**CITY OF LONDON**

# Digital Services Sub (Finance) Committee

**Date:** TUESDAY, 8 OCTOBER 2019

**Time:** 11.00 am

**Venue:** COMMITTEE ROOM 1 - 2ND FLOOR, WEST WING, GUILDHALL

**Members:** Randall Anderson (Chairman)
Deputy Jamie Ingham Clark (Deputy Chairman)
Deputy Keith Bottomley
Tim Levene
Jeremy Mayhew
Rehana Ameer
Deputy Hugh Morris
Deputy Roger Chadwick
Benjamin Murphy
John Chapman
Sylvia Moys
Barbara Newman
James Tumbridge

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

2. **APOLOGIES**

3. **MINUTES OF THE PREVIOUS MEETING**
   To agree the public minutes and non-public summary of the meeting held on 5 July 2019.

   **For Decision**
   (Pages 1 - 8)

4. **FORWARD PLAN**
   Report of the Chamberlain.

   **For Information**
   (Pages 9 - 10)

5. **DESIGN, BUILD, SUPPORT AND HOSTING FOR NEW WEBSITE**
   Report of the Town Clerk.

   **For Information**
   (Pages 11 - 12)

6. **GENERAL DATA PROTECTION REGULATION (GDPR/DATA PROTECTION ACT 2018 - DPA)**
   Report of the Comptroller & City Solicitor.

   **For Information**
   (Pages 13 - 18)

7. **CUSTOMER RELATIONSHIP MANAGEMENT - UPDATE**
   Report of the Chamberlain.

   **For Information**
   (Pages 19 - 22)

8. **IT DIVISION - IT SERVICE DELIVERY SUMMARY**
   Report of the Chamberlain.

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

9. **IT DIVISION RISK UPDATE**
   Report of the Chamberlain

   **For Information**
   (Pages 29 - 36)

10. **IMPLEMENTING THE APPLICATION MANAGEMENT STRATEGY - THE APPLICATION ROAD MAP**
Report of the Chamberlain.

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**For Information**
(Pages 37 - 44)

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11. **SMART WORKING AND ACCOMMODATION - PRESENTATION**
The City Surveyor to be heard.

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**For Information**
(Pages 45 - 58)

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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.

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**For Decision**

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**Part 2 - Non-Public Agenda**

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15. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**
To agree the non-public minutes of the meeting held on 5 July 2019.

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**For Decision**
(Pages 59 - 62)

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16. **OUTSTANDING ACTIONS FROM NON-PUBLIC MINUTES OF PREVIOUS MEETINGS**
Joint report of the Town Clerk and Chamberlain.

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**For Information**
(Pages 63 - 64)

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17. **GUILDHALL WORKPLACE UTILISATION PROGRAMME - SMART WORKING UPDATE REPORT**
Report of the City Surveyor.

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**For Information**
(Pages 65 - 70)

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18. **CR 16 INFORMATION SECURITY RISK**
Report of the Chamberlain.

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**For Information**
(Pages 71 - 96)

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19. **POLICE IT UPDATE REPORT**
Joint report of the Chamberlain and the Commissioner of the City of London Police.

**For Information**
(Pages 97 - 102)

20. **NATIONAL ENABLING PROGRAMME DEEP DIVE PRESENTATION**
Director of IT to be heard

**For Information**
(Pages 103 - 122)

21. **2020 SOURCING PROGRAMME**
Assistant IT Director to be heard.

**For Information**

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

## Friday, 5 July 2019

Minutes of the meeting of the Digital Services Sub (Finance) Committee held at the Guildhall EC2 at 1.45 pm

**Present**

**Members:**

| | |
|---|---|
| Randall Anderson (Chairman) | Deputy Roger Chadwick |
| Deputy Jamie Ingham Clark (Deputy Chairman) | John Chapman |
| | Sylvia Moys |
| Deputy Keith Bottomley | Barbara Newman |
| Jeremy Mayhew | |
| Rehana Ameer | |

**Officers:**

| | |
|---|---|
| Rofikul Islam | - Town Clerk's Department |
| Caroline Al-Beyerty | - Chamberlain Department |
| Sean Green | - Chamberlain's Department |
| Samantha Green | - Chamberlain's Department |
| Matt Gosden | - Chamberlain's Department |
| Gary Brailsford-Hart | - City of London Police |
| Kevin Mulcahy | - Chamberlain's Department |
| Jon Averns | - Markets & Consumer Protection |
| Colin Buttery | - Open Spaces |
| Mel Richardson | - Town Clerk's Department |

**In attendance:**

| | |
|---|---|
| Eugene O'Driscoll | - Agilisys |

1. **APOLOGIES**
   Apologies were received from Tim Levene, Benjamin Murphy and James Tumbridge.

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 of the meeting held on 30 May 2019 be approved as an accurate record, subject to the changes that Deputy Roger Chadwick was present in the meeting as opposed to being absent as recorded.

4. **FORWARD PLAN 2019**
   The Sub-Committee received a joint report of the Town Clerk and the Chamberlain which provided updates of outstanding actions from previous meetings. The report

also provided information on the Sub-Committee's proposed work plan for the forthcoming meetings.

**RESOLVED –** That the Sub-Committee notes the report.

5. **OUTSTANDING ACTIONS FROM PREVIOUS MEETINGS**
The Sub-Committee considered a joint report of the Town Clerk and the Chamberlain which provided updates of outstanding actions from previous meetings. The report also provided information on the Sub-Committee's proposed work plan for the forthcoming meetings.

**RESOLVED –** That the Sub-Committee notes the report.

6. **PRESENTATION FROM OPEN SPACES - ON THEIR DIGITAL JOURNEY**
The Director of Open Spaces provided a presentation to the Sub-Committee, the theme of the presentation was around how Digital Technology and Service has helped the Open Spaces Department overcome some of the challenges it faces. Members were informed that the Department has dealt with 24 Million visitors in the last few years and the expansion of the use of IT has enabled connectivity and productivity within the Department. An example cited was that previously, seven Gardeners from the City of London were sharing one computer, however, this has now changed, and the Gardeners are now equipped with personal devices which enables them to access their emails in real-time.

One of the key challenges faced by the Department was that their work is geographically challenging, as some of the Offices are in remote areas such as in a forest, which makes providing effective network connections difficult.  The use of Skype for Business for meetings has enabled the Department to reduce the need to travel to meetings with colleagues both internally and externally, resulting in saving travel time and costs.

*At this point, Mr Jeremy Mayhew enters the room.*

The Sub- Committee was further informed that 85% of the Department's transaction were non-cash, and the modernisation has allowed the transformation and making the transaction easier in public facing services, such as ticketing for admissions and retail systems.

A Member asked how the team was changing its culture towards Skype for Business and where the Department was with the CRM. The Sub- Committee was informed that the shift of culture has been embraced with a positive attitude, again referring to the rollout of the technology with the City of London Gardeners that has enabled them to be better equipped to do their job.  City of London Gardeners were able to communicate from remote locations whereas, in the past they would have to be in the office to email any problems or issues that needed resolving. This has led to a quicker turnaround time to report and resolve issues. Additionally, the change of culture has enabled further training and development for junior staff so that they are confident in the use of technology.

In terms of the CRM, two areas were identified as area of need, which was the need to be customer focused and contact centre to be equipped with tools which will allow multiple transactions. There has been a positive response from Call Centre Operatives, and it was stated that other teams are exploring the use of CRM for their own teams.

There was a discussion around how the efforts of the teams are being coordinated across departments for the new corporate website. The Sub- Committee were informed that multi-disciplinary teams are working together to coordinate an effective operation, but there are some functional issues such as sharing data with other stakeholders.

A Member stated that the previous web building was overbudget and beyond the deadline. Going forward what learning has the City of London taken onboard from the previous experience. The Sub- Committee were informed that the project is being supported by colleagues across the City of London. The learning from the previous experience has allowed the team to ensure that a dedicated Project Manager is appointed to act as the key point of contact and has the overall oversight of the project.

*At this point, Mr Jeremy Mayhew left the room.*

The Sub- Committee were further updated that there is a monthly Website Working Group meeting, where matters related to the project are discussed. This is further strengthened by the use of the weekly stand-up meetings to cascade messages across relevant stakeholders.

**RESOLVED –** That the Sub-Committee notes the presentation.


7. **PRESENTATION FROM MARKETS AND CONSUMER PROTECTION**
The Director of Markets & Consumer Protection provided a presentation to the Sub-Committee. The Director of Markets & Consumer Protection mentioned that there are a lot of similarities between Port Health and the Open Spaces due to the nature of their work outside of the City.

*At this point, the Chairman left the room, with the Deputy Chairman in the Chair.*

The Director of Markets & Consumer Protection informed the Sub-Committee that the majority of the Department's work is time sensitive and business related. The Director of Markets & Consumer Protection gave examples of the Department's digital journey, including:

**Smart Metering:**  Smithfield Market has replaced its manual bill generation process with automated smart metering.

**Patrol and Shift Software:** Provides greater flexibility for security officers at New Spitalfields to issue fines on the spot.

**Car Parking:** Billingsgate is introducing a modern parking payment collection system which will replace the coin machine.

*At this point, the Chairman enters the room and takes the Chair.*

The Department has been working in collaboration with other departments and is emphasising on going mobile, which will allow the team to record an inspection live and share the information with the business it's just inspected. The Heathrow Animal Reception Centre's Custom Clearance has seen a positive impact due to its digitalisation and has led to faster services and less waiting time. Additionally, the Office of the Coroner is now cloud-based, allowing Officers to work remotely. The Markets & Consumer Protection now seeks to look further into AI/Robotic Process Automation, which can cover some of the repetitive tasks and having information in multiple languages.

A Member asked where the City of London was with the adoption of IT and the role IT has on the Port Health. Members were assured that at present Officers have access to remote working at the Ports, but the City of London needs to learn from good examples and encourage learning from one another. Going digital has enabled staff to be more agile as well as being able to provide live information to customers.

**RESOLVED –** That the Sub-Committee notes the presentation.

8. **CITY OF LONDON CORPORATION INFORMATION MANAGEMENT EXECUTIVE SUMMARY**
The Sub-Committee considered the report of the Chamberlain on the City of London Corporation Information Management strategy.

*At this point, Mr Jeremy Mayhew enters the room and subsequently leaves the room.*

**RESOLVED –** That the Sub-Committee agree on the Information Management strategy – Appendix A.

9. **SOCIAL RESPONSIBILITY**
The Sub-Committee received the report of the Chamberlain on the City of London's responsible business commitments and the Responsible Procurement Strategy 2016-19. The report included an update on the results of the social responsibility commitments made in the IT agreement. There is a growing trend across the industry for more ethical social governance focusing on the environment. The City of London has learned much from this experience and will use this to improve requirements for future contracts.

**RESOLVED –** That the Sub-Committee notes the report.

10. **DRAFT IT BUSINESS PLAN 2019/20**
The Sub-Committee received the report of the Chamberlain on Draft IT Business Plan 2019/20.

**RESOLVED –** That the Sub-Committee notes the report.

*At this point, Mr John Chapman left the room.*

11. **IT DIVISION - IT SERVICE DELIVERY SUMMARY**
The Sub-Committee received the report of the Chamberlain on IT Division – IT Service Delivery Summary. There was a discussion around the recent network disruption/outage impacting multiple services across the City of London. A high priority concern was raised with the Agilisys teams, who had worked with City officers throughout the night to restore the full services. Service resumed fully on Friday morning at 7 am.

Members were informed that a UPS (Uninterruptible Power Supply) failed at the main data centre, resulting in hardware failure. While many critical systems were down some services hosted elsewhere remained uninterrupted. Agilisys has launched its own investigation into the outage and will be sharing the finding with the City of London.

Members were further assured that this was not a malicious attack on the IT system but purely a systems failure. This was the first time such outage had occurred in the last four years.

**RESOLVED –** That the Sub-Committee notes the report.

12. **IT DIVISION RISK UPDATE**
The Sub-Committee received the report of the Chamberlain on IT Division Risk Update.

**RESOLVED –** That the Sub-Committee notes the report.

13. **CR16 INFORMATION SECURITY RISK**
The Sub-Committee received a report of the Chamberlain on CR 16 Information Security Risk. Cyber threats are a complex, dynamic and highly technical risk area. The City of London and the City of London Police have adopted the NCSC security maturity system and will reduce the risk rating when appropriate maturity levels have been reached. A paper will be presented to the next sub-committee meeting outlining any recommended expenditures to reach the desired maturity levels..

The City of London and the City of London Police has invested in Microsoft platform and other best of breed security technology to protect its data.

**RESOLVED –** That the Sub-Committee notes the report.

14. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB COMMITTEE**
There were no questions.

15. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
There were no items of urgent business.

16. **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.

17. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**
**RESOLVED:** That the non-public minutes of the meeting held on 30 May 2019 be approved as an accurate record.

18. **IT DIVISION - IT DISASTER RECOVERY TEST**
The Sub-Committee received a report of the Chamberlain on IT Division – IT Disaster Recovery Test.

**RESOLVED –** That the Sub-Committee notes the report.

19. **IT SERVICE 2020 CONTRACT - SOURCING**
The Sub-Committee received a joint report of the Chamberlain and the Commissioner of the City of London Police.

**RESOLVED –** That the Sub-Committee notes the report.

20. **POLICING PROGRAMMES - UPDATE REPORT**
The Sub-Committee received a joint report of the Chamberlain and the Commissioner of the City of London Police.

**RESOLVED –** That the Sub-Committee notes the report.

21. **CITY OF LONDON POLICE - IT MODERNISATION PROGRAMME**
The Sub-Committee received a joint report of the Chamberlain and the Commissioner of the City of London Police on the City of London Police IT Modernisation Programme.

**RESOLVED –** That the Sub-Committee notes the report.

22. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB COMMITTEE**
There were no non-public questions.

23. **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 closed at 3.55PM.**


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Chairman

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

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**Forward Plan – October  2019**

| Report Title | Report Month | Category | Who |
|---|---|---|---|
| **Presentation from City Surveyors and DCCS** | November 2019 | Strategic | PW and AC |
| Denial of Service DR Test | November 2019 | Operational | MG |
| 2020 Procurement Sign off | November 2019 | Strategic | KM |
| Information Management Metrics | November 2019 | Strategic | SG |
| Information Management Protective Marking | November 2019 | Strategic | SG |
| IT Security Risk Appetite | November 2019 | Strategic | GBH |
| IT Operating Model Following 2020 Contract | January 2020 | Strategic | SG |
| Digital Services Strategy Update | January 2020 | Strategic | SG |
| 2020 Sourcing Contract Award Contract and Progress Report | January 2020 | Strategic | SG |
| IT Service Benchmarking Review | January 2020 | Strategic | SG |
| Presentation from DBE | January 2020 | Strategic | TBA |
| IaaS to Cloud Migration | March 2020 | Strategic | SG |
| Web Project Update | March 2020 | Strategic | BR |
| GDPR Update | March 2020 | Operational | MC |
| Presentation from Innovation and Growth | March 2020 | Strategic | TBA |
| 2020 Sourcing Contract Award Contract and Progress Report | March 2020 | Strategic | SG |
| Presentation from Town Clerks | May 2020 | Strategic | TBA |
| IT Business Plan | May 2020 | Strategic | SG |
| 2020 Sourcing Contract Award Contract and Progress Report | May 2020 | Strategic | SG |
| DR Test Report | July 2020 | Strategic | TBA |
| 2020 Sourcing Contract Award Contract and Progress Report | July 2020 | Strategic | SG |
| Presentation from Remembrancer and City of London Police | July 2020 | Strategic | TBA |
| Presentation from Comptroller | October 2020 | Strategic | TBA |
| 2020 Sourcing Contract Award Contract and Progress Report | October 2020 | Strategic | SG |
| Presentation from Barbican | November 2020 | 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
Jon Averns – JA
Paul Wilkinson – PW
Andrew Carter - AC

| Committee(s) | Dated: |
|---|---|
| Digital Services Sub Committee | 26/09/2019 |
| **Subject:** Design, build, support and hosting for new website | **Public** |
| **Report of:** Town Clerk (Director of Communications) | **For Information** |
| **Report author:** Melissa Richardson, Digital Publishing and Content Strategy Lead, Communications, Town Clerks | |

**Summary**

This report is to keep Members updated on the progress of the website project.

This went out to tender in summer 2018 and the suppliers, Zengenti, were appointed in November 2018. A Project Manager was appointed in March 2019.

The Discovery and Design phases are complete. The Build phase is also underway, which includes integration with third party content such as the search function.

**Main Report**

**Background**

1. The current website was launched in 2012 and, inevitably, is showing its age and no longer reflects well on the City of London Corporation.

2. All support for SharePoint 2010 (the current website platform) will cease in October 2020 (regular support stopped in 2015). SharePoint will not be providing a platform for external sites in future, so it cannot simply be updated. Leaving our website an unsupported platform poses a major risk.

3. Our current website does not display well on mobile devices, is not task structured (i.e. lacking user focus) and the out of the box search engine cannot provide the results from across the full range of corporate information (i.e. Member, Jobs and Media sites are separate) that users would expect.

**Current Position**

4. The new supplier, Zengenti began the initial phases of the project during January 2019 in line with the outline project plan. They favour an Agile working practice (collaboration at every stage incorporating improvements) and have undertaken simultaneous design, build and testing.

5. A Project Manager was recruited in March 2019.

6. Both Discovery and Design phases are complete. Discovery included meetings with web editors, Chief Officers and Members. A content audit of the entire site was undertaken, identifying what content was essential for 'go live', what could be added subsequently and what was obsolete. Once the feedback from the Discovery phase had been incorporated, the Director of Communications signed off on the design, look and feel. User journeys and Information Architecture (website structure) have been tested with both internal stakeholders and members of the public.

7. The Build phase is also progressing well and template prototypes have been shared with the web team in Communications for initial functionality testing. Work on integration with third party content e.g. for the search function, is now underway.

8. The next steps will be training web editors on the new system once the templates are completed and fully tested. The creation of prioritised content, followed by editing and further testing to ensure quality standards are met, is the final stage.


**Conclusion**

9. The new supplier, Zengenti began work in early 2019. Based on previous experience, this will allow a realistic amount of time for building and testing to ensure the new site is ready before October 2020.

   The project has a green status and currently is on time, on budget and within scope.


**Melissa Richardson**
Digital Publishing and Content Strategy Lead

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| Committee(s) | Dated: |
|---|---|
| Digital Services subcommittee | 26 September 2019 |
| **Subject:**<br>General Data Protection Regulation (GDPR/Data Protection Act 2018 (DPA)) | **Public** |
| **Report of:**<br>Michael Cogher, Comptroller & City Solicitor | **For Information/Decision** |
| **Report author:**<br>Sophie Jordan, Information Compliance Manager | |

## Summary

This report provides a general update on the final phase of the work to embed GDPR/DPA implementation into the Corporation. A further external audit commenced in July 2019 it is anticipated that this audit will conclude in September 2019 and will be reported to committee when finalised.

## Recommendations

Members are asked to note the report.

## Main Report

### Introduction

1. This Report outlines the status of actions arising from phase 2 of the GDPR project including the steps taken to address the recommendations of the internal audit by Mazars previously reported to Committee.

### GDPR Project progress

2. Phase 2 of the GDPR implementation project was closed on 28th March 2019 on the basis that GDPR was largely embedded as business as usual across all departments.

3. Two key priorities were identified in the May 2018 Mazars GDPR compliance audit these were reviewing third party contracts for GDPR compliance/data processing agreements and a full review and revisions of the Corporation records retention policy. In relation to third party contractors/data processors all contracts were reviewed in some cases contracts have been terminated or no longer used. The remaining existing contracts are GDPR compliant or are in the processing of becoming so. Contractor data processing arrangements will continue to be audited using the compliance monitor. The perceived lack of a record retention schedule was rated as a high priority in the Mazar's audit. Good progress has been made by departments in putting revised retention schedules in place and in reissuing of the overarching schedule, this work is now largely complete with a few departments currently updating departmental schedules.

4. A further GDPR compliance audit is being undertaken by Mazars which commenced in July 2019 and which it is anticipated will be concluded in September 2019 the focus of this audit is on staff training; the compliance and monitoring of Data Protection/GDPR practices by use of the self-audit monitor; compliance with the fourth principle of the DPA 2018 that personal data should not be kept for longer than is necessary; compliance with the sixth data protection principle, that all information should be kept secure; the implementation of retention schedules, data breaches and compliance with other data subject rights, i.e. the right of erasure.

5. Departments were issued with a self-audit template in November 2018 with a second tranche in February 2019 which covered the key activities, processes and arrangements that are required to ensure GDPR/DPA compliance, all departmental audits have now been completed.

6. Completion of the core tasks required of departments to achieve full GDPR compliance is currently
   - 68% full implemented
   - 19% are partially implemented
   - 0% are not yet started
   - 13% of the core tasks do not apply to the department in scope.

   The GDPR compliance monitor summary is attached as Appendix 1.

7. IT Services are covered by two separate monitors, one which covers the GDPR specific compliance tasks and a second for Systems and Data Security of which 87% of the core tasks monitored are fully implemented.

**Information governance**

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

9. The C&CS Information Compliance Team continue to provide advice and support to departments on all issues relating to GDPR compliance and liaises with the Data Protection Officer on issues in relation to GDPR.

10. GDPR Corporate Risk CR 25 was created, agreed by Audit & Risk Committee and continues to be actively managed, monitored and reported to both the Corporate Risk Management Group and to committee.

11. Regular liaison with IT workstreams is taking place which are reported to the GDPR Project Team for action and to the Information Management Board.

**Training and communication**

12. A mandatory GDPR e-learning training package was launched in April 2018, compliance levels are monitored by the Data Protection Officer and reported to Chief Officers. The current training compliance level of staff who have undertaken the training or are exempt is 94.18% as of the 19 August 2019.

13. An Access to Information Network representatives (AIN) forum was established in 2018 and meets quarterly to discuss and raise topical GDPR issues and initiatives. A Microsoft Teams GDPR page is in place for knowledge sharing.

## Data Breaches

6. Under GDPR there is a duty to notify the ICO of data breaches posing a risk to individuals' rights without undue delay, and where feasible within 72 hours of becoming aware of the breach. Where there is a high risk to data subjects they must also be informed. The Corporation has suitable arrangements in place for dealing with data breaches. Between 1 January 2019 to 22 August 2019 there have been 45 breaches notified to the Data Protection Officer. Of those 45, 2 were judged to be notifiable to the ICO. The ICO has responded to 1 indicating that no further action needed to be taken but made recommendations which were implemented, and the remaining notifiable breach is currently awaiting a response from the ICO.

14. Of the 2 reported to the ICO, one related to the disclosure of the address of a young person in care, via documentation provided to the young person's parents who were not allowed to have access to that data. In this instance the young person was made aware of the incident and was sent a formal apology letter. The second incident relates to a secure bag containing a variety of documents in relation to a small number of data subjects, being stolen. We note that the documents included both personal and special category data. In this instance 2 of the individuals concerned have been notified and a risk assessment is currently being undertaken as to whether to inform the remaining individuals.

## Conclusion

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

16. The GDPR Project Team consider that the Corporation has largely achieved material compliance with GDPR/DPA requirements with GDPR now regarded by departments as business as usual.

17. A final Mazar's audit in relation to data Protection and GDPR is being undertaken currently and the outcome will be reported to Committee in due course.

## Appendices

1. GDPR Compliance Monitor – Summary – July 2019

**Michael Cogher**
Comptroller & City Solicitor,
Tel: 0207 332 3699,
Email: michael.cogher@cityoflondon.gov.uk

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Appendix 1  -  A summary of the Compliance Audit  as of July 2019.

| Department * | Fully implemented | Percentage | Partially implemented | Percentage | Not yet Implemented | Percentage | Not applicable | Percentage | Total score |
|---|---|---|---|---|---|---|---|---|---|
| Chamberlain's | 105 | 47.73% | 59 | 26.82% | 0 | 0.00% | 56 | 25.45% | 220 |
| Chamberlain's - IT (systems and security) | 13 | 86.67% | 2 | 13.33% | 0 | 0.00% | 0 | 0.00% | 15 |
| Comptroller and City Solicitor | 16 | 80.00% | 0 | 0.00% | 0 | 0.00% | 4 | 20.00% | 20 |
| City Surveyors Department | 87 | 72.50% | 16 | 13.33% | 0 | 0.00% | 17 | 14.17% | 120 |
| Department of the Built Environment | 64 | 80.00% | 12 | 15.00% | 0 | 0.00% | 4 | 5.00% | 80 |
| Department of Children's & Community Services | 122 | 67.78% | 39 | 21.67% | 0 | 0.00% | 19 | 10.56% | 180 |
| Guildhall School of Music & Drama | 86 | 86.87% | 10 | 10.10% | 0 | 0.00% | 3 | 3.03% | 99 |
| Markets & Consumer Protection | 63 | 78.75% | 10 | 12.50% | 0 | 0.00% | 7 | 8.75% | 80 |
| Open Spaces | 55 | 45.83% | 41 | 34.17% | 0 | 0.00% | 24 | 20.00% | 120 |
| Remembrancers | 78 | 78.00% | 10 | 10.00% | 0 | 0.00% | 12 | 12.00% | 100 |
| Schools | 46 | 76.67% | 13 | 21.67% | 0 | 0.00% | 1 | 1.67% | 60 |
| Town Clerk's Department, Contact Centre | 11 | 55.00% | 3 | 15.00% | 0 | 0.00% | 6 | 30.00% | 20 |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Town Clerks Department, Culture | 32 | 80.00% | 4 | 10.00% | 0 | 0.00% | 4 | 10.00% | 40 |
| Economic Development Office | 12 | 60.00% | 6 | 30.00% | 0 | 0.00% | 2 | 10.00% | 20 |
| Electoral Registration Office | 14 | 70.00% | 3 | 15.00% | 0 | 0.00% | 3 | 15.00% | 20 |
| Town Clerks Department, Human Resources | 18 | 90.00% | 2 | 10.00% | 0 | 0.00% | 0 | 0.00% | 20 |
| Town Clerks Department, Libraries | 15 | 75.00% | 4 | 20.00% | 0 | 0.00% | 1 | 5.00% | 20 |
| London Metropolitan Archive | 16 | 80.00% | 2 | 10.00% | 0 | 0.00% | 2 | 10.00% | 20 |
| Town Clerks Department, Occupational Health | 12 | 60.00% | 4 | 20.00% | 0 | 0.00% | 4 | 20.00% | 20 |
| **Total** | **865** | **67.90%** | **240** | **18.84%** | **0** | **0.00%** | **169** | **13.27%** | **1274** |

*The totals provided for an overarching department, is a combined total of all the teams that make up that department. Please note that due to the varied nature of the processing undertaken by Town Clerks, only selected departments/teams have been required to complete a self-audit return and therefore are reported separately.

| Committee(s) | Dated: |
|---|---|
| Digital Services Sub Committee | 26th September 2019 |
| **Subject:**<br>Customer Relationship Management - Update | **Public** |
| **Report of:**<br>Chamberlain | **For Information** |
| **Report author:**<br>Sam Collins | |

**Summary**

This report provides an update on the Customer Relationship Management Project, which commenced in December 2017. Two key areas of the project – the Contact Centre (City Services) and Strategic Engagement (City Dynamics) are now complete, with the remaining elements due for completion by the end of 2019.

**Main Report**

**Background**

1. In June 2017, Summit agreed that the IT Division take Strategic Ownership of the Corporate CRM Solution, which went out of mainstream technical support on 12th July 2016. Summit approved a hybrid approach to the replacement of CRM, which distinguished between the traditional 'local authority' elements of the organisation and the more unique elements of Stakeholder and Events Management.

2. The approach specified a 'CRM Lite' model (City Services) for transactional interactions through the Contact Centre and online, including payments, applications, requests and bookings. For the 'purer' CRM elements such as relationship and events management, the approach recommended Microsoft Dynamics 365 (City Dynamics), given the in-house skills and the alignment with the broader IT Strategy direction towards Microsoft Office 365.

3. In July 2017 a Gateway 1-4 Paper was approved at Projects Sub Committee for the initiation of a project to replace CRM 2011. The Committee approved a budget of £238,500 for the implementation of both CRM solutions. An additional £70k was approved by Committee in April 2018.

**City Services (Firmstep)**

4. The tender for City Services was advertised in September 2017, with supplier demonstrations and evaluation undertaken in early October 2017. The Gateway 5 Paper granted approval to start work in October 2017 and the City Services contract was awarded to Firmstep in November 2017. Implementation began in January 2018.

5. The City Services workstream contains several different elements;

   - Firmstep SERVICE module for use by the Contact Centre (Live);

- Firmstep FORMS for online transactions (104 Forms are now Live);
- Firmstep SELF module – the online Self Service portal (awaiting Go Live date) and;
- Shopify E-Commerce Platform to replace the Online Shop (testing).

6. The Contact Centre module (SERVICE) went live in August 2018. Feedback from the Contact Centre has been very positive, principally around the ease of use and time savings. Firmstep is being used successfully following the move to the Joint Contact and Control Room (JCCR), which took place earlier this year. The Project Team continue to work with the Contact Centre to deliver further enhancements.

7. There are 104 forms on the live Firmstep Platform. One of the challenges for the project has been balancing the requests for new forms and online transactions with the other implementation activities. Significant functionality has been delivered using Firmstep FORMS in the last 18 months;

- Creation of a new Starters, Movers and Leavers Form, including an automated approvals process;
- Development of a Fault Reporting Form for the new Veolia Cleansing Contract, including a two-way integration with the Veolia back office system (ECHO);
- Many new online payment forms (including Swimming Season Tickets, Car Pound Payments and Traffic Management Payments).

8. The Firmstep Online Portal (SELF) has been developed and tested, however is dependent upon the completion of the Online Shop replacement before it can go live as it requires the current website functionality to be decommissioned. Testing of the Online Shop will begin in September 2019, and so, the launch of the Online Portal and Online Shop is targeted by the end of 2019.


**City Dynamics**

9. The City Dynamics functionality has been delivered in partnership with third party Dynamics 365 consultants, Orange Maple. An initial proof of concept exercise was undertaken by Orange Maple in September 2017.

10. The City Dynamics workstream comprised the following elements;

- Strategic Engagement (completed);
- Events Management (ongoing)
- City Occupier Database (awaiting Go Live date)
- Mansion House Correspondence (no longer required)

11. Development of the Strategic Engagement solution commenced in November 2017 and, after initial demonstrations in December 2017, the Strategic Engagement solution was made available for testing in March 2018. Since that time the project timeline has been impacted by several significant challenges including change in scope and loss of critical business resources during development and testing. A tender for additional external support was published and awarded in April 2018, following approval of £70k additional

funding. The Strategic Engagement functionality went live in June 2019 and is now in use across Town Clerk's, Remembrancer's and Mansion House.

12. The City Occupier Database (COD) has also been developed and is awaiting confirmation on a go live date. The new functionality will enable COD Officers to complete the annual survey on a mobile device and includes several other enhancements.

13. The Events Management functionality development is ongoing, but following a series of detailed sessions in August 2019, the initial phase of functionality is targeted to go live before the end of the year.

14. The Project Team continue to work with the Business Intelligence Unit (based in Innovation and Growth) to further enhance the City Dynamics functionality, and plan further phases of work.

**Future Opportunities**

15. There are significant opportunities to expand the use of both City Services and City Dynamics and realise further benefits across the City of London Corporation. Some of the initial opportunities include;

- Replacement of PDF Forms on the Corporate Website (103 identified which customers currently need to print, complete and return);
- Creation of Online Transactions, with two-way integration to the new Public Realm Case Management System;
- Online Bookings for sports facilities across Open Spaces;
- Online Direct Debit Mandate;
- New Online Payment Forms to promote channel shift from Telephone payments or cheques;
- Development of an Online Tenant Portal for Commercial Property Tenants;
- Replacement of the Hazardous Waste system (HAZCOL);
- Development of Dashboards to provide an overview of Strategic Engagement activity and Events;
- Move the Corporate Property Advisory Team onto City Dynamics to facilitate more effective information sharing and intelligence;
- Increased utilisation of the Online Shop for selling products online across multiple departments – with an opportunity to centralise and standardise the retail offer;

16. The IT Division will work with colleagues to schedule development projects for the opportunities outlined above and where external resources and licences are required create the relevant business cases to request funding.

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| Committee(s) | Dated: |
|---|---|
| Digital Services Sub-Committee – For Information | 26th September 2019 |
| **Subject:**<br>IT Division – IT Service Delivery Summary | **Public** |
| **Report of:**<br>The Chamberlain | **For Information** |
| **Report author:**<br>Eugene O'Driscoll, Agilisys Service Director<br>Matt Gosden – Deputy IT Director | |

## Summary

There was a total of 4 P1 and 6 P2 incidents for the City of London Corporation and City of London Police in July. 7 of these incidents were caused by external factors such as supplier works outside of the direct control of the IT service.

With respect to the IaaS outage on the 4$^{th}$ of July at 08:28 multiple alerts were observed as the IBM primary production storage device suffered an unexpected malfunction, triggered by planned power maintenance work by datacentre owners COLT to Agilisys storage equipment which caused damage and required hardware replacement. This affected access to network drives, ArcGIS and Mosaic, amongst others. Agilisys takes full responsibility for its supplier and recognising the significant impact of this failure and has volunteered compensation to City of London which was accepted by the Deputy Chamberlain.

Problem records have been created where appropriate to identify root causes and to manage improvements.

- There were **3** P1 incidents for City of London Corporation and **1** for City of London Police.

- There were **2** P2 incidents for the City of London Corporation and **4** for City of London Police.

- The Net Promoter Score average for the City of London Corporation/City of London Police for the last 3 months is **+77**.  Any score over 50 is considered very good.

- **92.5%** of users reported a good or very good experience of the City of London Service Desk.

- **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*

**Service levels and exceptions**

1. **City of London Police (CoLP)**

   **P1 incidents**

   There was 1 P1 incident

| Affected Service | Reason | Resolution | Problem Management plan |
|---|---|---|---|
| Internet browsing | Vodafone patching of their central firewalls causing ICMP packets to be denied | The change was reverted by Vodafone | Supplier management |

   **P2 Incidents**

   There were 4 P2 incidents

| Affected Service | Reason | Resolution | Problem Management plan |
|---|---|---|---|
| External outgoing email | Vodafone renewed a TLS certificate causing external outgoing email delay for up to 2 hours for a subset of users | Vodafone (Fujitsu) reverted the certificate change | Supplier management |
| IMS/DRS CCTV | Users were unable to login using normal login credentials | Resolved by 3rd party BT | In project mode |
| Niche | Niche was running slowly, and the database was locking due to high CPU usage | Resolved by 3rd party Lincs Police | Supplier management |
| HR Origin self service | Users were unable to login to the HR system | Resolved by 3rd party Capita | Supplier management |

2. **City of London (CoL)**

   **P1 incidents**

   There were 3 P1 incidents

| Affected Service | Reason | Resolution | Problem Management plan |
|---|---|---|---|
| Telephony and data services | A failed change to upgrade infrastructure impacted | The infrastructure change was reversed. | The change was reviewed, and the |

| Affected Service | Reason | Resolution | Problem Management plan |
|---|---|---|---|
| | services in HARC, Contact Centre and other locations. | | root cause of the failure understood. |
| Guildhall Events WiFi | Temporary power failure caused the Guildhall Events WiFi to be unavailable. | O2 did not make any remedial changes and advise that local power issues were the cause. | Escalated to CoL IT for review. |
| IaaS, affecting multiple services | A failed change to upgrade infrastructure affected multiple services for 1 day. | The change was reversed, and damaged hardware was replaced. | Agilisys carried out a full review of its supplier processes. |

**P2 Incidents**

There were 2 x P2 incidents

| Affected Service | Reason | Resolution | Problem Management plan |
|---|---|---|---|
| IDox | Monthly security patching of the IDOX servers caused an issue for IDOX public service module. | The server was re-patched and restarted. | Improved testing following monthly patching. |
| Pubnet | The VPN that supports the connection to Pubnet failed. | The supplier restarted the VPN. | Escalated to CoL IT for review. |

Service performance summary is detailed in the dashboard below.



## Gauges to monitor performance – July 2019

**CoL**

| 93% | 100% | 67% | 83% | 0% |
|---|---|---|---|---|
| Target 80% | Target 99.9% | Target 98% | Target 87.5% | Target 98% |
| Customer Satisfaction | IAAS Availability | P1 Incident (CoL) | First Time Fix | P1 Incident (Agilisys) |
| (Green) | (Green) | (Red) | (Red) | (Red) |
| | | 1 x failed change | Low because of calls generated by P1 incidents that could not have been resolved by Service Desk | 1 x IaaS 3rd party incident |

**CoLP**

| 100% | 100% | 0% | 87% | 100% |
|---|---|---|---|---|
| Target 80% | Target 99.9% | Target 98% | Target 80% | Target 98% |
| Customer Satisfaction | IAAS Availability | P1 Incident (CoLP) | First Time Fix | P1 Incident (Agilisys) |
| (Green) | (Green) | (Red) | (Green) | (Green) |
| | Low because of 4 x 3rd party incidents out of SLA | | | |

**Service improvements**

3.  **Police Improvements include:**

    - Improvements have been made to the monitoring and alerting of CoLP systems, including refinements to assist in more realistic and real-time alerting for server capacity.

    - Work is ongoing to review and refine critical applications and systems at CoLP and improving the 3rd party support to align with the business requirements.

    - Following initial feedback from the 2019 IT health check, prior to the publication of the full report, work has been carried out to remediate findings to improve security in some key areas.

4.  **Corporation improvements include:**

    - Following the IaaS (infrastructure) outage on the 4th July Agilisys will work, free of charge, with the Corporation to mirror agreed key applications across the IaaS infrastructure. This will provide higher levels of resilience and more protection against infrastructure and connectivity issues in the unlikely event of a similar incident.

    - Agilisys signed an agreement to manage the network supplier Roc on behalf of the Corporation. This will ensure that there is a single point of contact for IT issues and that this correctly sits within Agilisys end-to-end principles of supplier management.

    - RedSixty (contractor) continue to conduct local site surveys of all existing Communications and data rooms, including UPS devices in order to establish an "as is" awareness of electrical resilience throughout the estate. Once completed these surveys will allow CoL to make an informed decision regarding an ongoing management and maintenance schedule for all Uninterruptable Power Supply devices based on a tired communications room classification, where a Tier 1 room would contain critical equipment for example and would therefore require improved power resilience and security.

    - In Parallel, the City Surveyors Team are carrying out an audit of the air conditioning and environmental services in all Guildhall Comms rooms to identify and remediate any discovered issues.

    - A full vulnerability scan (like the scan performed as part of PSN) has been completed across the CoL network and all servers to ensure that the estate is as secure as possible. This will be repeated every 3 months to provide additional security assurance.

    - Work continues to develop a Public/Guest Wifi solution for the CoL/CoLP estate. A High-Level Design (HLD) has been created and is currently under review.

## 5. NPS (Net Promoter Score)

- NPS has been running for over a year at City of London and City of London Police to return a joint rating based on a single question "Based on your experience, how much would you recommend the IT service to your colleagues?"

- Customer's rate between 0 and 10, where 0 to 6 is considered a detractor, 7 and 8 are passive scores and 9 or 10 are promoters.



- The percentage of detractors is subtracted from the percentage of promoters to give a possible score in the range -100 to +100.

- Results are displayed in the graph below and have consistently shown what is a very good score, often well above +50. Additionally, a gradual overall improvement is shown by the trend line since last June 2018.
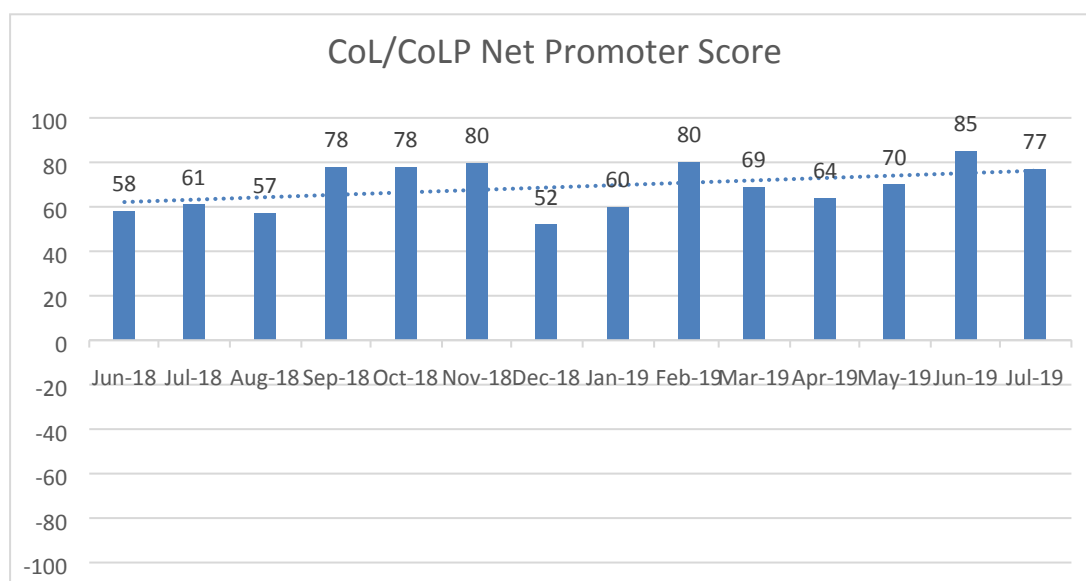


## 6. Disaster Recovery Testing

- As outlined previously to Members, on the 26th June we performed our annual Disaster Recovery (DR) test which revealed a priority issue where the secondary connection to the BT provided Wide Area Network did not failover as expected. It was later discovered that the network routes were not configured correctly by BT for this to work.

- Following some technical changes, on the 13th August 2019 we conducted a follow up DR Test for this service. Testing revealed that only half of the

remote sites would continue to connect to the Guildhall in the event of a major network outage.

- Our networking partners are developing a solution to resolve the issues the testing revealed.  We expect to have implemented the solution by the end of September 2019.

- One of the other key findings from the DR test was the proximity of key BT equipment, meaning that the loss of this specific data room could pose a significant risk to external connectivity for CoL The solution to this is also being developed with our networking partners.

- As requested by Members, a broad-scope DR test is being developed for our website and supporting architecture. These tests will include:

  - Loss of a datacentre or services within it;

  - Loss or inability to access of data hosted on a key website server;

  - A simulated Distributed Denial of Service (DDoS) and/or ransomware attack.

- The results of the test will be communicated to Members and any lessons learned will be assessed when CoL review the interim website stability and security options being presented to CoL by Agilisys and being developed in parallel.

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| Committee(s) | Dated: |
|---|---|
| Digital Services Sub Committee – For Information | 26th Sept 2019 |
| **Subject:**<br>IT Division Risk Update | **Public** |
| **Report of:**<br>The Chamberlain | **For Information** |
| **Report author:**<br>Samantha Kay – IT Business Manager | |

## Summary

All IT Risks are now in the Risk Management System, with actions included, for the ongoing improvement and continuing assessment to the Management of Risk within the IT Division.  The IT Division currently holds 4 risks. There are currently no RED risks. There are no extreme impact risks, there are 3 major impact, 1 serious impact and no Minor impact risks.

IT currently holds 2 risks on the Corporate Risk Register, whilst feeding in to the GDPR Corporate risk which is owned by Comptrollers.


**Summary of the Corporate Risks**

**CR 16 – Information Security** - Following review with the Audit and Risk committee and the Digital Services Sub Committee (DSSC) it was agreed that further steps were required to achieve maturity level that could bring the score to its target.  There is a deep dive discussion at the Audit and Risk committee in September 2019.

**CR 25 – GDPR Regulation Compliance** – No change – this will be covered as an agenda item during the September DSSC meeting

**CR 29 – Information Management** – The Information Management strategy has been agreed subject to a more detailed action plan and metrics to track performance. Progress is being made in developing a draft retention and disposal policy. A draft information Metrics model has been developed and will be discussed with Summit in September 19.

## Recommendation(s)

Members are asked to:
- Note the report.

# Main Report

## Background

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

## Current Position

2. The IT Division currently holds 2 Amber risks on the Corporate Risk Register and assists to mitigate one other Amber Corporate Risk. The IT Division currently holds 4 risks, none of which are scored as Red. All risks have owners, clear actions, with target dates to enable focussed management, tracking and regular and consistent reviews.

## Current status

3. Since the last report the IT Risk Register has seen the following activity:

   - 1 Risk has reduced in score due to mitigating actions being completed

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

## Movement of Risks

4. **Risks reduced from in Score**

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

   - **CHB IT 028 –Air Conditioning in Datacentres –** All datacentres have been audited and auto alerts for monitoring are in place with additional resilience

   The current headline figures for the identified risks in the Division are:
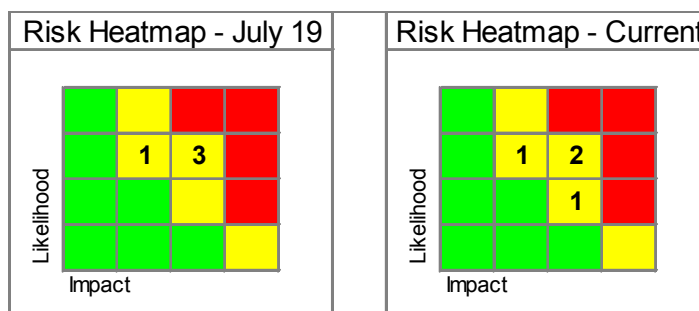
## 5. Further breakdown of current Division risks:

| | |
|---|---|
| ⬆ | Increase in No. |
| ⬇ | Decrease in No. |
| ⬌ | Static No. |
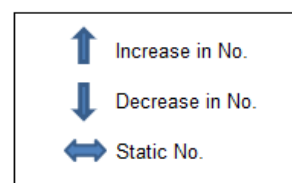
**Major Impact:**

| | | |
|---|---|---|
| Risks with "likely" likelihood and "major" impact: | 0 | ⬌ |
| Risks with "possible" likelihood and "major" impact: | 2 | ⬇ |
| Risks with "Unlikely" likelihood and "major" impact: | 1 | ⬆ |

**Serious Impact:**

| | | |
|---|---|---|
| Risks with "likely" likelihood and "serious" impact: | 0 | ⬌ |
| Risks with "possible" likelihood and "serious" impact: | 1 | ⬌ |
| Risks with "unlikely" likelihood and "serious" impact: | 0 | ⬌ |

## 6. Next steps

- Ensuring that IT deal with Risks in a dynamic manner.

- Ensuring all actions are up to date and allocated to the correct responsible owners.

- Ensuring all members of the IT division including suppliers are aware of how Risk is managed within the Corporation and have a mechanism to highlight areas of concern across the estate.

- IT management processes, including Change Management, Problem Management, Continuous Improvement and Incident Management will all now reference or identify risk to ensure that Division risks are identified, updated and assessed on an ongoing basis, so the Risk register remains a live system, rather than a periodically updated record.

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# APPENDIX A - CHB IT All DEPARTMENTAL risks

| Risk no, title, creation date, owner | Risk Description (Cause, Event, Impact) | Current Risk Rating & Score | | Risk Update and date of update | Target Risk Rating & Score | | Target Date | Current Risk score change indicator |
|---|---|---|---|---|---|---|---|---|
| **CHB IT 001 Resilience - Power and infrastructure.**<br><br>30-Mar-2017<br><br>Sean Green | **Cause:**<br>There is a lack of resilient or reliable Power services or Uninterruptable Power Supply (UPS) provision in multiple Comms rooms and datacentres in COL and COLP buildings.<br>**Event:**<br>There will be intermittent power outages of varying durations affecting these areas/buildings.<br>**Effect:**<br>• Essential/critical Systems or information services are unavailable for an unacceptable amount of time<br>• Recovery of failed services takes longer than planned<br>• Adverse user/member comments/feedback<br>• Adverse impact on the reputation of the IT division/Chamberlain's Department |  | 12 | Recent failures with UPS equipment have led to this risk being escalated to departmental level.<br><br>Audit has been completed for Guildhall. The data and results are now being analysed.<br><br>**27 Aug 2019** |  | 2 | 31-May-2020 | Constant |

| 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 004 Business Continuity / Disaster Recovery - planning and management.** <br><br> 30-Mar-2017 <br><br> Sean Green | **Cause:** A lack of clear understanding of Business need for Services and Applications. No procedure in place for regular reviews with business. <br> **Event:** The IT Division cannot provide assurance of availability or timely restoration of core business services in the event of a DR incident or system failure. <br> **Effect:** The disaster recovery response of the IT Division is unlikely to meet the needs of COL and COLP leading to significant business interruption and serious operational difficulties. |  | 12 | DR test complete - planning underway to understand remediation actions <br><br><br> **27 Aug 2019** |  | 4 | 31-Dec-2019 |  <br><br> Constant |

| 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 028 Air Conditioning Failure in Datacentres** 10-Jun-2019 | **Cause:** The air conditioning units are failing in a number of the Guildhall Communication Equipment Rooms (CER's) / Datacentres. The existing air conditioning units are circa 12 years old and are being reset on a daily basis by the facilities team to keep them functional **Event:** There will be intermitted / prolonged service disruptions across the IT service provision. **Effect:** • Essential/critical Systems or information services are unavailable for an unacceptable amount of time • Recovery of failed services takes longer than planned • Adverse user/member comments/feedback • Adverse impact on the reputation of the IT division/Chamberlain's Department |  | 8 | Auto alerts in place for monitoring for Guildhall in Comms Rooms with additional resilience in place. Quotes being sort for further improvements by the facilities **27 Aug 2019** |  | 4 | 31-Mar-2020 |  Decreasing |

| 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 029 iTrent Contract**<br><br>18-Jun-2019 | **Cause:** Extension of contract passed the envisaged term of 10 years with no permissible grounds. No projects started to procure a replacement.<br>**Event:** City of London receive a challenge around the contract for iTrent with MHR Ltd around the extension of contract.<br>**Effect:** Legal challenge/court proceedings from a competitor to iTrent. CoL could be forced to issues 18 months termination notice before we are ready to implement a replacement product. |  | **6** | Project planning continues. New HR Resources starts with IT PMO in September will help to drive this forward.<br><br>**27 Aug 2019** |  | **3** | 31-Mar-2020 | Constant |

| Committee(s) | Dated: |
|---|---|
| Digital Services Sub-Committee | 26th September 2019 |
| **Subject:**<br>Implementing the Application Management Strategy – the Application Roadmap | **Public** |
| **Report of:**<br>The Chamberlain | **For Information** |
| **Report author:**<br>Shoid Islam, Head of Applications | |

## Application Roadmap

**Introduction**

Contributing toward the City of London Corporation's (CoL) and City of London Police (CoLP) digital and modernisation agendas and to ensure the management of the lifecycle of the organisation's application estate CoL's IT Team have developed a high-level Application Roadmap.

This document describes:

1. The relationship between the Technology Strategy, the Technology Roadmap and the Application Strategy and Roadmap.

2. The in-flight projects to improve the management of the Corporation's application estate.

### Recommendations

*Members are asked to note this report*

**Main Report**

## Background

1. The Application Management Strategy 2018-2023 (agreed in November 2018) sets out the principles of effective application management throughout the various stages of an application within its management lifecycle.

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

3. The CoL application estate is a large, complex and varied estate. Following the Desktop Transformation programme, approximately 320 applications remained within the CoL estate containing a mixture of purchased and in-house developed applications.

4. As well as the in-house developed applications which require modernisation or replacement, some of the applications are only compatible with Windows 7 and therefore need addressing.

5. These are documented in the Roadmap, which documents the proposed lifecycle for these applications.

6. To this end, there are two streams of work currently underway is the Application Roadmap and the managing of the Application lifecycles in question.

## Application Roadmap

7. An application roadmap is a visual representation of the application management strategy. (Note: A simplified version of this is provided as Appendix A).

8. The roadmap enables CoL to manage the stages of an application lifecycle i.e. acquisition, ownership, and disposal efficiently by projecting events/activities for each application. As such the roadmap is dynamic document. The CoL

roadmap contains information such as the name of application, version, vendor details, support details etc.

9. Typically, the lifecycle of an application is driven by the vendor or developer and these are considered within the Corporation's own Roadmaps, including the overarching Technology Roadmap.

**Technology Roadmap**

10. A workstream is currently underway to create a technology road map which is the culmination of the Application roadmap, Projects & Development roadmap and General IT systems roadmap, which will encompass information around and not be limited to compliance, network, security etc. The Technology Roadmap guides the operational delivery of the IT Strategy.

Therefore, the Application Roadmap follows all four of the core tenets of the IT Strategy:

- Buy-not-build.

- Use fewer systems more effectively.

- Compliant Systems and services

- Move from complexity to commodity

**Policies and Guidance**

11. A new or reviewed and improved set of policies will be created which are more inline with current working practices and will provide guidance to staff with regards to purchasing, access, security and lifecycle management of applications.

**Delivery of the Application lifecycle**

12. There are multiple workstreams underway on several applications, which have been identified within the Application Roadmap as requiring updating, either due to support, contract or no longer fit for purpose.

13. The current Housing Management System (Orchard) will be phased out to be replaced by Civica's CX Housing service. Civica is currently used for Housing Benefits, so this migration reduces CoL's software footprint and follows the strategic tenets of buying and not building and using fewer systems more effectively.

14. In a similar vein, there is a tender currently out to replace the Department of Planning's Uniform system and Market and consumer protection's M3 system to a single system, the aspiration is to complete this migration by Autumn 2020.

15. The IT team are currently working on removing or replacing 4 legacy in-house developed applications which the business still currently uses. These applications have been written in a programming language which is now an obsolete and unsupported platform and therefore requires disproportionate support.

   The 4 applications are:

   - **The Phone book** - The Phone book is currently used on the intranet and is accessible by both CoL users and institutional Departments. The application was created approximately 7 years ago. CoL needs to replace the system as it still provides a crucial business function. To this end, the Application team are seeking to use a vendor produced and supported application.

   - **Epping Forest Stores** - The Epping Forest Stores systems contains information about the assets and is an application which was created approximately 6 years ago. We have identified Piranha as a suitable match in providing the same functionality. Piranha was demonstrated to this Committee previously and is an existing application within the CoL estate and is currently being utilised by Billingsgate Market for a similar function.

   - **Central Criminal Courts Lunches** - The Central Criminal Courts system records the details of the daily lunches the judges have along with their guests. It is an application which was created 12 years ago and is now out of date and is unsupported by a vendor as it was developed in-house. CoL needs to replace the system as it still provides a crucial business function which cannot be replicated within any other existing applications without additional configuration and coding.

   - **Corporate Trust Register** - The Corporate Trust register's keeps a record of all the trusts which CoL are involved in, the information has legal and financial implications. The app was created approximately 15 years ago. CoL needs to replace the system as it still provides a crucial business function which cannot be replicated within any other existing applications without additional configuration and coding.

**Funding**

16. Subject to funding and approval, the plan is to migrate these applications to a supported platform. The aim is to migrate these services and functionalities to an existing platform within the CoL estate thus reducing acquisition, support and maintenance costs.

**Conclusion**

17. The objective of the Application Management Strategy is to reduce the application estate to its optimum. The application roadmap will help identify inefficiencies within the estate and the application life cycle management will alleviate the inefficiencies. A key requirement of application optimisation is to use the same software application for more than one business application with a good example being the Highways Management example given above.

18. The prioritisation of the applications reviewed in the roadmap are based on:

   a. Remove or replace applications running on a Windows 7 environment and in-house developed applications;

   b. Retire or consolidate legacy line of business applications before they can no longer be supported;

   c. Review business processes where there is the opportunity to choose one application that replace one or more existing applications;

   d. Update and replace applications that support and enable modern digital working practices across our organisation (where there is a suitable business case).

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**Appendix A – Excerpt from the Applications Roadmap**

**Appendix A – Excerpt from the Applications Roadmap**

## Extract from Application roadmap

The application road map in its textual format contains all the relevant information about the applications.

| # | Application Name | Description | Version | Support Model | Support Expiry date | Critical |
|---|---|---|---|---|---|---|
| 25 | Amtech Pro Design | Engineering software | 9.22 | Supported: 3rd Party | 01/01/2020 | No |
| 28 | ARCHIBUS Smart Client | Facilities management | 23.1.10330.018 | Supported: 3rd Party | 20/11/2019 | No |
| 32 | ARGUS Developer | Property development feasbility mod | 7.7 | Supported: 3rd Party | 30/09/2019 | Yes |
| 33 | ARGUS Enterprise | Property Performance and asset man | 11.8.1 | Supported: 3rd Party | 30/09/2019 | Yes |
| 34 | ARGUS Valuation Capitalisation | Property valuation software | 2.5 | Supported: 3rd Party | 31/12/2018 | Yes |
| 35 | ARGUS Zone Panel | Property security | N/A | Supported: 3rd Party | 31/03/2020 | No |
| 61 | Carina (CTPlayback) (Call Recorder) | Call recording | 6.5.0.10_003 | Supported: 3rd Party | | No |
| 66 | Citrix Receiver | Citrix | 4.12 | Supported: 3rd Party | | No |
| 67 | City Bridge Trust Website | | n/a | Supported: 3rd Party | n/a | Yes |
| 75 | Condeco Add-in | Room booking | 6.3.2 | Supported: 3rd Party | 31/05/2019 | No |
| 76 | Condeco Room Booking URL | Room booking | 3.2.15 | Supported: 3rd Party | 31/05/2019 | No |
| 81 | Covalent cpm (Classroom) | Audit software | | Supported: 3rd Party | | No |
| 106 | Energy Management (Systems Link) | BMS | 2019.1.005 | Supported: 3rd Party | 31/05/2019 | No |
| 107 | eNeStimator (Now MTCQS) | Energy manangement software | N/A | Supported: 3rd Party | 31/07/2019 | No |
| 115 | Express Scribe | Transcribing software | 5.82 | Supported: 3rd Party | | No |

## Extract from Application roadmap

| | End of support | 2019-2020 | | | | 2020-2021 | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Amtech Pro Design | 01/01/2020 | Review | | End of Life | Retire | | | | |
| ARCHIBUS Smart Client | 20/11/2019 | Review | | End of Life | Retire | | | | |
| ARGUS Developer | 30/09/2019 | Review | End of life | Retire | | | | | |
| ARGUS Enterprise | 30/09/2019 | Review | End of Life | Retire | | | | | |
| ARGUS Zone Panel | 31/03/2020 | | Review | | End of Life | Retire | | | |
| Revit | 30/03/2020 | | Review | | End of Life | Retire | | | |
| Rightfax | 31/12/2019 | Review | | End of Life | Retire | | | | |
| Timemaster Timesheet Entr | 31/03/2020 | | Review | | End of Life | Retire | | | |

The diagram above is an excerpt from the Application roadmap, providing a visual representation of the key stages for these applications within their lifecycle.

This information drives the workstream for application life cycle management.

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# SMART WORKING & ACCOMMODATION

*11th July 2019*

# BACKGROUND

- 2016 - Project Initiated & Gateway 2 approval
- 2016 - DBE pilot
- 2016 - Project Team On Hold
- 2017 - IT Transformation
- 2018 - New Officer Smart Working Group Started & Workplace Manager Recruited
- 2019 - Design Principles Established for Strategic Smart Working
- 2019 - Walbrook Wharf Letting & Project to Relocate CoL staff to GH
- 2019 - Fundamental Review

# SMART WORKING

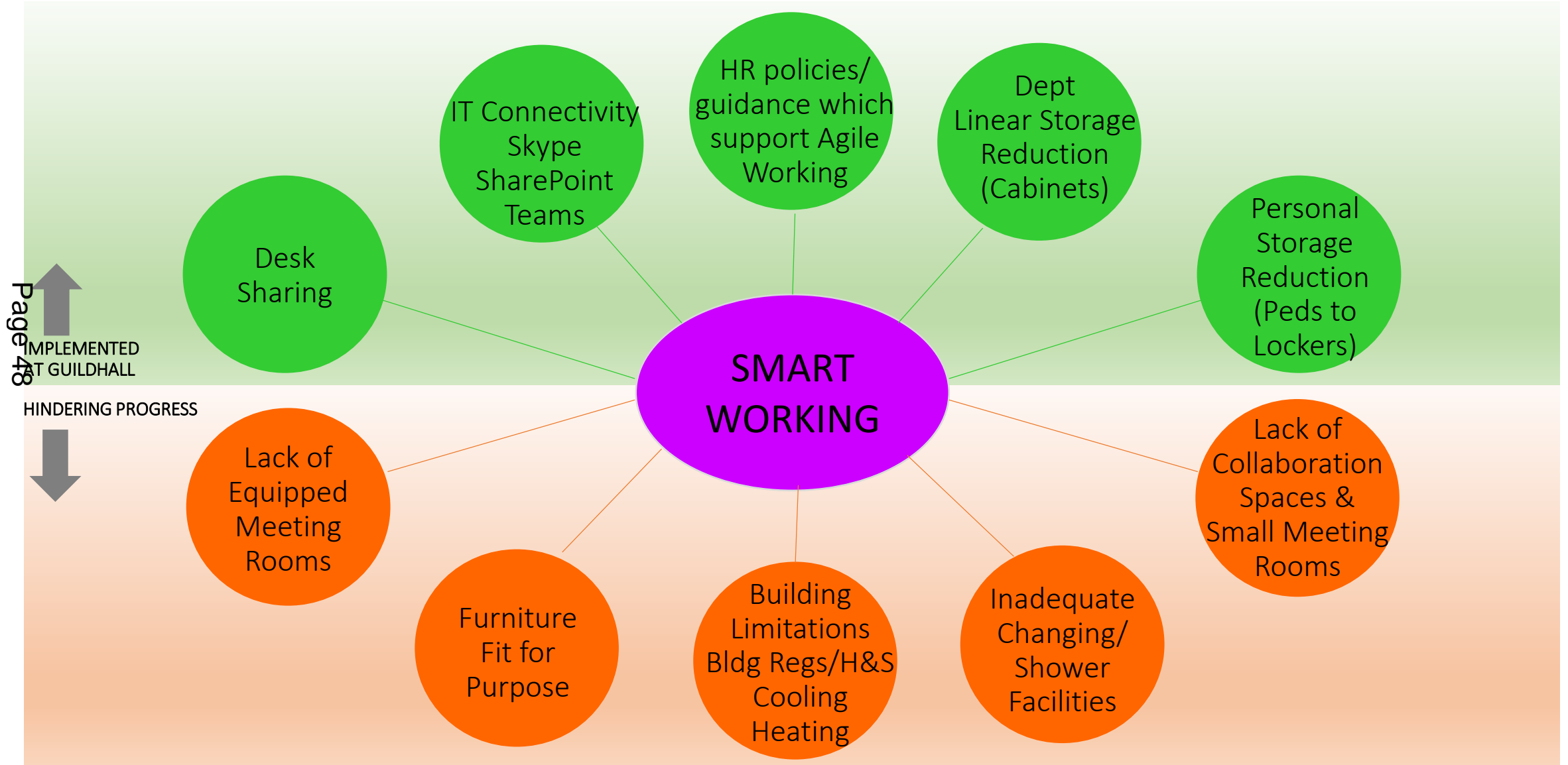**Design Principles/Standards**

**Strategic Smart Working**

To deliver greater efficient, modern and agile use of office space, initiated at Guildhall Complex by implementation of;

- Clear Desks – Security

- Reduce Linear Storage

- Deliver the corporate metric space target of $7m^2$ net per FTE

- Smart Meeting rooms - Implementing innovative new technologies to transform our meeting rooms into collaborative environments that foster creativity, and improve workforce connectivity.

- Deliver corporate outcomes to promote smarter working through cultural change and staff behaviours – and help meet the staff survey responses, to meet the work environment.

# SMART WORKING

**What are we doing?**



Page 48

↑ IMPLEMENTED AT GUILDHALL

HINDERING PROGRESS ↓

- Desk Sharing
- IT Connectivity Skype SharePoint Teams
- HR policies/ guidance which support Agile Working
- Dept Linear Storage Reduction (Cabinets)
- Personal Storage Reduction (Peds to Lockers)

**SMART WORKING**

- Lack of Equipped Meeting Rooms
- Furniture Fit for Purpose
- Building Limitations Bldg Regs/H&S Cooling Heating
- Inadequate Changing/ Shower Facilities
- Lack of Collaboration Spaces & Small Meeting Rooms

# SPECIFIC ACTIVITIES

**HR ACTIVITIES**

Policies/Guidance;

- Agile/Mobile Working with DSE
- Laptops & Other Portable Devices
- Multiple Display Screens.
- Home and Remote working safely.

E-learning packages on City Learning;

- Agile Working and Agile Working for managers (includes a self assessment test)

Short courses for managers;

- Managing remote workers which focuses on the advantages and issues of remote workers and how to manage the outputs of remote workers.
- New managers course being developed for supporting managers in the fundamental review (includes managing agile workers).

SDI (Strengths Deployment Indicator ) team

- A training intervention tool which analyses the way people interact. Used with teams and includes communication for different styles.

# SPECIFIC ACTIVITIES

**IT ACTIVITIES**

Training & Roadshows

- General and Department Specific

SharePoint and Teams

- Online file storage to facilitate digitisation of files and access from anywhere.

Skype and Teams

- Can facilitate audio and video conferencing from any device. This should be the main way that the products are used, supplemented by the Meeting Room solutions. IT can and have provided many headsets to facilitate.

Direct Access

- Staff can log in from anywhere and have the same experience as if they were in the office.

Mobile experience

- Staff can now use their Corporate Phones or Tablets on the move with access to all the same Microsoft tools and capabilities.

# CHALLENGES

## What Are The Challenges Within The Existing Space?

### AVAILABILITY OF FUNDING

The Walbrook Wharf relocation is a *spend to save* project being funded from the OPR Fund.  There is no approved funding to improve the working environment and fully implement smart working outside of this.

Initiating the cultural changes needed to progress agile working is happening in many areas but space pressures and available funding remains a constraint.

### BUILDING LIMITATIONS

We are exceeding the original heating and cooling design criteria for both Wings.  The plant in West Wing is over 20 years old and requires renewal, and 12 years old in North Wing.  We have significantly increased the headcount over recent years and this is having an adverse effect on the current heating and cooling conditions, as well as other facilities such as kitchen & toilet areas. More investment is required.

Meaningful progress will be slower, until there is a decision to undertake a full-scale refurbishment of the space.   Due to the design of West Wing, it would need to be temporarily decanted to allow full refurbishment.

# Guildhall North & West Wings

**12-year Headcount and Space Issues**

Guildhall North Wing Headcount
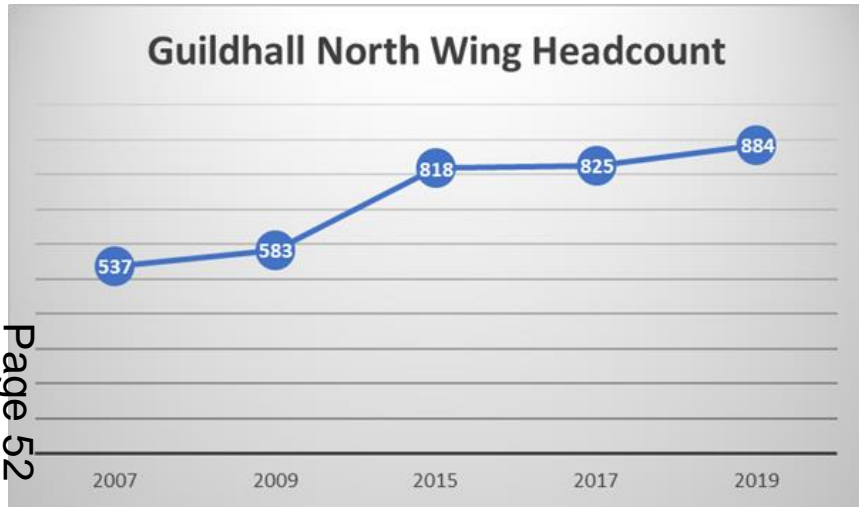
**North Wing Space Issues** – GIA 18,215 m²/NIA 11,273 m²

- Poor GIA to NIA ratio; 61.9%
- Inefficiencies of the original building design i.e. 4 lift cores and 5 staircases
- Occupation has increased, but M&E (cooling & ventilation) have not been upgraded
- M&E now requires enhancements to meet increased occupation



Guildhall West Wing Headcount
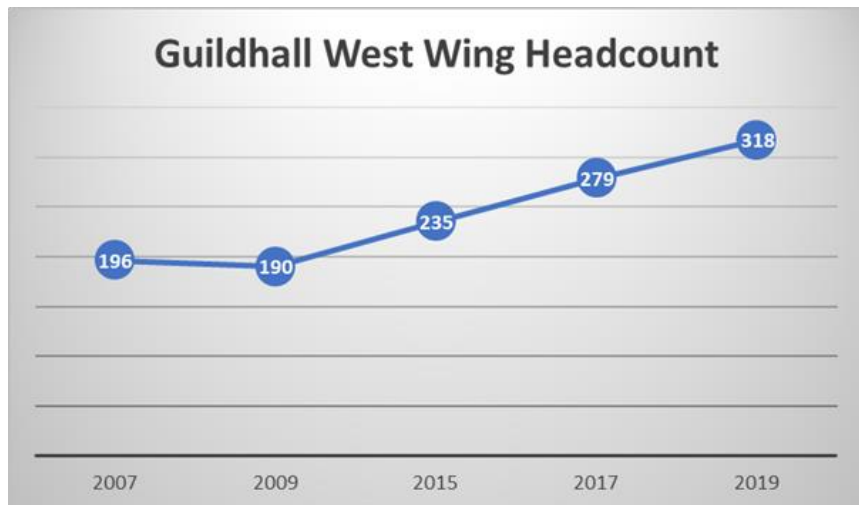
**West Wing Space Issues** – GIA 17,996 m²/NIA 9,959 m²

- Poor GIA to NIA ratio; 55.3%
- At capacity in terms of means of escape (office area)
- M&E in need of replacement and would require temporary decant of building prior to works commencing

# SMART WORKING

**Current Tactical Projects**

Vacation of Walbrook Wharf offices - *income generation*

- 2nd and 3rd floors - *complete*
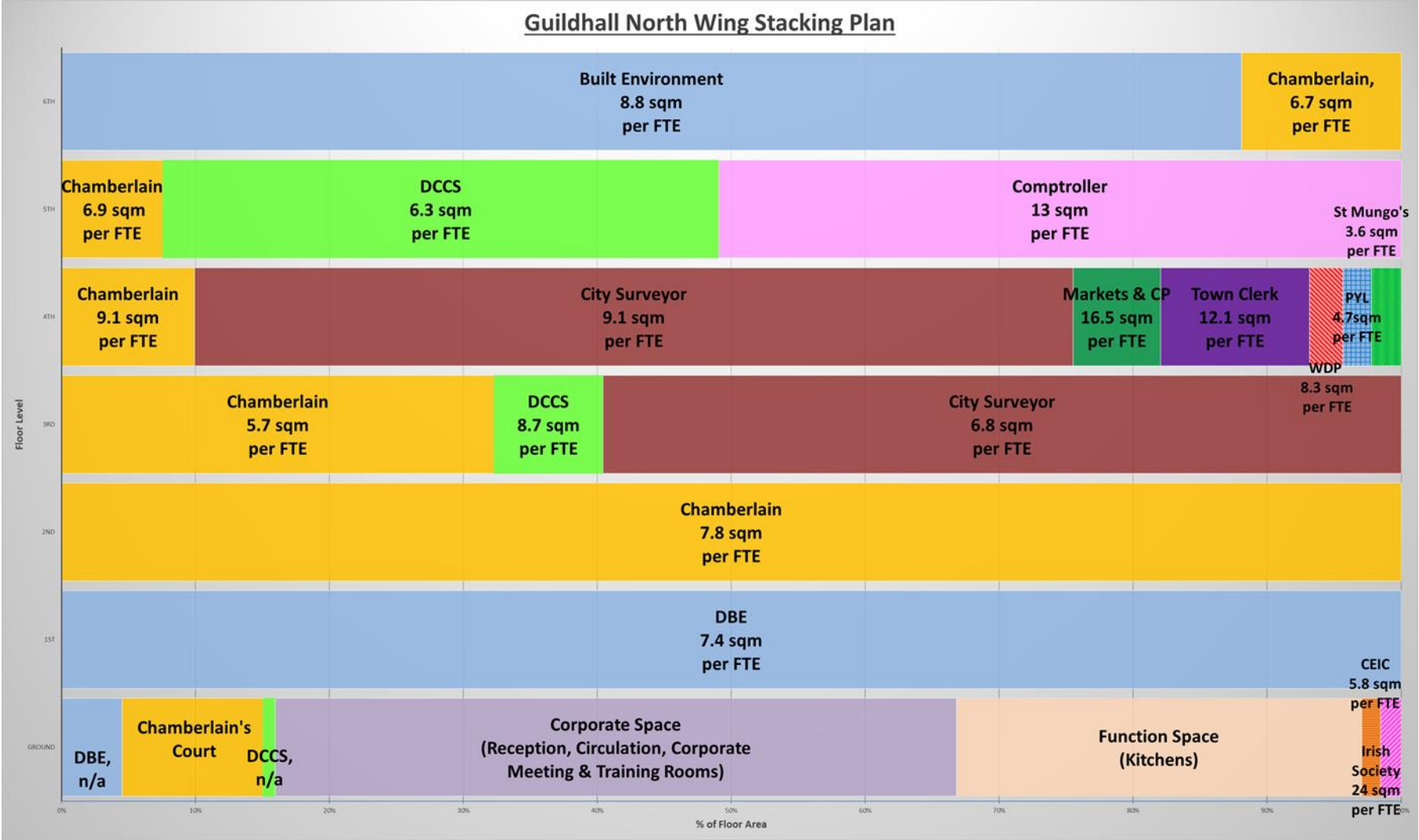- 4th and 5th floors - *in progress*

Departmental office space requirements

- City Surveyors consolidation on to 4th floor- *in progress*
- Children & Community Services agile working transition – *in progress*
- City Bridge Trust agile working transition – *in progress*
- Built Environment – smart working pilot – *complete*
- Chamberlains – consolidation of IT teams from GJR– *in progress*

# CURRENT SPACE/M²

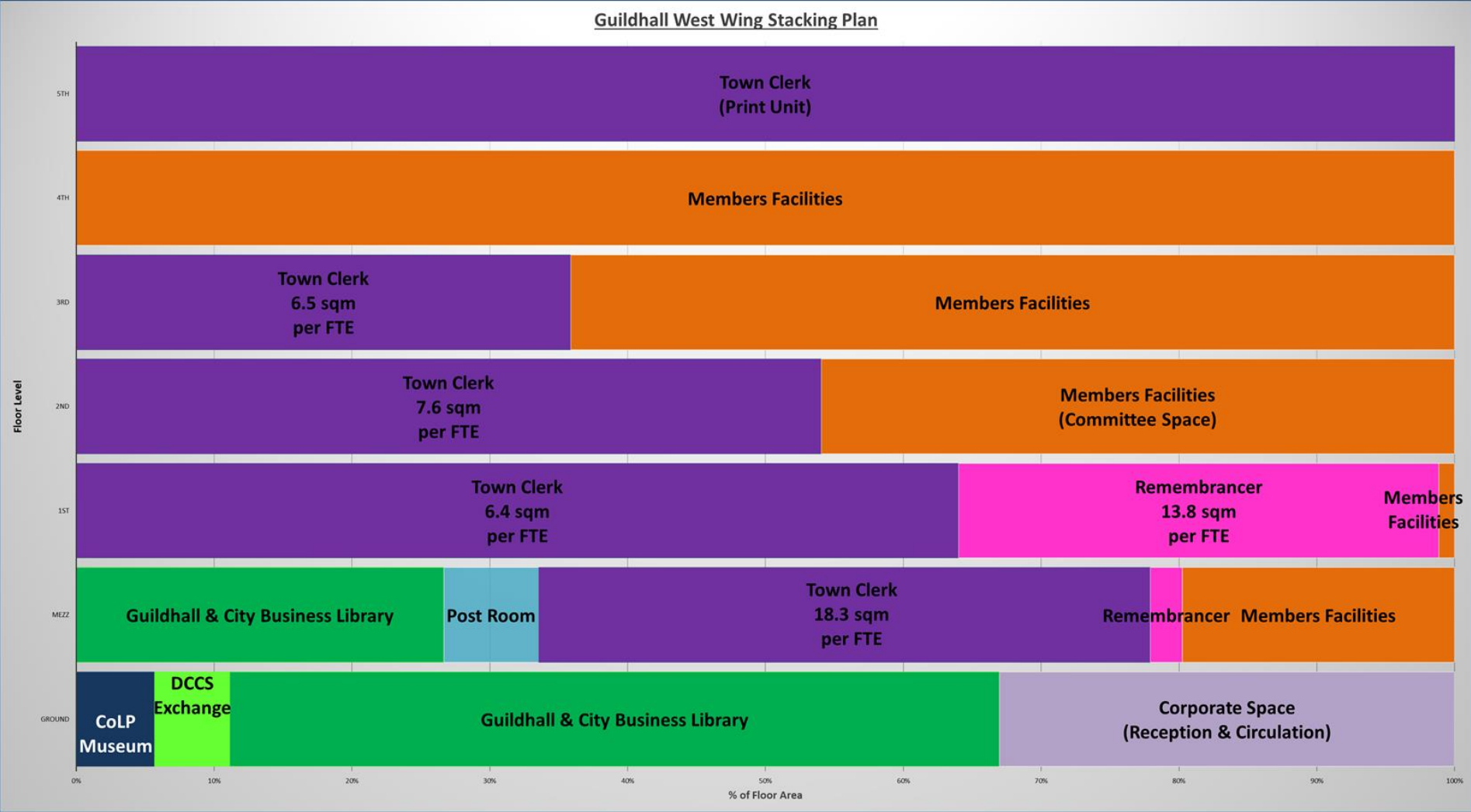## NORTH WING

Average
8.01m² Net
Per FTE

Guildhall North Wing Stacking Plan

**6TH**
Built Environment 8.8 sqm per FTE | Chamberlain, 6.7 sqm per FTE

**5TH**
Chamberlain 6.9 sqm per FTE | DCCS 6.3 sqm per FTE | Comptroller 13 sqm per FTE | St Mungo's 3.6 sqm per FTE

**4TH**
Chamberlain 9.1 sqm per FTE | City Surveyor 9.1 sqm per FTE | Markets & CP 16.5 sqm per FTE | Town Clerk 12.1 sqm per FTE | PYL 4.7sqm per FTE | WDP 8.3 sqm per FTE

**3RD**
Chamberlain 5.7 sqm per FTE | DCCS 8.7 sqm per FTE | City Surveyor 6.8 sqm per FTE

**2ND**
Chamberlain 7.8 sqm per FTE

**1ST**
DBE 7.4 sqm per FTE | CEIC 5.8 sqm per FTE

**GROUND**
DBE, n/a | Chamberlain's Court | DCCS, n/a | Corporate Space (Reception, Circulation, Corporate Meeting & Training Rooms) | Function Space (Kitchens) | Irish Society 24 sqm per FTE

Floor Level

% of Floor Area

# CURRENT SPACE/M²

## WEST WING

Average
7.47m² Net
Per FTE

Page 55



Guildhall West Wing Stacking Plan

Floor Level

- **5TH** — Town Clerk (Print Unit)
- **4TH** — Members Facilities
- **3RD** — Town Clerk 6.5 sqm per FTE | Members Facilities
- **2ND** — Town Clerk 7.6 sqm per FTE | Members Facilities (Committee Space)
- **1ST** — Town Clerk 6.4 sqm per FTE | Remembrancer 13.8 sqm per FTE | Members Facilities
- **MEZZ** — Guildhall & City Business Library | Post Room | Town Clerk 18.3 sqm per FTE | Remembrancer | Members Facilities
- **GROUND** — CoLP Museum | DCCS Exchange | Guildhall & City Business Library | Corporate Space (Reception & Circulation)

% of Floor Area
0%  10%  20%  30%  40%  50%  60%  70%  80%  90%  100%

# FUNDEMENTAL REVIEW & FUNDING

The delivery approach is evolving, to deliver Strategic and Tactical Smart Working, in order to meet the current priority and pressures on funding.

## Tactical Project Funding

- Vacation of Walbrook Wharf offices 2$^{nd}$, 3$^{rd}$, 4$^{th}$ and 5$^{th}$ floors being funded from the OPR Fund. Income generating scheme/spend to save.

- Departmental office space requirements, as a result of departmental growth and/or change, requirements have progressed to a stage where funding is now required to implement change/smart working within their areas to accommodate the changes. Chief Officers are being asked to fund from their local risk budget, subject to availability and other priorities.

## Future Project Funding-

To be considered as part of the prioritisation process under Fundamental Review.

# ANY QUESTIONS

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