen's Governors 5. City IT Services 6. Two other City Schools			
Resource Implications				
6. Total Estimated cost	<p>Cost in Freemen's staff and consultancy time to complete procurement = C£30,000</p> <p>Lower Range estimate: £300,000 over 5 years at cost of £60,000 per year</p> <p>Upper Range estimate: £500,000 over 5 years at costs of £100,000 per year</p>	<p>Achieving like for like service would require additional 3 headcount plus capital and transition investment.</p> <p>Estimated costs £90,000 per annum salary PLUS on-costs at 35%</p> <p>Transition costs of £50,000 consultancy support.</p> <p>Recruitment costs 3 staff</p> <p>Staff turnover costs within 5 year duration</p> <p>Software tool licencing at £22,000 pa.</p>	<p>Currently estimated at £200,000-£250,000 for balance of current Agilisys contract, unknown thereafter.</p>	<p>Currently estimated at £200,000 - £250,000 for balance of current Agilisys contract. Probably reasonable to assume some reduction in this figure through procurement, so assume £150,000/annum</p>
7. Funding strategy	Funding for this service and for the transition to the service is from Freemen's Internal operating costs (Parents Fees)	As per option 1	As per option 1	As per option 1

	<i>Option 1 Freemen's Procured Managed Service</i>	<i>Option 2 Freemen's in-house service</i>	<i>Option 3 Extend current Agilisys contract</i>	<i>Option 4 Incorporate Freemens' needs into Agilisys replacement service</i>
8. Estimated capital value/return	Return in investment is through benefits to students and staff, avoiding reputational damage to the school and attracting increased student numbers.	As option 1	As option 1	As option 1
9. Ongoing revenue implications	No direct impact on revenue until additional students recruited	As option 1	As option 1	As option 1
10. Investment appraisal	<p>The improvements delivered by any of these options are considered to be essential to the future viability and success of the school.</p> <p>The benefits outlined above are substantial.</p> <p>The operating and project costs will be funded by Freeman's internal funding from parent's fees and have been reflected in financial forecasts and budgets of the school.</p>	As option 1	As option 1	As option 1
11. Affordability	<p>Cost effective.</p> <p>The operating and project costs will be funded by Freeman's internal funding from parent's</p>	Achieving like for like service would require additional 3 headcount plus capital and transition investment.	Unknown, estimated by City as 'very expensive'	Unknown, estimated by City at £200,000 per annum against our draft SSR.

	<i>Option 1 Freemen's Procured Managed Service</i>	<i>Option 2 Freemen's in-house service</i>	<i>Option 3 Extend current Agilisys contract</i>	<i>Option 4 Incorporate Freemens' needs into Agilisys replacement service</i>
	fees and have been reflected in financial forecasts and budgets of the school.	Estimated costs £90,000 per annum salary PLUS oncosts at 35% Transition costs of £50000 consultancy support. Recruitment costs 3 staff Staff turnover costs within 5 year duration Software tool licencing at £22,000 pa.		
12. Procurement strategy/Route to Market	Procurement through the Crown Commercial Services / DFE framework for Educational IT Services. Current framework expires 4/19, new one live 6/19. Cost effective solutions designed for schools and from range of educationally experienced suppliers. T&Cs fit for educational clients and pre-defined. Service level models appropriate for educational users.	N/A	Negotiation through change management process within existing Agilisys contract. No VFM test.	Incorporate all of the school's requirements into the corporate IT requirements and procure within that. Potentially as a separate lot?

	<i>Option 1 Freemen's Procured Managed Service</i>	<i>Option 2 Freemen's in-house service</i>	<i>Option 3 Extend current Agilisys contract</i>	<i>Option 4 Incorporate Freemens' needs into Agilisys replacement service</i>
13. Legal implications	School will be tied to CCS Framework terms and conditions. We will not have sight of these until Framework launched in June '19. Risk that these may be unacceptable to City.	NONE	Would use existing contract. Unclear if the commercial arrangements within this are suitable for School use.	Would use proposed new contract. Unclear if the commercial arrangements within this would be suitable for School use.
14. Corporate property implications	NONE	NONE	NONE	NONE
15. Traffic implications	<i>NONE</i>	NONE	NONE	NONE
16. Sustainability and energy implications	<i>NONE</i>	NONE	NONE	NONE
17. IS implications	NONE, although City IS advice and guidance has been offered and is appreciated. Close cooperation with parallel City IS project to identified future options for incorporation. Timescales for the contract for Freeman's will ensure that subsequent adoption by Freeman's of part of all of the	NONE	City IS would be required to reflect School service requirements, priorities, change management within existing service	New service would need to include school service requirements. The areas where we consider this may be a challenge include: The School wants to retain front of class and walk in support for staff and students – this is essential for our improvement but may not match the City

	<i>Option 1 Freemen's Procured Managed Service</i>	<i>Option 2 Freemen's in-house service</i>	<i>Option 3 Extend current Agilisys contract</i>	<i>Option 4 Incorporate Freemens' needs into Agilisys replacement service</i>
	City contract will remain possible.			requirements, resulting in diverse solutions. Service levels – response times to classroom incidents; Level and speed of change to reflect fast evolving teaching and learning practice; Large and disparate range of software and applications; Support for large and diverse range of end user devices including learners own. (Including boarding pupils) Delegated authority for change for staff
18. Equality Impact Assessment	An equality impact assessment will not be undertaken This will be covered through the Framework procurement	An equality impact assessment will not be undertaken. This will be addresses through normal HR and recruitment processes	An equality impact assessment will not be undertaken This will have been covered by the original City IS procurement	As option 1
19. Data Protection Impact Assessment	The risk to personal data is high and a data protection	The risk to personal data is high and a data protection	The risk to personal data is high and a data protection	The risk to personal data is high and a data protection

	<i>Option 1 Freemen's Procured Managed Service</i>	<i>Option 2 Freemen's in-house service</i>	<i>Option 3 Extend current Agilisys contract</i>	<i>Option 4 Incorporate Freemens' needs into Agilisys replacement service</i>
	impact assessment will be undertaken This will be addressed through the framework procurement	impact assessment will be undertaken This will need to be addressed through Freeman's internal processes and represents modest risk.	impact assessment will be undertaken Would need to be addressed as part of change approval process	impact assessment will be undertaken Would need to be addressed through the City procurement
20. Recommendation	Recommended	Not recommended	Not recommended	Not recommended
21. Next Gateway	Gateway 5 - Authority to Start Work	Gateway 5 - Authority to Start Work	Gateway 5 - Authority to Start Work	Gateway 5 - Authority to Start Work
22. Resource requirements to reach next Gateway	Item	Reason	Funds/ Source of Funding	Cost (£)
	Technical consultancy	Support school through all technical and service aspects of the procurement, skills not available in the established team	Freemen's internal resources (parent fees)	£30,000
	City Procurement Team	Expertise	Covered through normal annual recharge to Freeman's	N/A
	City Legal	CCS framework agreement, validate that this is acceptable to City.	Covered through normal annual recharge to Freeman's	N/A
	Total			£30,000

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Project Briefing

Project identifier			
[1a] Unique Project Identifier	12062	[1b] Departmental Reference Number	SLFS
[2] Core Project Name	Freemen's School IT Managed Infrastructure Services		
[3] Programme Affiliation <i>(if applicable)</i>	N/A Standalone project		

Ownership	
[4] Chief Officer has signed off on this document	Freemen's Headmaster, Roland J Martin
[5] Senior Responsible Officer	Bursar, Sue Williams
[6] Project Manager	Paul Hykin

Description and purpose	
[7] Project Mission statement / Elevator pitch	CLFS has a strategic plan to drive the application and use of IT across teaching, learning and administration. This project will deliver a resilient, reliable, secure and professionally maintained and supported IT Infrastructure Service to underpin all of our IT aspirations.
[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)?	<ul style="list-style-type: none"> IT is now mission critical in all aspects of school life and is touched by 900 pupils and 200 staff every day. IT must be completely reliable, robust and resilient. It is essential that it is operated, managed and supported with rigour and professionalism; Current IT service has grown slowly with the school and is not able, without significant investment in staffing and technology, to provide the rigour and breadth of skills required to maintain the service levels required; and to provide the 24/7 support to reflect the school's requirements as a boarding school and with increasing out of hours work and engagement by both staff and pupils IT service focus is currently on maintaining the status quo and resolving issues – we need to move to a reliable service 'as a given' and focus our resources on driving the best use of IT in learning CLFS use of IT lags behind its peers and competitors – if we are to address this, we require systems and services with real capacity and capability to deliver continual change and improvement;
[9] What is the link to the City of London Corporate plan outcomes?	The City of London Freemen's School is an integral part of the City's support to its stakeholders, Livery Companies, and staff and as such needs to flourish and succeed in a dynamic and competitive environment. This project is one of a number which underpin that success.
[10] What is the link to the departmental business plan objectives?	<p>CLFS Strategic Intent states:</p> <ul style="list-style-type: none"> To teach all pupils across the school the requisite ICT skills both to nurture them academically and prepare them for the world beyond Freemen's. To provide finance for, and management of, ICT facilities that enhance the quality of teaching and learning in the classroom and provide all students with the opportunity for developing their own independent learning. To develop and encourage further staff commitment to, and competence in, the use of ICT for

teaching and learning through a planned programme of staff training and development across the whole School.

The CLFS IT Managed Infrastructure Service underpins our ability to deliver all of these

[11] Note all which apply:

Officer: Project developed from Officer initiation	Y	Member: Project developed from Member initiation		Corporate: Project developed as a large scale Corporate initiative	
Mandatory: Compliance with legislation, policy and audit	Y	Sustainability: Essential for business continuity	Y	Improvement: New opportunity/ idea that leads to improvement	Y

Project Benchmarking:

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

<These should be impacts of the activity to complete the aim/objective, rather than 'finishes on time and on budget'>>

- 1) Staff trust in the IT provision and service – that it will work reliably whenever and wherever they want to use it.
- 2) Sustained and continual improvement and engagement by staff and learners in the use of IT across their time with Freeman's
- 3) Provably reliable, resilient, robust and secure IT infrastructure and service meeting agreed, visible and measurable Service Level Agreement

[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.)

On expiry or termination of contract the School will need to make arrangements for the replacement of the service either through a similar contract or through developing internal capacity and capability

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

*Lower Range estimate: £300,000 over 5 years at cost of £60,000 per year
Upper Range estimate: £500,000 over 5 years at costs of £100,000 pe year*

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

The above costs are built into the Freeman's annual operating budgets.

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

Freeman's revenue funding is obtained from Parent's fees which are assessed annually and uplifted according to requirements/price elasticity. All funds for this project including the 5 year managed service will come from Freeman's revenue funding.

[17] What is the expected delivery timeframe for this project (range values)?

Are there any deadlines which must be met (e.g. statutory obligations)?

Timeline is determined by procurement and governance process, currently estimated as:

- Commence Procurement 1/6/19
- Service operational 1/1/20
- Contract break point 31/12/22
- Contract end point, assuming extended to full term, 31/12/23

There are no statutory obligations.

The service is currently operated by interim contractor and consultants, these will all terminate at service take-on.

Transition to the service needs to be during a school vacation.

The contract will include change provision, which may need to be triggered as the school's Estates Development Plan progressed

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 – very unlikely. Risk is minimal.	
[19] Who has been actively consulted to develop this project to this stage? <(Add additional internal or external stakeholders where required) >	
Chamberlains: Finance	<i>N/A – school funds</i>
Chamberlains: Procurement	<i>Officer Name – Alex Mauger</i>
IT	<i>Officer Name – David Clelland / Graeme Quarrington-Page</i>
HR	<i>Officer Name: NA</i>
Communications	<i>Officer Name: NA</i>
Corporate Property	<i>Officer Name:NA</i>
External	
[20] Is this project being delivered internally on behalf of another department? If not ignore this question. If so: Please note the Client supplier departments. Who will be the Officer responsible for the designing of the project? If the supplier department will take over the day-to-day responsibility for the project, when will this occur in its design and delivery?	
Client	<i>N/A</i>
Supplier	
Supplier	
Project Design Manager	
Design/Delivery handover to Supplier	

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Committees: Projects Sub Committee <i>[for decision]</i> Culture Heritage and Libraries Committee <i>for decision]</i>	Dates: 22 March 2019 25 March 2019		
Subject: Library Self Service Kiosks Unique Project Identifier: 12013	Gateway 3/4: Options Appraisal (Regular)		
Report of: Director of Community & Children's Services Report Author: Prachi Ranade, Commissioning and Contracts Officer Department of Community and Children's Services	For Decision		
Project Description: <p>This project is looking to replace or upgrade the kiosks and maintenance contracts that we have in place.</p>			
Recommendations Members are asked to: <ul style="list-style-type: none"> • approve Option 2 to source a new system, for proceeding to procurement and Gateway 4a • approve the total estimated cost of £120,000 • approve request for additional Capital budget of £70,000 to proceed to procurement and reach the next Gateway 			
<u>Summary</u>			
<p>This report follows on from the Gateways 1 and 2 report presented to the Project Sub Committee on 7th November 2018. It was agreed at the meeting that the project should follow a regular project gateway process. Therefore, this report provides information required for Gateways 3 and 4.</p> <p>The procurement aims to replace or upgrade the kiosks that we have in place. This will enable a more efficient service for the public, that will free up staff from issuing and discharging to allow them to focus on stock maintenance and delivering a range of public facing activities in the library. The improved technology will also improve the speed of the issuing process for users who can choose to use the kiosks rather than queue to see a member of staff.</p>			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%; padding: 2px;">Project status</td> <td style="padding: 2px;">Amber</td> </tr> </table>	Project status	Amber	
Project status	Amber		

Timeline	<p>Specification and terms and conditions developed by April 2019</p> <p>Publish tender documents in May 2019</p> <p>Tender returns in June 2019</p> <p>Evaluations in July 2019</p> <p>Final decision by August 2019</p> <p>Gateway 5 Report by September 2019</p> <p>Award contract by October 2019</p> <p>Mobilisation period, transfer of information and decommissioning of existing system: October 2019 – January 2020</p> <p>Staff training between November 2020 – January 2020</p> <p>System go-live: January 2020</p>	
Programme status	Pending approval of Gateway 3/4 – options appraisal	
Latest estimated cost of works	As Gateway 1/2, up to £120,000 – dependent on tenders returned, this includes installation of hardware, support to migrate data, training and annual support and maintenance costs for the duration of the contract.	
Expenditure to date	Staff costs - £4,506.48	
Total project cost	Up to £120,000 – dependent on tenders returned, this includes installation of hardware, support to migrate data, training and annual support and maintenance costs for the duration of the contract.	

Progress to date (including resources expended and any changes since previous Gateway)

Following Projects Sub approval to proceed to Gateways 3 and 4 on 7th November 2018, the steering group has commenced the development of the specification through consultation with all agreed stakeholders.

The IT Category Board approved the procurement route on 11th December 2018.

Financial Implications

Description	Option 2:	
Works costs	As Gateway 1/2, up to £120,000 – dependent on tenders returned	
Total	Up to £120,000	
Funding strategy:		
Source		

	Barbican and Community Libraries - support and maintenance for the lifetime of the contract	£50,000		
	Bid for Capital funding	£70,000		
	Total	£120,000		

<p>1. Next steps and Requested decisions</p>	<p>Next Gateway: Gateway 4a: Inclusion in Capital Programme</p> <p>Next Steps:</p> <p>Staff costs to cover the project management of the commissioning and procurement timetable and to engage the market.</p> <p>Requested Decisions:</p> <ul style="list-style-type: none"> • To approve Option 2 for proceeding to procurement and Gateway 5 • Projects Sub Committee and Spend Committee to approve budget, and the Resource Allocation Sub Committee to approve Capital funding 												
<p>2. Resource requirements to reach next Gateway</p>	<p><i>From recommended option</i></p> <table border="1" data-bbox="528 1305 1390 1776"> <thead> <tr> <th>Item</th> <th>Reason</th> <th>Funds/ Source of Funding</th> <th>Cost (£)</th> </tr> </thead> <tbody> <tr> <td>Staff Time</td> <td>Project management of the commissioning /procurement timetable</td> <td>Existing officer time – Local risk</td> <td>£10,000</td> </tr> <tr> <td>Total</td> <td></td> <td></td> <td>£10,000</td> </tr> </tbody> </table>	Item	Reason	Funds/ Source of Funding	Cost (£)	Staff Time	Project management of the commissioning /procurement timetable	Existing officer time – Local risk	£10,000	Total			£10,000
Item	Reason	Funds/ Source of Funding	Cost (£)										
Staff Time	Project management of the commissioning /procurement timetable	Existing officer time – Local risk	£10,000										
Total			£10,000										
<p>3. Overview of project options</p>	<p>Overview of Options and Proposed Way Forward</p> <p>There are three options:</p> <p><u>Option 1: Do nothing</u></p>												

	<p>This option is not viable – The equipment is at end of life and cannot be upgraded to, for example, accept card and contactless payments. Therefore, it will not be possible to negotiate continued support contracts, which means that in the case of equipment failure there is no way to organise a repair. It would be a risk to continue our relationship with the current supplier without a contract on the City of London Corporation’s terms. This would also mean having to side-step finance and procurement best practice by having to sign off financial waivers to the current supplier.</p> <p><u>Option 2: Source a new system</u> This option is recommended. A new system (or upgrading if the incumbent supplier is successful) will be able to meet the statutory requirements and improvements needed in the Libraries service.</p> <p><u>Option 3: Co-procure with another London borough</u> This option is not viable – no other London boroughs are currently looking at this with the same timescales as the City. Co-ordination costs are likely to be dis-proportionate to the contract value.</p>
4. Recommended Option	<p><u>Option 2: Source a new system</u> This option is recommended. An upgraded or a new system will be able to meet the statutory requirements and improvements needed in the Libraries service. Therefore, the only option available currently is a procurement exercise to source a new system.</p>
5. Procurement approach	<p>Competitive procurement via the Capital E-Sourcing Portal for Option 2. This will give organisations of all sizes the opportunity to submit a tender, increasing the opportunity for several innovative proposals.</p>

Appendices

Appendix 1	Project Coversheet
Appendix 2	PT3 Procurement Form
Appendix 3	Risk Register

Contact

Report Author	Prachi Ranade
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Email Address	Prachi.ranade@cityoflondon.gov.uk
Telephone Number	0207 332 3792

Options Appraisal Matrix

Option Summary	Option 1	Option 2	Option 3
<p>1. Brief description of option</p>	<p>Do not procure a system and continue service with current providers.</p> <p>Sign off financial waivers to the supplier every year for annual support and maintenance costs.</p>	<p>Procure an upgraded or a new system that will meet the statutory requirements and improvements needed in the Libraries service.</p>	<p>Co-procure with another London borough for an upgraded or new system to meet statutory requirements.</p>
<p>2. Scope and exclusions</p>	<p>The current service's kiosks and software are coming to the end of their life and are currently unsupported.</p> <p>The current contract has no provision for upgrades.</p>	<p>This project is looking to replace or upgrade the kiosks that we have in place. This will enable a more efficient service for the public, that will free up staff from issuing and discharging to allow them to focus on stock maintenance and delivering a range of public facing activities in the library.</p> <p>The system will need to continue to provide self-service facilities to the public in relation to library services, allow the public to pay their fines and loan fees, control security of items, interact with the Library Management System and provide management information to report on performance.</p>	
Project Planning			

<i>Option Summary</i>	<i>Option 1</i>	<i>Option 2</i>	<i>Option 3</i>
3. Programme and key dates	Not applicable	<p>Specifications and terms and conditions developed by April 2019</p> <p>Publish tender documents in May 2019</p> <p>Tender returns in June 2019</p> <p>Evaluations in July 2019</p> <p>Final decision by August 2019</p> <p>Gateway 5 Report by September 2019</p> <p>Award contract by October 2019</p> <p>Mobilisation period, transfer of information and decommissioning of existing system: October 2019 – January 2020</p> <p>Staff training between November 2020 – January 2020</p> <p>System go-live: January 2020</p>	Not applicable

<i>Option Summary</i>	<i>Option 1</i>	<i>Option 2</i>	<i>Option 3</i>
4. Risk implications	High	Medium	High
5. Stakeholders and consultees	<ul style="list-style-type: none"> • Current Provider • IT Division • Commissioning 	<ul style="list-style-type: none"> • Libraries staff • IT Division • City Procurement • Service Users • Commissioning • Chamberlain – Finance • Agilisys • Barbican and Landlords of Artizan and Shoe Lane Library 	
6. Benefits of option	<ul style="list-style-type: none"> • No need to transfer data as continue with current suppliers. 	<ul style="list-style-type: none"> • Competitive bidding process obtaining value for money. • Competitively source and leverage appropriate expertise from the market. 	<ul style="list-style-type: none"> • May derive some advantage through economies of scale. • Competitive bidding process obtaining value for money.
7. Disbenefits of option	<ul style="list-style-type: none"> • No option to extend contract in current agreement leading to lack of negotiation power. 	<ul style="list-style-type: none"> • Time implications for a nationally advertised procurement. 	<ul style="list-style-type: none"> • No London boroughs are currently looking at this with the same timescales as required by the City.

Option Summary	Option 1	Option 2	Option 3
	<ul style="list-style-type: none"> Upgrades not provided for within the contract 		<ul style="list-style-type: none"> Co-ordination costs likely to be disproportionate to the contract value.
Resource Implications			
8. Total Estimated cost	Not applicable	Up to £120,000 dependent on tenders and system chosen.	Not applicable
9. Funding strategy	Not applicable	Barbican and Community Libraries - support and maintenance £50,000 Bid for Capital funding - £70,000	Not applicable
10. Investment appraisal	Not applicable	The investment appraisal that will be used to assess the cost of options will be 'whole life cost', which will include the initial cost plus the cost of maintaining the system over its useful life.	Not applicable

Option Summary	Option 1	Option 2	Option 3
11. Estimated capital value/return	£0	Bid for Capital funding - £70,000 dependent on tenders and system chosen	£0
12. Ongoing revenue implications	Approximately £50,000 for the life of the contract	This cost is to be identified as part of the tender process, but likely to be in the region of £50,000.	Approximately £50,000 for the life of the contract
13. Affordability	Revenue costs included within local budget.	Revenue costs included within local budget. Capital costs are not allocated.	
14. Legal implications	One contract expires in January 2020 and the other expires in January 2021. The terms are outdated and will not reflect current practice or laws.	Any future system must have functionality to execute the statutory services provided by the Libraries service and be able to cater to specific requirements expected. Procurement will be carried out using the Capital E-Sourcing portal. This ensures that the system requirements and statutory services needed should be met.	
15. Corporate property implications	None	Liaising with Daisy Estrada in the Built Environment regarding potential replacement of security	None

Option Summary	Option 1	Option 2	Option 3
		gates at Barbican Library. Should they need replacing DCCS may need to apply for listed building consent.	
16. Traffic implications	None	None	None
17. Sustainability and energy implications	None	None	None
18. IS implications	None	<p>IT implications include:</p> <ul style="list-style-type: none"> a. use of hosted, subscription and/or software-as-a-service (SaaS) options are preferable b. IT Division will need to ensure that connectivity is set up to be as resilient as possible to support this approach. 	None

<i>Option Summary</i>	<i>Option 1</i>	<i>Option 2</i>	<i>Option 3</i>
		IT Division will need to prepare for any data management or system integration work required to support the new system. Phil Pettit from IT is involved, and the project has been highlighted and approved through the IT Project Management Office (PMO) process.	
19. Equality Impact Assessment	Not required	Test of relevance completed. No negative impacts identified and therefore full EIA not undertaken.	Not required
20. Data Protection Impact Assessment	Not applicable	Not applicable	Not applicable
21. Recommendation	Not recommended	Recommended	Not recommended

Project Coversheet

[1] Ownership

Unique Project Identifier: 12013 **Report Date:** 22nd March 2019
Core Project Name: Library Self Service Kiosks
Programme Affiliation (if applicable):
Project Manager: Prachi Ranade
Next Gateway to be passed: Gateway 3/4

[2] Project Brief

Project Mission statement: Some of the service's kiosks and software are coming to the end of their life and are currently unsupported, others are not fit for purpose. This project is looking to replace or upgrade the kiosks and maintenance contracts that we have in place. This enables a more efficient service for the public, that frees up staff from issuing and discharging to allow them to focus on stock maintenance and delivering a range of public facing activities in the library.

Definition of need: The system will need to continue to provide self-service facilities to the public in relation to library services, allow the public to pay their fines and loan fees, control security of items, interact with the Library Management System and provide management information to report on performance. This project will provide efficiencies as it will enable the library service to make better use of stock control through performance management and tailoring of services leading to a better service for customers by amalgamating three separate contracts. The service mirrors the use of EPOS (Electronic Point of Sale) which can link with the library management system to enable supply and demand to be measured to provide an efficient service for library users.

Key measures of success:

- 1) A system that meets all statutory requirements (including reporting requirements and GDPR).
- 2) System meets service users' identified needs to ensure a high level of service user satisfaction and usage.
- 3) System is sufficiently flexible to evolve to meet future needs including linking with other systems.

[3] Highlights

Finance:

Total anticipated cost to deliver [£]: Up to £120,000

Total potential project liability (cost) [£]:

Total anticipated on-going commitment post-delivery [£]: Up to £50,000 maintenance costs

Programme Affiliation [£]: Up to £120,000

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)
£50,000	£70,000	£120,000
[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)

£120,000	£120,000	£0
[G] Spend to Date	[H] Anticipated future budget requests	
£4,506.48	£0	

Headline Financial changes:

Since 'Project Proposal' (G2) report:
No budget requested at G2.

Project Status:

Overall RAG rating: Amber
Previous RAG rating: Amber

[4] Member Decisions and Delegated Authority

Not applicable

[5] Narrative and change

Date and type of last report:

Gateway 2:

- Corporate Projects Board – 21st August 2018
- Projects Sub Committee – 7th November 2018
- Culture Heritage and Libraries Committee – 22nd October 2018

Key headline updates and change since last report.

Finalising system requirements and specification.

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

Since 'Project Proposal' (G2) report:
N/A

Timetable and Milestones:

Expected timeframe for the project delivery: <Current Range>

Milestones: <Top 3 delivery and planning milestones (upcoming) >

- 1) Specification and terms and conditions developed - April 2019
- 2) Publish tender documents – May 2019
- 3) Tender returns – June 2019

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

Risks and Issues

Top 3 risks:

<i>Risk description</i>	Lack of business engagement and ownership, especially at times when teams have a heavy workload.
<i>Risk description</i>	Loss of functionality during migration
<i>Risk description</i>	Lack of business engagement.

See 'risk register template' for full explanation.

Top 3 issues realised <risks which have come to pass:>

<i>Issue Description</i>	<i>Impact and action taken</i>	<i>Realised Cost</i>
--------------------------	--------------------------------	----------------------

N/A		

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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PT 3 - Procurement Options Report

This document is to be used to identify all Procurement options available and recommended



Author:	Prachi Ranade and David Scott		
Project Reference:	TBC		
Project Title:	Library Self Service Kiosks		
Summary of Goods or Services to be sourced			
Replacement or Upgrade of Self Service Kiosks in Barbican, Artizan Street and Shoe Lane Libraries			
Contract Duration:	3+2 (5 years)	Contract Value:	Up to £120,000 (£70k capital, £50k revenue)
Stakeholder information			
Project Lead & Contract Manager: Prachi Ranade	Category Manager: David Scott	Lead Department: DCCS	
Other Contact	Department		
Carol Boswarthack	DCCS		
Opportunity for Inter-City Collaboration (is there another site/department that could benefit from this project)?			
Potentially City of London Business Library and Reference Library			

Specification and Evaluation Overview

Summary of the Specification:

The City of London Corporation has a statutory duty under the Public Libraries and Museums Act 1964 'to provide a comprehensive and efficient library service for all persons.' These local authority functions are delivered by staff and commissioned services, and overseen by the Culture, Heritage and Libraries Committee.

To meet its statutory responsibilities, the City of London uses self-service kiosks for the public to issue, renew and return stock. The system also controls security of the items with tags and security gates.

The current service is provided by two organisations; Bibliotheca's contract started on 31st January 2016 and ends on 30th January 2021, and D-Tech's contract started on 31st January 2015 and ends on 29th January 2020. Bibliotheca provides support and maintenance for the kiosks in Artizan and Barbican libraries, and D-Tech provide 2 kiosks, 2 return bins and maintenance for the kiosks in Shoe Lane Library. As the D-Tech contract is ending in January 2020, the City needs to begin its commissioning and procurement process to ensure sufficient time is allocated for mobilisation of the new contract. It is proposed that Bibliotheca's contract will be given a 3 month notice period so that it ends in line with the D-Tech's contract so that a streamlined procurement process can take place.

The current service's kiosks and software are coming to the end of their life and are currently unsupported. This project is looking to replace or upgrade the kiosks that we have in place. This will enable a more efficient service for the public, that will free up staff from issuing and discharging to allow them to focus on stock maintenance and delivering a range of public facing activities in the library. The improved technology will also improve the speed of the issuing process for users so that the public no longer need to queue.

The system will need to continue to provide self-service facilities to the public in relation to library services, allow the public to pay their fines and loan fees, control security of items, interact with the Library Management System and provide management information to report on performance.

Overview of the key Evaluation areas:

Award Criteria	Level 1	Level 2
Technical	40%	
- Service Delivery		Tbd
- Technical Solution		
- Delivery Team – Key Personnel		Tbd
- Mobilisation		Tbd
- Support & Maintenance		Tbd
Commercial	60%	
- - To be confirmed		tbd

Technical and Pricing evaluation ratio
40% (Technical) / 60% (Price)

Is the contract likely to require financial uplifts? (Please describe what method will be used to calculate the uplift and whether this will be capped)	
The contract costs will be fixed for the implementation and support.	
Are there any accompanying documents with this report?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Will this project require the winning supplier to process personal data on our behalf?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
If yes, please make sure you've defined roles and responsibilities within your project specification. For more information visit Designing Specifications under GDPR . You may include your Privacy Impact Assessment or other relevant report as an appendix to this PT form when submitting to category board (for information).	
Evaluation Panel – Please enter Name and Department below	
Asok Basu	DCCS
Jonathan Gibbs	DCCS
Matthew Cox/Phil Pettit	IT

Customer Requirements

Target completion date	31/05/2019	Target Contract award date	01/01/2020
Are there any time constraints which need to be taken into consideration?			
The contract with D-Tech ends on 29 th January 2020, so the new contract must be fully mobilised by then.			

Efficiencies Target with supporting information	
Dependant on the solution, it is unlikely there will be overall savings on the project. This will depend on the method of delivery and utilisation of the existing infrastructure.	

Procurement Timeframes - To be determined using PTO Project Plan with Roles and Responsibilities	
Procurement Start date	31/01/2019
Procurement End date	31/05/2019

City of London Initiatives

How will the Procurement meet the City of London's Obligation to Adhere to the Social Value Act: n/a
Take into account the London Living Wage (LLW): n/a
Consideration for Small to Medium Enterprises (SME): The likely market for this requirement will include SMEs due to the specialist nature of the requirement.
Are there TUPE/Pension liabilities that need to be considered? N/a
Other:

Procurement Strategy Options Procurement Strategy is building the way in which the contract will look once awarded. This could include inter-departmental usage, existing contracts integrated once expired or adding it to an existing contract.

Option 1: Continue with current solution
Advantages to this Option:
- No need to transfer data.
- No risk of change.
Disadvantages to this Option:
- No comparison with other market providers in terms of value for money.
- No option to extend in agreement leading to lack of negotiation power.
- Upgrades not provided for within the contract.
Please highlight and possible risks associated with this option:
- Current contract does not allow for this. In addition, current solution is no longer supported.
Option 2: Market test the key outcomes and requirements for a new contract/system
Advantages to this Option:
- Competitive bidding process obtaining value for money
- Competitively source and leverage appropriate expertise from the market
- Sound contractual footing with performance metrics for service delivery
Disadvantages to this Option:
- Time implications for a nationally advertised procurement
Please highlight and possible risks associated with this option:

- Delay to the desired commencement date of the service

Option 3: Co-procure with another London Borough

Advantages to this Option:

- May derive some advantage through economies of scale (i.e. buyer power increased)
- Competitive bidding process obtaining value for money
- Competitively source and leverage appropriate expertise from the market
- Sound contractual footing with performance metrics for service delivery

Disadvantages to this Option:

- No London boroughs are currently looking at this with the same timescales as required here.
- Issues with ensuring that both LAs have the same expectations for outcomes.
- Co-ordination costs likely to be dis-proportionate to the contract value.
- Time and resource implications leading a collaborative procurement, collating joint and local requirements etc.
- Other contracting authorities have already launched individual local procurements

Please highlight and possible risks associated with this option:

Procurement Strategy Recommendation

City Procurement team recommended option

Option 2: Market test the key outcomes and requirements for a new contract/system

Route to Market Options: *Route to market is the way in which the City will invite suppliers to bid for the procurement.*

Option 1: Advertised sub-OJEU Tender

Advantages to this Option:

- An increase in competition due to more suppliers having the opportunity to bid opposed to a closed supplier list under a Framework Agreement
- Organisations of all sizes have the opportunity to submit a tender, increasing the opportunity for a number of innovative proposals/solutions
- Advantageous for simple and straight forward requirements
- The City uses its own Terms which can be more favourable than a generic Framework agreement
- Able to target the niche suppliers in the market for a direct bid rather than via resellers.

Disadvantages to this Option:

- All tenders must be evaluated; therefore, there can be resource implications of a potentially lengthy tender evaluation (due to a high volume of responses)

Please highlight and possible risks associated with this option:

There may be a large number of tenders submitted all requiring evaluation, thus requiring more resource than anticipated. Proportionate minimum requirements, thresholds and weightings being applied to the pre-determined evaluation criteria can help mitigate the risk of an excessive response rate.

Option 2: CCS Framework RM3804 (Technology Services 2)

Advantages to this Option:

- Instant route to bidding phase
- Compliant with procurement law
- Reduced administrative burden in terms of the time and transaction costs (both supplier and Corporation) compared to running a full EU procurement process
- Suppliers have been identified, vetted, and quality checked via a competitive EU procurement process
- Overarching contractual terms agreed minimising clarifications and qualifications post-tender
- Security of supply / capacity (multi-supplier agreements) – e.g. if one supplier on the Framework Agreement runs into difficulty there would still be other suppliers capable of delivering the requirements
- Niche suppliers are not available as a direct supplier on this framework. Therefore, contract would be with a reseller, adding margin and potential for a cumbersome contract management process.

Disadvantages to this Option:

- Closed competition thus limited to the appointed suppliers under the Framework Agreement
- There could be new suppliers and/or solutions within the market that were not included when the Framework Agreement was established originally

- The bespoke needs of the Corporation might not be reflected, and the Framework Agreement will be limited in variation to any resultant call-off contract

Please highlight and possible risks associated with this option:

- Commercial challenge by way of pricing - is this competitive still? This CCS Framework Agreement commenced October 2016 and may have been established when the market rate was high, although suppliers' margins are contractually capped and audited on a monthly basis (by the CCS).
- Officer time in undertaking due diligence (Comptrollers, Procurement, Finance, Insurance and Stakeholder)

Route to Market Recommendation

City Procurement team recommended option

Option 1: Advertised sub-OJEU Tender

Recommendation

Is the procurement split into lots?

Yes No

Please specify why you have taken this decision regarding lots

Not able to disaggregate requirement.

City Procurement team proposed route for sign off:

IT Category Board > Gateway Process

Sign Off/Internal Checks

Date of Report:	
Reviewed By:	
Reviewer Signature :	
Insurance	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Financial	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Health and Safety	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Contract Approval	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
<i>Add additional as required</i>	

Ref	Description	Impact	Likelihood	Impact	Total	Tolerance	Status	Actions to mitigate risk	owner	review	Date of last change
R1	Resources are not prioritised for the project to deliver according to the timescale	Delays to the project plan which have an adverse effect on implementations dates. Current contracts may need to be renewed if project overruns	2	4	8	15	open	Regular meetings and key dates agreed with the steering group.	Prachi Ranade/ Jonathan Gibbs	monthly	
R2	Lack of business engagement and ownership, especially at times when the Libraries team and other members of the steering group have a heavy workload	The specification and system(s) are developed, mobilised and tested in a way that does not meet business need and service user requirements and is not seen as an improvement to current practice	3	4	12	15	open	The steering group is representative of the business. The project is an appraisal target for relevant officers to enable prioritisation. All mobilisation and testing are scheduled with business leads well in advance to ensure sufficient time is available	Jonathan Gibbs	monthly	
R3	Scope/specification of the services does not fully represent the needs of the service users	The specification and system(s) are developed and mobilised in a way that does not meet business need and service user requirements and is not seen as an improvement to current practice	2	4	8	10	open	Consultation with service users will consider needs, risks, and benefits and expectations as part of the review Service uses identified at an early stage to enable full consultation and benchmarking with other local authorities' specs	Prachi Ranade/ Jonathan Gibbs	monthly	
R4	Scope of the specification is beyond the ability of the market to implement	The City's requirements cannot be met by any provider without time consuming or bespoke systems being created which are costly to maintain	3	4	12	15	open	Soft market testing is thorough and includes systems used by other local authorities	Prachi Ranade/David Scott	monthly	
R5	The existing book tags are not compatible with the new system	Removal of existing tags will damage the books, resource and cost of changing tags	3	4	12	15	open	Specification details the need to use existing tags.	Prachi Ranade/Phil Pettit/ Jonathan Gibbs	monthly	
R6	System does not fulfil requirements	CoL is unable to meet its duties and leads to reputational issues	2	4	8	10	open	Specification includes all relevant functions. Best practice from other local authorities is used to inform specification and system requirements with pass/fail criteria for certain key functionality.	Jonathan Gibbs	monthly	
R7	Service users are not confident with the new systems	Service users do not use the full functionality of the system or are not using the system in the correct way	2	4	8	15	open	Guides are included within the specification. On site training and support, floor walking made available	Prachi Ranade	monthly	
R8	The system is not adequately supported post go live	Service users do not use the full functionality of the system or are not using the system in the correct way and have no one to ask for help	2	4	8	15	open	Post go live support and manual included within the specification.	Prachi Ranade	monthly	
R9	Insufficient technical resource to support the mobilisation, transition, go live and post go live support	Project plan slippage which incurs costs and delays the implementation of the project	4	4	16	15	open	Technical support to be requested via IT or if not available, will need to be procured. Estimation of time requirements and skills to be developed with guidance from IT. Option to include within contract	Phil Pettit	monthly	
R10	A hosted system requires all technical activities to be reliant on the provider leading to delays in delivery	There are unnecessary delays to the project delivery timeline, causing the project to be extended. There is not clarity on who is responsible for which activities regarding data	2	4	8	10	open	Work closely with the Col's IT team and any identified technical resource to plan mobilisation in advance. Change management controls to be built into the contract	Phil Pettit/ David Scott/Comptrollers	Monthly/weekly in the latter stages of the project	
R11	There are delays to the project plan caused by the chosen	Implementation of the project is delayed causing the project to be extended	3	4	12	15	open	Ensure that the changes put in place by City procurement (see Mosaic gateway 7	David Scott	Monthly	

	RED = not on track not in control
	AMBER = not on track but in control
	GREEN = on track and in control

Ref	Description	Impact	Likelihood	Impact	Total	Tolerance	Status	Actions to mitigate risk	owner	review	Date of last change
	provider(s) asking for contract changes (lesson learnt from Mosaic)							report) are implemented for this project) Terms and conditions to be sent as part of the soft market testing.			
R12	New security gates are required to comply with new system	The removal of existing security gates and installation of new ones will need Planning permission as Barbican is a listed building, and liaising with private landlord for Shoe Lane Library. Additional costs may be required.	4	3	12	15	open	Commissioning Officer to liaise with the planning team and the private landlord during the planning stage.	Prachi Ranade	Monthly	
R13	Introduction of Libraries Connect Framework to the market will make the self-service kiosks interact with the Library Management System outdated	Libraries Connect Framework becomes the industry standard, leading to COL to retrofit devices to install it at additional cost.	4	4	16	15	Open	Fully investigating any supplier of their understanding of the Libraries Connect Framework, and the impact on the industry.	Jonathan Gibbs	Monthly	
R14	Security protocols that allow data transfer between different systems not updated	The RFID system will stop operating and staff will not be able to access management information.	4	4	16	15	Open	Ensure that security protocols are covered in the specification. Ensure that the protocols are assessed by IS, and that IS have continual involvement in the process.	Jonathan Gibbs/Phil Pettit	Monthly	
R15	Specification is not prepared to timescale	Delays to the project plan which have an adverse effect on implementations dates. Current contracts may need to be renewed if project overruns	4	4	16	15	Open	Regular meetings and key dates agreed with the steering group.	Prachi Ranade/ Jonathan Gibbs	Monthly	
R16	Loss of expertise due to staff leaving	Delays to the project plan which have an adverse effect on implementations dates. Current contracts may need to be renewed if project overruns	4	4	16	15	Open	Regular meetings and key dates agreed with the steering group. Support from Carol Boswarthack required.	Prachi Ranade/ Jonathan Gibbs	Monthly	

	RED = not on track not in control
	AMBER = not on track but in control
	GREEN = on track and in control

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