CITY OF LONDON

Digital Services Sub (Finance) Committee

Date: **FRIDAY, 20 MARCH 2020**

Time: **11.00 am**

Venue: **COMMITTEE ROOMS - WEST WING, GUILDHALL**

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

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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 consider and approve the public minutes and summary of the meeting held Friday, 24 January 2020.

   For Decision
   (Pages 1 - 6)

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

   For Information
   (Pages 7 - 8)

5. **DIGITAL JOURNEY OF THE DEPARTMENT OF THE BUILT ENVIRONMENT**
   Presentation of the Director of Department of the Built Environment.

   For Information

6. **ANNUAL REVIEW OF THE DIGITAL SERVICES SUB COMMITTEE'S TERMS OF REFERENCE**
   Report of Town Clerk.

   For Decision
   (Pages 9 - 12)

7. **HR ORIGINS UPDATE - TO FOLLOW**
   Report of the Commissioner of the City of London Police.

   For Information

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

   For Information
   (Pages 13 - 34)

9. **HR HELPDESK SOFTWARE**
   Joint report of the Chamberlain and the Director of HR.

   For Information
   (Pages 35 - 38)

10. **DIGITAL UPDATE**
    Report of the Chamberlain.

    For Information
    (Pages 39 - 42)

11. **INFRASTRUCTURE - CAR PARK CHARGES AT FARTHING DOWNS, RIDDLESDOWN AND BURNHAM BEECHES**
Report of the Director of Open Spaces.

For Information
(Pages 43 - 48)

12. **TECHNOLOGY PROCUREMENT POLICY**
Report of the Chamberlain.

For Decision
(Pages 49 - 56)

13. **2020 IT MANAGED SERVICES UPDATE**
Report of the Chamberlain.

For Information
(Pages 57 - 62)

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

For Information
(Pages 63 - 72)

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

For Information
(Pages 73 - 80)

16. **IT SECURITY REPORT CR16 (PUBLIC APPENDICES 1,2 AND 3) - TO FOLLOW**
Report of the Commissioner of the City of London Police.
To read in conjunction with item 22.

For Information

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

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

19. **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

20. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**
To consider and approve the non public minutes and summary of the meeting held Friday, 24 January 2020.

For Decision
(Pages 81 - 84)

21. **OUTSTANDING ACTIONS**
     Joint report of the Town Clerk and the Chamberlain.

For Information
(Pages 85 - 86)

22. **IT SECURITY REPORT CR16 (NON PUBLIC APPENDICES 4,5 AND 6) - TO FOLLOW**
     Report of the Commissioner of the City of London Police.
     To read in conjunction with item 16.

For Information

23. **SECURITY PROJECT MAP - TO FOLLOW**

For Decision

24. **ORACLE PROPERTY MANAGER (OPN) REPLACEMENT**
     Report of the City Surveyor.

For Decision
(Pages 87 - 98)

25. **IT CAPITAL PROGRAMME 2020-2022 - TO FOLLOW**
     Report of the Chamberlain.

For Information

26. **IT INFRASTRUCTURE SERVICES - PERFORMANCE IMPROVEMENT PLAN**
     Report of the Chamberlain.

For Decision
(Pages 99 - 102)

27. **POLICE DEEP DIVE NLEDS (PRESENTATION) - TO FOLLOW**

For Information

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

29. **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, 24 January 2020

Minutes of the meeting of the Digital Services Sub (Finance) Committee held at Guildhall, EC2 on Friday, 24 January 2020 at 1.45 pm

Present

Members:
Randall Anderson (Chairman)
Deputy Jamie Ingham Clark (Deputy Chairman)
Deputy Keith Bottomley
Tim Levene
John Chapman
Barbara Newman

Officers:

Rofikul Islam	- Town Clerk's Department
Sean Green	- Chamberlain's Department
Ryan Dolan	- Town Clerk's Department
Mel Richardson	- Town Clerk's Department
Matt Gosden	- Chamberlain's Department
Sam Collins	- Chamberlain's Department
Samantha Kay	- Chamberlain's Department
Oliver Shaw	- City of London Police
Graeme Quarrington-Page	- Chamberlain's Department

In attendance:

Eugene O'Driscoll	- Agilisys
Graeme Everitt	- Agilisys

1. **APOLOGIES**
    Apologies were received from Jeremy Mayhew, Rehana Ameer, Sylvia Moys 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 Sub-Committee considered and approved the Public Minutes of the meeting held on Friday 1 November 2019.

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

RESOLVED – That the Sub-Committee notes the report.

5. **DESIGN, BUILD, SUPPORT AND HOSTING FOR NEW WEBSITE**
   The Committee received the report of the Town Clerk (Director of Communications) on the Design, build, support and hosting for new website.

   The Digital Publishing and Content Strategy Lead briefed the Sub-Committee on the progress so far with the new website developments. Members were pleased to learn that the project has a green status as well as currently being on time, on budget and within the projects scope.

   A Member inquired what has been done in terms of user testing. The Project Manager of the new website informed the Sub-Committee that many tests have been carried with real users to identify areas of improvements and debugging. Another Member asked if the urls published in the various City print and on-line publications would be supported in the new website structure. The Manager stated that they would be supported.

   RESOLVED – that the Sub-Committee notes the report

6. **DIGITAL TECHNOLOGY IN THE CITY SURVEYOR'S DEPARTMENT**
   The Sub-Committee received an oral presentation of the Digital Technology in the City Surveyors Department.

   The Sub-Committee was told that there are four major groups within the City Surveyors Department, which are the Operations, Corporate Properties, Investment Properties and Property Projects with around 250 members of staff involved in the Departments activities. The Sub-Committee was told that the City Surveyors Department manages £4.1bn in investment property portfolio of which 324 are properties leading to an income of £136m per annum.

   The City Surveyor's Department has a major strategic impact on the work and services of the City. The Sub-Committee was further told that the IT software for managing our investment property portfolio is not now considered fit for purpose, as the package has limited Property Management functionalities such as not being able to produce valuations and the service charge processes are not to British standard and there are very limited reporting facilities.

   The Sub-Committee was informed that keeping up with floor plan updates is getting increasingly costly and is very time consuming. With the current contract with Facilities Management system MiCad coming to an end in May 2020, this allows the City the opportunities to explore other systems and perhaps look into a holistic system which will allow the City Surveyors Department to expand its services, save time and increase productivity while at the same time it can save the City money too.

   The Sub-Committee was told in terms of smart working the City Surveyor's Department has expanded its hot desking with up to 75% of its staff now using laptops, 20% desktops and 5% tablets. This has enabled the department to be mobile and be able to work remotely too.

A Member asked how the team is ensuring that it is adopting the best technology. The Sub-Committee was told that the City looks at its peers and compares its services and systems to its peers. It was agreed that the City should always look for ways in improving its systems and services such as looking to adopt add-ons to enhance the current services.

At this point a Member asked if the contract with MiCad is extendable. The Assistant Director – Business performance and Improvement confirmed that the contract is extendable, however the City will appoint an independent consultant to assist with the process of looking at best value for money. One of the key lessons learned for the City Surveyor's Department from the experience with OPM is that the City needs to ensure that it can manage all its properties and assets effectively.

A Member asked if the tenants provided MiCad with their own floor plans and designs. Officers assured the Sub-Committee that the Department has several systems in place and as part of MiCad, the Department wants the system to be able to speak to one another. The City Surveyor's Department has a Business Partner who works with the Department to help find new ways of working and being innovative.

RESOLVED – that the Sub-Committee notes the presentation.

6.1   **Oracle ERP strategy – interim paper**
Item 9 of the agenda was taken as part of 6.A.

The Sub-Committee received the report of the Chamberlain on the Oracle ERP strategy – interim paper.

The Sub-Committee was told that the Chamberlain's IT team have been working with colleagues in the Finance Division on an Oracle Enterprise Resource Planning (ERP) strategy based on the requirement to complete a major upgrade to Oracle in the next couple of years.

A Member enquired if the City has started the recruitment process for a consultant for the upgrade. The Sub-Committee was informed that an independent consultancy will be commissioned in January 2020 to support the short options review.

RESOLVED – that the Sub-Committee notes the report.

7.   **2020 IT MANAGED SERVICES UPDATE**
The Sub-Committee received the report of the Chamberlain on the 2020 IT Managed Services Update. At the Court of the Common Council in December 2019 the winner of the contract was announced. The Sub-Committee was informed that the Chamberlain's Department is looking for ways to progress some of the IT 2020 Managed Service project before the new contract formally starts.

The Sub-Committee was informed that there have been no challenges from the participating bidders, but one had requested a face to face feedback session. The whole exercise was managed very diligently, and it was the first time Agilisys had won a contract whilst being an incumbent provider.

The Agilisys Representative commented that they were very pleased with the outcome and look forward continue to work with the City.

RESOLVED – that the Sub-Committee notes the report.

8. **CITY OF LONDON CORPORATION INFORMATION HANDLING (PROTECTIVE MARKING)**
The Sub-Committee received the joint report of the Comptroller and City solicitor and the Chamberlain on the City of London Corporation Information Handling (Protective Marking).

Members were told that the Information Management (IM) Strategy was agreed by the Summit Group in March 2019 and thereafter by the Digital Services Sub-Committee in July 2019. Members were informed that the City needs to do more to protect its data and flow of information. The objective of the report is to ensure that the City can bring about a cultural change and ensure that all its data are being shared with confidence.

A Member asked if the Members of the Court of the Common Council will be provided with training and templates to ensure that Protective Marking enforced on all the City's business by its elected Members. Officers assure the Sub-Committee that all the Members will be provided with adequate training on the Information Handling (Protective Marking). Members were also encouraged to ensure that they are using their City of London email address for all their Corporations related businesses.

The Chairman noted that for the Protective Marking to work on all documents, it needs to be aligned with Modern.Gov before the rollout. The Sub-Committee was assured that the IT Services will work together with the Town Clerk's Department and ensure that the work is rolled out in alignment.

RESOLVED – That the Sub-Committee notes the report.

9. **ORACLE ERP STRATEGY - INTERIM PAPER**
This item was taken as part of 6.A.

10. **IT DIVISION - IT SERVICE DELIVERY SUMMARY**
The Sub-Committee received the report of the Chamberlain on the IT Division – IT Service Delivery Summary.

A Member noted that there were 2 P2 incidents on the report but, there were 5 P2 incidents. The Agilisys Client Director agreed that this was a mistake and in fact there were 5 P2 incident occurrence.

RESOLVED – That the Sub-Committee notes the report.

11. **IT DIVISION - CHANGE MANAGEMENT SUMMARY**
The Sub-Committee received the report of the Chamberlain on the IT Division - Change Management Summary. Members were told that there has been several notable improvements in how the IT Division manages software and infrastructure changes.

RESOLVED – That the Sub-Committee notes the report.

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

RESOLVED – That the Sub-Committee notes the report.

13. **CR 16 INFORMATION SECURITY RISK**
The Sub-Committee received the report of the Chamberlain on the CR 16 Information Security Risk.

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 Sub-Committee considered and approved the non-public minutes of the meeting held on Friday 1 November 2019.

18. **CR 16 INFORMATION SECURITY RISK**
The Sub-Committee received the report of the Chamberlain on the CR 16 Information Security Risk, which was part of the non-public appendix of item 13 of the agenda.

19. **LAN AND WAN CIRCUIT RENTAL FOR CITY OF LONDON POLICE FOR ANPR CIRCUITS, FIREWALLS AND CORPORATE NETWORK**
The Sub-Committee considered the report of the Chamberlain on the LAN and WAN circuit rental for City of London Police for ANPR Circuits, firewalls and corporate network.

20. **POLICE DEEP DIVE EMERGENCY SERVICES NETWORK**
   The Sub-Committee received the oral presentation of the Detective Chief Superintendent of the City of London Police on the Police Deep Dive Emergency Services Network.

21. **IT DISASTER RECOVERY TESTING PLAN FOR 2020**
   The Sub-Committee received the report of the Chamberlain on the IT Disaster Recovery testing plan for 2020.

22. **CORA PPM (CORPORATE PROJECT MANAGEMENT SOFTWARE)**
   The Sub-Committee considered the report of the Town Clerk on the Cora PPM (Corporate Project Management Software).

23. **FREEMEN'S SCHOOL MANAGED IT INFRASTRUCTURE SERVICE**
   The Sub-Committee received the report of Roland Martin, Headmaster and Chief Officer on the Freemen's School Managed IT Infrastructure Service.

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

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

The meeting ended at 15.05

Chairman

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

Forward Plan – March 2020

Report Title	Report Month	Category
Presentation from Town Clerks – Innovation and Growth	May 2020	Strategic
IT Operating Model Following 2020 Contract	May 2020	Strategic
Oracle ERP Strategy Update	May 2020	Strategic
Smart Programme Update	May 2020	Strategic
DR Tests Update	May 2020	Operational
IaaS to Cloud Migration Plan	May 2020	Strategic
Presentation from Town Clerks – Innovation and Growth	May 2020	Strategic
IT Service Benchmarking Review	May 2020	Strategic
Digital Services Strategy Update	May 2020	Strategic
IT Business Plan Update	May 2020	Strategic
2020 Sourcing Contract Award Contract and Progress Report	May 2020	Strategic
Presentation from Remembrancer	July 2020	Strategic
Oracle ERP Options Appraisal	July 2020	Strategic
Application Roadmap Deep Dive	July 2020	Strategic
DR Test Report	July 2020	Strategic
2020 Sourcing Contract Award Contract and Progress Report	July 2020	Strategic
IT Security Landscape Overview	July 2020	Strategic
Presentation from CoLP	September 2020	Strategic
2020 Sourcing Contract Award Contract and Progress Report	September 2020	Strategic
Presentation from Barbican	November 2020	Strategic
2020 Sourcing Contract Award Contract and Progress Report	November 2020	Strategic
Presentation from Comptroller	January 2021	Strategic
2020 Sourcing Contract Award Contract and Progress Report	January 2021	Strategic
Digital Services Strategy Actions Progress	January 2021	Strategic
IT Business Plan Update	January 2021	Strategic
Information Management Update	January 2021	Strategic

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Committee: Digital Services Sub Committee	Date: 20 March 2020
Subject: Annual Review of the Digital Services Sub Committee's Terms of Reference	Public
Report of: Town Clerk	For Decision
Report author: Rofikul Islam, 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 not proposed to make any amendments to the Digital Services Sub Committee's terms of reference. The terms of reference of the Digital Services Sub Committee are attached as an appendix to this report for your consideration.

Recommendation

It is recommended that the Sub-committee:

- Subject to any comments, approves the terms of reference of the Digital Services Sub Committee as set out in appendix 1.

Appendices

- Appendix 1 – Digital Services Sub Committee Terms of Reference

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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 (Finance) Committee	20 March 2020
Subject: General Data Protection Regulation (GDPR/Data Protection Act 2018 (DPA))	**Public**
Report of: Michael Cogher, Comptroller & City Solicitor	**For Information**
Report author: Sophie Jordan, Information Compliance Manager	

Summary

This report provides a general update on the final phase of the work undertaken to embed GDPR/DPA implementation in the Corporation and on the recommendations of a corporate GDPR compliance review audit undertaken in July 2019 and finalised in December 2019 (Appendix1).

Recommendations

1. Members are asked to note the report.

Introduction

1. Following the completion of the GDPR project in March 2019, this report details the status of key actions to be taken to address the recommendations of the internal audit undertaken by Mazars in July 2019 the aim of which was to verify that adequate arrangements are in place to ensure that the Corporation meets its GDPR obligations.

GDPR 2019 audit key findings and action to be taken.

2. Staff Training was identified as a key element in achieving GDPR compliance, all Corporation staff are required to complete GDPR e-learning module to ensure that they are aware of their responsibilities in relation to GDPR. The e-learning module was launched on 23 April 2018 prior to the GDPR implementation date. Some departments have staff who do not have access to the e-learning facility or had limited interaction with personal data and have been provided with alternative GDPR training.

    The C&CS Compliance Team produces a quarterly summary report which identifies the number of staff in each department who have completed the GDPR training or in progress, have not yet started the training or who are exempt.

    Audit testing identified members of staff who had not completed GDPR training despite two reminders to do so creating a risk that staff may not comply with data protection requirements. The Mazars audit recommendation was to sanction members of staff who have not completed the GDPR training after two reminders by revocation of network access, in practice this would be a time consuming exercise requiring an additional review of reporting mechanisms and would in fact

create a risk as the reports generated from learning pool have been found to be inaccurate.

The current system of providing statistics on non-completion of GDPR training to Chief Officers and Access to Information representatives (AIN's) is a more effective solution and has contributed to a high level of compliance with GDPR training of 93.84% (completed, exempt or temporary exempt), as of the 25 February 2020 which given the level of staff turnover particularly temporary staff is still as high a level of compliance as can be reasonably expected if slightly lower than the 94% reported previously.

3. The audit identified a risk in relation to personal data held on corporate 'W' drives which currently contains 3500 folders some of which contain personal data which is likely to be sensitive and relates to ex-employees. 'W' drives were created to facilitate file transfers between departments and were not intended to be permanent repositories for data. Obsolete data held on 'W' drives creates a risk of data security breaches and a failure to comply with data protection requirements. Some attempts have been made to cleanse the 'W' drives of personal data but this is problematic as files are not grouped by departments. The audit recommended that data held on the 'W' drive should be reviewed and either deleted or transferred to a secure location.

    Market discovery work was undertaken by the IS division in 2018 to identify a suitable information discovery tool which would identify personal data held on the 'W' Drive however this was expensive the cheapest option being £80k and funding was not available in year to fund this. The Information Management Board agreed on 29th October 2019 to accelerate action to mitigate the 'W' drive risk, a plan will be developed to remove the 'W' drive and moving content to be retained with a timeline of five months from approval by the relevant officer groups and member committees the target for commencement is March 2020.

4. The maintenance of record retention schedules and the timely management of records disposal was rated as a high priority in the Mazar's audit. Significant progress has been made by departments in putting revised retention schedules in place and in reissuing the overarching schedule, this work is now largely complete with just two departments continuing to make progress to complete a comprehensive retention schedule. Both departments concerned have confirmed that some teams have localised retention schedules or have applied the overarching City of London retention schedule while the comprehensive version is being collated. The C&CS Compliance Team will continue to support departments in updating and maintaining retention schedules, furthermore retention schedules are monitored as part of GDPR self-audit monitors undertaken by departments on a quarterly basis, the target date for completion of all records retention schedules across the Corporation is 31 December 2020.

5. The Mazars audit tested the corporation's Data Protection Policy statement that 'data is only kept for as long as necessary in accordance with the retention schedules'. The audit established that implementation of records disposal dates is currently at various stages and that departments have not been running checks that obsolete data is being deleted in compliance with the records retention

schedules resulting in the risk that obsolete personal data will be retained thereby failing to comply with the requirements of the Data Protection Act 2018.

The audit recommended that departments should be required to run regular audit checks on data and record deletion and that the C&CS Compliance Team should be notified of the results of the checks. The C&CS Compliance Team ceased undertaking compliance checks in late 2017/early 2018 due to the implementation of GDPR and a shortage of resource but in 2020 will be implementing new more thorough departmental compliance checks incorporating all aspects of the Data Protection Act 2018 including the implementation of records retention and deletion; the compliance checks will be monitored and departments advised of any required remedial actions.

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 31 December 2019 there were 68 breaches notified to the Data Protection Officer, with 3 judged to be notifiable to the ICO. For the period 1 January 2020 to 25 February 2020 there have been 12 breaches notified to the Data Protection Officer, with 1 judged to be notifiable to the ICO.

7. Of the 4 data breaches reported to the ICO during the period 1 January 2019 – 12 February 2020, 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, the documents included both personal and special category data. In this instance 2 of the individuals concerned have been notified and a risk assessment was undertaken as to whether to inform the remaining individuals, and it was decided to not notify them at the time of the incident, due to external factors. The third incident relates to the disclosure of personal data contained within a court bundle as a result of the use of incorrect redaction tools being used to redact personal data. The individuals concerned were informed of the incident and sent a formal apology. The final incident relates to the inappropriate disclosure of third party personal and special category data, predominately in relation to school pupils, as part of a panel hearing for a complaint raised against the school. This incident contained the personal and, in some instances, special category data in connection with approximately 147 data subjects. All data subjects have since been informed of the incident and sent a formal apology letter.

Conclusion

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

9. 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.

10. It is anticipated that the further recommendations of the July 2019 Mazar's GDPR audit will be implemented and complied with by 31 December 2020.

Appendices

1. Mazars GDPR Audit July 2019
2. GDPR Compliance Review Audit Quarter 4 (October -December 2019)

Michael Cogher
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CITY OF LONDON

CHAMBERLAIN'S DEPARTMENT

INTERNAL AUDIT SECTION

CORPORATE WIDE

GDPR COMPLIANCE REVIEW

FINAL REPORT

Date Issued: December 2019

Issued to: Michael Cogher, Comptroller and City Solicitor
Sophie Jordan, Compliance Manager (Data Protection & Freedom of Information)
Nick Senior, Business Manager
Sean Green, IT Director

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Audit Fieldwork completed	September 2019
Draft Report Issued	October 2019
Management Response Received Agreeing Recommendations	November 2019
Final Report Issued	December 2019

SECTION A: EXECUTIVE SUMMARY

Introduction

1. This audit has been undertaken as part of the 2019/20 Internal Audit Plan.

2. The General Data Protection Regulation (GDPR), came into effect on 25 May 2018. The legislation is intended to strengthen data protection rights for individuals within the European Union.

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

   • Processed lawfully, fairly and in a transparent manner in relation to individuals;

   • Collected and used for specified, explicit and legitimate purposes;

   • Adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;

   • Accurate and, where necessary, kept up to date (including taking every reasonable step to ensure inaccuracies are erased or rectified);

   • Kept in a form which permits identification of data subjects for no longer than necessary (for the purposes of which the personal data is being processed). This includes not storing information for longer than necessary, and

   • Processed in a manner that ensures appropriate security over the personal data.

4. Chief Officers at the City of London (CoL) have responsibility for compliance with the GDPR requirements. The Comptroller and City Solicitor is the CoL's Data Protection Officer, and is responsible for advising the CoL in relation to its obligations, monitoring compliance and training and liaising with the Information Commissioners Office (ICO). Data protection compliance within departments is delegated down to Access to Information Network (AIN) Representatives.

5. The objectives of this Internal Audit review are to verify that adequate arrangements are in place to help ensure that the CoL meets its GDPR obligations, as follows:

   • Staff have received training / guidance to help ensure that they are fully aware of their GDPR obligations.

   • Officers (AINs) have been appointed within departments to address and/or provide support on data protection issues.

- Self-Audit Monitor checklists are completed as required. Input/ evidence provided is subject to scrutiny and challenge. Action plans are developed to manage any control gaps.

- Personal data is only kept as required and for as long as necessary and in line with retention guidelines. Access to personal data is controlled and restricted to work needs. Data retention periods are applied automatically and routine checks undertaken within departments, to purge personal data no longer required.

- Record Retention Schedules are maintained and routine checks undertaken within departments, to purge personal records no longer required.

- Breaches are reported to the Central Compliance Team and onwards to the ICO if appropriate. Processes are put in place, if appropriate to help prevent a recurrence of the incident. The nature/number and type of incidents are reported to Committee.

6. Internal Audit sought to obtain assurance as to the adequacy of the internal control environment. The audit opinion is based upon discussions with key staff, examination of systems and the findings of sample testing, as such, our work does not provide an absolute assurance that material error, loss or fraud does not exist.

Assurance Statement

Assurance Level	Description
Moderate Assurance 'Amber'	An adequate control framework is in place but there are weaknesses and/or a lack of compliance which may put some system objectives at risk.

Recommendations	Red	Amber	Green	Total
Number Made:	0	4	0	4
Number Accepted:		4	0	4

Key Conclusions

Staff Training

7. **Completion of the online General Data Protection Regulation (GDPR) training module by staff is regularly monitored by the Compliance Team. As at 1 July 2019, 93.75% of staff had completed the GDPR training.**

8. **An issue was identified during testing within departments, that some members of staff had still not completed the GDPR training module after being issued with two reminders. An amber recommendation has been raised to address this issue (Recommendation 1).**

9. **The CoL has a Data Protection Policy was last reviewed in April 2018. GDPR policies and guidance documents are available to staff on the intranet.**

Access to Information Network (AIN) Representatives

10. **Each City of London (CoL) department has one or more GDPR co-ordinators, who are also AIN Representatives. No issues were identified from testing within this area.**

Self-Audit Monitor Checklists

11. **Departments have completed quarterly Self-Audit Monitor checklists, which are collated by the Compliance Team in 'heat maps' which identify areas for future improvement. No issues were identified from testing within this area.**

Access to Personal Data

12. **An issue was identified from testing that the corporate 'W' drive (which can be accessed by all staff) contains a significant amount of obsolete data and personal data. An amber recommendation has been raised to address this issue (Recommendation 2).**

13. **A comprehensive information management review was carried out across the whole Corporation in 2018. Following the review, an Information Management Strategy was produced, containing a High Level Activities Plan.**

Record Retention Schedules

14. **It is not possible to provide assurance that record retention schedules are in place for all service areas; sample testing identified that record retention schedules for the Department of Markets and Consumer Protection and Department of Community and Children's Services were not yet finalised, although they were substantially complete. An amber recommendation has been raised to address this issue (Recommendation 3).**

15. **In addition, an issue has been identified that Departments have not been required to carry out regular checks on whether obsolete data is being deleted in accordance with record retention schedules. An amber recommendation has been raised to address this issue (Recommendation 4).**

Data Security Breaches

16. **The Compliance Team maintains a log of data security breaches notified by departmental staff. The log includes details of actions taken to prevent future similar breaches. Data breaches have been reported to the Information Commissioners Office as required. No issues were identified from our testing of this area.**

SECTION B: AUDIT FINDINGS AND RECOMMENDATIONS

Staff Training

17. All CoL staff are required to complete a GDPR e-learning module to help ensure that they are aware of their responsibilities. The e-learning training module was launched on 23 April 2018. Some departments have staff who do not have access to the e-learning facility and receive alternative GDPR training (e.g. face-to-face training in workshops).

18. The Compliance Team produces a quarterly summary report which shows the number and percentage of staff in each department who have:

- completed GDPR training;
- have GDPR training in progress;
- who have not yet started GDPR training; and
- are exempted from GDPR training (e.g. due to maternity leave).

19. The quarterly summary report is emailed to all Chief Officers. The most recent report (dated 1 July 2019) showed that the overall completion level for GDPR training was 93.75%.

20. GDPR training statistics were submitted to the Audit and Risk Management Committee on 6 November 2018 and 12 March 2019.

21. Testing in the Department of Communities and Children's Services identified that 19 members of staff had not completed the GDPR training module despite having been issued with two reminders (Recommendation 1).

Priority	Issue	Risk
Amber	Audit testing identified members of staff who had still not completed the GDPR training module after being issued with two reminder emails.	Where staff do not complete GDPR training in a timely manner, there is a risk that they may not comply with the Data Protection Act 2018.
Recommendation 1: Where members of staff have not completed the GDPR training module after receiving two reminders, consideration should be given to introduction of a sanction e.g. temporary revocation of network access.		
Management Response and Action Plan Departments are chased on a quarterly basis with regards to chasing any members of staff who have not completed the training, and also when required. However, I note that we have maintained a high level of compliance, 93-94% (Completed, Exempt and Temporary Exempt), for the period April 2018 to date.		

Regarding, the recommendation of revoking access to those who have not completed the training, while this is good in practise, we consider that there could be difficulty in implementing this recommendation. As the reports received from learning pool, which form the basis of the outstanding chasers and statistics provided to chief officers and AIN reps, are often inaccurate and will not account for members of staff who have been made exempt for a variety of reasons. Additionally, these reports are also negatively impacted by staff turnover, with some members of staff being marked as exempt because they no longer work for the CoL and their city learning account has not been deleted, when the report is run.

Therefore, to revoke the access of staff members to the system as a result of non-completion would be a time-consuming exercise, requiring an additional review of the reporting mechanisms.

Responsibility: Departmental Managers supported by departmental AIN reps and the C&CS Information Compliance Team

Target Implementation Date: 31 March 2020 and ongoing thereafter

Further Comment from Internal Audit: noted that the action proposed by the Information Compliance Team will support improved completion of mandatory training for information management, there still exists a weakness around completion of mandatory training generally. This is out of scope for this review and so will be picked up within further audit work.

* Where recommendation not accepted indicate alternative action that will be taken to mitigate risk or reasoning for accepting risk exposure to be provided.

22. GDPR policies and guidance documents are available to staff on the intranet. The GDPR departmental co-ordinators advise staff when policies are updated.

Access to Information Network (AIN) Representatives

23. The Comptroller and City Solicitor was appointed as the CoL's Data Protection Officer (DPO) by the Policy and Resources Committee on 21 June 2017. The minimum duties of the DPO are defined in Article 39 of the GDPR.

24. Each CoL department has AIN Representatives whose responsibilities include compliance with the Data Protection Act 2018 and GDPR. One or more of the department's representatives is designated as the GDPR co-ordinator (for example, the Department of Markets and Consumer Protection has a single GDPR co-ordinator, whereas the Department of Community and Children's Services has separate co-ordinators for housing services and other services).

25. The AIN Representatives have received specialist GDPR training and receive updates on data protection issues via a newsgroup set up by the Compliance Team. An AIN Forum has been set up and has quarterly meetings.

Self-Audit Monitor Checklists

26. A Self-Audit Monitor checklist was introduced in October 2018 and is completed by each department on a quarterly basis. The checklist is based on the self-assessment checklist produced by the Information Commissioner's Office (ICO), and has a column for each service area within the department. Each compliance action on the checklist is Red, Amber, Green (RAG) rated for each service area.

27. Quarterly Self-Audit Monitor checklists completed by departments are collated on a 'heat map' by a Business Analyst in the central Compliance Team. There are separate 'heat maps' for phase one returns (higher risk departments) and phase two returns (lower risk departments).

28. The phase one 'heat map' submitted to the Audit and Risk Management Committee in March 2019 showed red ratings for four areas (updating Record of Processing Activities, consent for processing of personal data, GDPR compliant contracts and requests to access personal data) for some departments, but all of the red ratings had improved to amber or green on the updated 'heat map' produced in July 2019. The total number of amber ratings for high risk departments fell by 31% between March 2019 and July 2019.

Access to Personal Data

29. The CoL has a Data Protection Policy which was last reviewed in April 2018. The Policy includes a definition of personal data, a list of six data protection principles and a statement of how the CoL will demonstrate compliance with the six data protection principles.

30. Personal data is held on the corporate 'W' drive, departmental 'H' drives, One Drive and SharePoint. Access to folders on the 'H' drives is restricted to members of the relevant teams. Team members can restrict access to individual files by password protection as required. Personal data is also held on databases which have restricted access.

31. The corporate 'W' drive was designed to facilitate file transfers between officers and was not intended to be a permanent repository for information, but it was established that the 'File Transfer' folder on the 'W' drive currently contains over 3,500 sub-folders, some of which relate to members of staff who have now left the CoL. Some of these sub-folders are likely to contain sensitive data, which could be accessed by any CoL staff.

32. Discussions with departmental GDPR co-ordinators established that efforts are made to identify and delete obsolete files on the 'W' drive where

possible, but this is difficult because files are not grouped by departments. It is noted that the Deputy IT and Head of Business Change and Engagement are due to submit a proposal for the management of the 'W' drive to the Summit Group (Recommendation 2).

Priority	Issue	Risk
Amber	The corporate 'W' drive (which can be accessed by all staff) contains obsolete data and personal data which has unrestricted access.	Where obsolete data is held, or where staff have unrestricted access to personal data (including sensitive data), there are risks of serious data security breaches and failure to comply with the Data Protection Act 2018.

Recommendation 2:
All data permanently held on the 'W' drive should be reviewed as a matter of urgency and either deleted or transferred to a more secure location. Staff should be given clear instructions on future use of the 'W' drive.

Management Response and Action Plan

The 'W' drive was created as a cross-department information storage area to enable departments to share information before the Corporation adopted Sharepoint, which otherwise would have been stored and duplicated across individual department (H) drives.

However, without the relevant guidance, policy and controls in place, and given that this storage area has no identified owner(s), this has become a significant risk to the Corporation.

Due to the lack of clarity, volume, age, accuracy and relevance of the information within the W drive, combined with the lack of policy and security controls, the Corporation agrees that this should be addressed urgently.

Analysis has taken place by IT to ascertain filetypes within that area, but this does not identify personal information or information which is incorrectly stored there.

To this end, market discovery work was carried out in to ascertain if automated information discovery tools exist with the capability to identify personal data to enable improved identification, location, handling and retention. However, this was expensive (minimum £80k+ for the cheapest) and no funding was available in-year to fund this.

The Information Management Board (IMB) agreed on 29th October to take accelerated steps to mitigate the risk the W drive poses to the Corporation.

A joint Comptrollers and IT plan will be developed with the purpose of removing the W drive and moving the required content to alternative storage locations within a timeline of 5 months from approval from the relevant officer groups and member Committees.

This will include:

1. A documented plan to take to Boards and Committees to gain approval for this work.

2. An "information amnesty" where the W will be made read-only to ensure that no new information is stored there, for a period of 3 months.

3. A communication and guidance campaign explaining the reasons why the IMB have taken this decision and providing guidance on where the various information types should be stored within the Corporation's information storage areas (primarily OneDrive and Sharepoint.)

4. Deletion of the W drive and what information remains at the end of this amnesty period.

Responsibility: IT Director and Comptroller and City Solicitor

Target Implementation Date: March 2020, assuming approval.

* Where recommendation not accepted indicate alternative action that will be taken to mitigate risk or reasoning for accepting risk exposure to be provided.

33. The Summit Group approved a comprehensive information management review across the whole CoL in October 2017. The review identified that the CoL kept too much information, often in "obscure silos", and also highlighted that information was often unstructured, duplicated or out-of-date. The review also identified a risk of information breaches leading to regulatory sanctions and bad publicity.

34. A new Information Management Strategy was produced as a result of the review (containing a High-Level Activities Plan), supported by an Information Management Policy and refreshed Records Management Policy. Implementation of the Information Management Strategy is being overseen by the Digital Task and Finish Group and Information Governance Group.

Record Retention Schedules

35. Each departmental GDPR co-ordinator has developed a 'Record of Processing Activities' (RoPA) following an information audit. Each

department also has a departmental record retention schedule which is based on the corporate record retention schedule but is considerably more detailed.

36. Testing of record retention schedules in a sample of departments identified that schedules for the Department of Markets and Consumer Protection and Department of Community and Children's Services were not yet finalised, although they were substantially complete (Recommendation 3).

Priority	Issue	Risk
Amber	Sample testing identified that record retention schedules for the Department of Markets and Consumer Protection and Department of Community and Children's Services have not yet been finalised.	Record retention schedules may be similarly incomplete for other service areas. Where record retention schedules are not finalised, there is a risk that data may not be managed correctly or deleted when it reaches its expiry date.

Recommendation 3:
The Compliance Team should ensure that, specifically, record retention schedules for the Department of Markets and Consumer Protection and Department of Community and Children's Services are finalised in a timely manner. More widely, that there is an appropriate mechanism to ensure that schedules are in place across the organisation, including an escalation process to deal with exceptions.

Management Response and Action Plan

Good progress continues to be made regarding the implementation of record retention schedules. With most departments having implemented their own schedules or are implementing the overarching CoL Records Management Schedule. Further we note that the retention schedules are monitored as part of the self-audit monitors, undertaken by departments on a quarterly basis.

However, we plan to monitor this further as part of our internal compliance checks**.**

Responsibility: Departmental Managers, supported by departmental AIN reps and the C&CS – Information Compliance team

Target Implementation Date: 31.12.2020

* Where recommendation not accepted indicate alternative action that will be taken to mitigate risk or reasoning for accepting risk exposure to be provided.

37. The CoL's Data Protection Policy states that the CoL will ensure that data is only kept for as long as necessary in accordance with the retention schedules. Discussions with departmental GDPR co-ordinators identified

that service managers are responsible for ensuring that obsolete personal data is deleted when it reaches its expiry date.

38. Implementation of disposal dates in record retention schedules is at various stages. For example, it was established that obsolete data cannot be deleted from the corporate finance system (CBIS), and no data has yet been deleted from the integrated payroll and human resources system (City People).

39. Departments have not been required to carry out regular checks on whether obsolete data is being deleted in accordance with record retention schedules. The Department of Community and Children's Services has carried out local operational compliance checks, which included checks on physical locking of laptops, laptops logged on whilst unattended, compliance with the department's clear desk policy and physical security over confidential paper files. However, these checks did not include compliance with record retention schedules (Recommendation 4).

Priority	Issue	Risk
Amber	Local operational compliance checks in departments have not been carried out in all departments on a regular basis. The checks carried out did not cover compliance with record retention schedules.	Where compliance with disposal dates specified in record retention schedules is not regularly monitored, there is an increased risk that obsolete data will continue to be retained, resulting in failure to comply with the Data Protection Act 2018.

Recommendation 4:
The Compliance Team should introduce new arrangements for local operational compliance checks. Each department should be required to carry out regular checks, which should include compliance with disposal dates for categories of data specified in record retention schedules. Results of the checks should be notified to the Compliance Team. The Compliance Team should follow up instances where required checks have not been carried out by the due date.

Management Response and Action Plan

Compliance Checks were put on hold since 2017, due to the implementation of GDPR/DPA 2018 and while the Information Compliance Team were under resourced, due to staff leaving and then recruiting and training new team members. Now we are fully resourced again, we will be looking to implement new compliance checks, which incorporate all aspects of the DPA 2018 and more specifically the implementation of record retention schedules.

Responsibility: Departmental AIN Reps and the C&CS Information Compliance Team

Target Implementation Date: 31.12.2020

* Where recommendation not accepted indicate alternative action that will be taken to mitigate risk or reasoning for accepting risk exposure to be provided.

Data Security Breaches

40. The CoL's People Security Policy states that any information security incident must be reported using the Security Incident Tracker available on the intranet. A standard 'Internal Notification of a Data Security Breach' form is completed for each suspected breach.

41. The Compliance Team maintains a log of data security breaches notified by staff; there is a separate log for each calendar year. The 2019 log shows that 44 data security breaches were reported to the Compliance Team between 1 April and 30 July 2019. Two of these breaches were reported to the ICO.

42. Discussions with departmental GDPR co-ordinators identified that staff had a good understanding of the need to notify suspected data security breaches.

43. In April 2019, the Compliance Team carried out a detailed review of the seven most significant recent data security breaches, and confirmed that appropriate action was taken in respect of each breach (e.g. notification to the ICO where applicable, provision of training to staff and amendments to procedures).

44. The Compliance Team analyses notified data security breaches by department and root cause. Quarterly statistics on data security breaches are submitted to the Corporate Strategy and Performance Department.

45. Recent data security breaches are discussed at each quarterly AIN Forum meeting.

46. The Audit and Risk Management Committee agreed on 12 March that it would receive GDPR monitoring reports including information on data security breaches three times a year. The reports are also received by the Digital Services Sub (Finance) Committee.

APPENDIX 1: AUDIT DEFINITIONS AND RESPONSIBILITIES

Assurance levels

Category	Definition
Nil Assurance 'Dark Red'	There are fundamental weaknesses in the control environment which jeopardise the achievement of system objectives and could lead to significant risk of error, fraud, loss or reputational damage being suffered.
Limited Assurance 'Red'	There are a number of significant control weaknesses and/or a lack of compliance which could put the achievement of system objectives at risk and result in error, fraud, loss or reputational damage.
Moderate Assurance 'Amber'	An adequate control framework is in place but there are weaknesses and/or a lack of compliance which may put some system objectives at risk.
Substantial Assurance 'Green'	There is a sound control environment with risks to system objectives being reasonably managed. Any deficiencies identified are not cause for major concern.

Recommendation Categorisations

Priority	Definition	Timescale for taking action
Red - 1	A serious issue for the attention of senior management and reporting to the appropriate Committee Chairman. Action should be initiated immediately to manage risk to an acceptable level.	Less than 1 month or more urgently as appropriate
Amber - 2	A key issue where management action is required to manage exposure to significant risks, action should be initiated quickly to mitigate the risk.	Less than 3 months
Green - 3	An issue where action is desirable and should help to strengthen the overall control environment and mitigate risk.	Less than 6 months

Note:- These 'overall assurance level' and 'recommendation risk ratings' will be based upon auditor judgement at the conclusion of auditor fieldwork. They can be adjusted downwards where clear additional audit evidence is provided by management of controls operating up until the point of issuing the draft report.

What Happens Now?

The final report is distributed to the relevant Head of Department and the relevant Heads of Service.

A synopsis of the audit report is provided to the Chamberlain, relevant Members, and the Audit & Risk Management Committee. Internal audit will carry out a follow-up exercise of the high priority (red and amber) recommendations quarterly, timed to provide an update to Committee, after the issue of the final audit report. The ongoing progress in implementing each recommendation is reported by Internal Audit to each meeting of the Audit & Risk Management Committee.

Any Questions?

If you have any questions about the audit report or any aspect of the audit process please contact Miyako Graham, Audit Manager – Mazars on 07825 450782, or via email to miyako.graham@mazars.co.uk. Alternatively, please contact Matt Lock, Head of Audit & Risk Management via email to matt.lock@cityoflondon.gov.uk.

Appendix 2 - A summary of the Compliance Audit reflecting compliance for Quarter 4 2019 (October – December 2019)

Department *	Fully implemented	Percentage	Partially implemented	Percentage	Not yet Implemented	Percentage	Not applicable	Percentage	Total score
*Chamberlain's- (including IT – Non systems and security)	113	51.36%	52	23.63%	0	0.00%	55	25.00	220
Chamberlain's - IT (systems and security)	14	93.33%	1	6.66%	0	0.00%	0	0.00%	15
Comptroller and City Solicitor	15	75.00%	2	10.00%	1	5.00%	2	10.00%	20
*City Surveyors Department	87	72.50%	16	13.33%	0	0.00%	17	14.16%	120
*Department of the Built Environment	76	95.00%	0	0.00%	0	0.00%	4	5.00%	80
*Department of Children's & Community Services	138	86.25%	6	3.75%	0	0.00%	16	10.00%	160
*Guildhall School of Music & Drama	131	72.77%	19	10.55%	0	0.00%	30	16.66%	180
*Markets & Consumer Protection	63	78.75%	10	12.50%	0	0.00%	7	8.75%	80
*Open Spaces	52	43.33%	39	32.50%	0	0.00%	29	24.16%	120
*Remembrancers	77	77.00%	11	11.00%	0	0.00%	12	12.00%	100
**Schools	52	86.66%	7	11.66%	0	0.00%	1	1.66%	60
Town Clerk's Department, Contact Centre	9	45.00%	5	25.00%	0	0.00%	6	30.00%	20

Appendix 2 - A summary of the Compliance Audit reflecting compliance for Quarter 4 2019 (October – December 2019)

*Town Clerks Department, Culture	32	80.00%	4	10.00%	0	0.00%	4	10.00%	40
Innovation and Growth	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	17	85.00%	2	10.00%	0	0.00%	1	5.00%	20
*Town Clerks Department, Libraries	15	75.00%	4	20.00%	0	0.00%	1	5.00%	20
London Metropolitan Archive	15	75.00%	3	15.00%	0	0.00%	2	10.00%	20
Town Clerks Department, Occupational Health	15	75.00%	2	10.00%	0	0.00%	3	15.00%	20
Total	**942**	**70.56%**	**196**	**14.68**	**2**	**0.14%**	**194**	**14.53%**	**1, 335**

*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.

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

Committee(s): Establishment Committee Digital Services Sub-Committee	Date: 30 January 2020 20 March 2020
Subject: HR Helpdesk Software	Public
Report of: Chamberlain's and the Director of HR	For Information
Report author: Sam Collins Marion Afoakwa	

Summary

This report provides a brief summary of proposals to implement a suitable solution for managing HR service enquiries and cases. This paper outlines progress with exploring the use of the existing Firmstep software, which provides a digital toolkit for the creation of structured forms, workflow and automation and case management. The work will be undertaken using internal HR staff resource, with project management and technical resources from the IT Division.

Recommendation(s)

Members are asked to:

- Note the report.

Main Report

Background

1. The HR Service aims to deliver a timely and consistent service to its customers. Historically, this has been difficult given the demands placed upon the service, and the limitations of underpinning software on its working practices. The HR service receives many telephone calls, e-mails and face to face enquires and holds information in many different locations, which has made it very difficult to perform to the levels expected by its customers.

Current Position

2. Requests for an HR service can be made by e-mail, over the phone or in person. These are managed manually and using a series of inboxes, and there are instances where requests can be put into the wrong folder and there is no audit trail. Similarly, for more complex requests (cases) staff are reliant upon spreadsheets to track team and individual caseloads. There is no method for service transparency/tracking requests, or for access to performance information and statistics.

3. A detailed piece of work was conducted between the HR service and the IT Division in 2017, which sought to evaluate options for Helpdesk software. A potential Sharepoint solution was identified, however the cost was considered prohibitive and this was not progressed.

4. Discussions began in 2018 on the use of Firmstep software as an alternative, specifically "Service", to manage all online and staff assisted channels on the same platform and "Forms", for the creation of digital forms with automation and workflow.

5. It became apparent in 2019 that the available version of "Service" would not be a suitable solution for HR as employee data could not be separated from other users' data.

6. Work has however continued with using "Forms" to facilitate greater automation in HR processes and is progressing towards developing and piloting use of a digital form as an alternative to "Service".

7. A review of the pilot will be conducted in April 2020, as well as scoping and costing options to determine a longer-term solution for a HR Service Desk facility. If the review determines that Forms does not meet the services' needs, another solution will be explored.

Recommendation

8. The IT Division's recommendation is to utilise the existing Corporate Firmstep platform to configure a series of structured online forms, to raise, manage and resolve enquiries and cases, pending a longer-term solution being determined.

Proposal

9. Firmstep can be made available at no extra cost to the HR Service but will require resource to be made available to create the online forms and associated workflow. The IT Division has funded training for 4 members of staff within HR service, to help self-build simple forms and processes, with project management and technical support from the IT Division.

10. The next step for this work is to clearly define the scope of the work, document the HR processes and develop a project plan with agreed timescales and resourcing commitments.

Corporate & Strategic Implications

11. The use of the existing Firmstep product, is aligned to a key principle of the IT Strategy, which is to use fewer systems, more effectively.

Implications

12. This piece of work is dependent upon the use of internal staff resource, the greatest risk is therefore the availability of the appropriate level of IT skills in HR and time to commit to the delivery of this work.

Conclusion

13. The HR Service will progress with the exploring implementation of the HR Service Desk software, using the Firmstep platform and work with IT to scope and cost options to determine a longer-term solution for the HR Service Desk system. The IT Division will continue to work with the HR service to scope the project, define the project plan and support the delivery of this key piece of work.

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Committee(s):	Date:
Digital Services Sub Committee	20 March 2020
Subject: Digital Update	**Public**
Report of: Chamberlain's	**For Information**
Report author: Sam Collins	

Summary

The City of Corporation has a significant digital capability provided through Office 365, City Dynamics (Dynamics 365) and City Services (Firmstep) and the IT Division continues to drive a programme of work to realise benefit from these platforms.

Notable achievements include the launch of the Strategic Engagement and Events Management functionality on City Dynamics, the new City Occupier Database functionality provided through PowerApps, and a new online shop built upon the Shopify e-commerce platform.

The IT Division has also recently replaced the ageing Hazardous Waste application with a City Services based system, as well as launching a new online self service portal for the Corporate website.

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. 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. The effective use of technology is increasingly important, as departments look to realise more efficient ways of working through the Fundamental Review.

2. The Customer Relationship Management (CRM) Project seeks to replace the current Corporate CRM (CRM 2011) with two separate solutions. City Dynamics (Dynamics 365) will provide functionality to manage the

Corporation's Strategic Engagement activity and Events. City Services (Firmstep) has been implemented in the Contact Centre for managing customer transactions including reports, applications, bookings and payments. Firmstep also provides a customer portal for online transactions.

3. Collectively, these programmes of work have delivered a significant digital capability to the Corporation, allowing the transformation of internal working practices towards a more *Digital Workforce*, as well as the provision of more services and functionality online through *Digital Services*.

Digital Workforce

4. The City of London Corporation continues to realise the benefits of the investment in Office 365, with an increasing use of digital tools including Skype for Business (audio/video conferencing and instant messaging), Microsoft Teams (Collaboration, audio/video conferencing and instant messaging), SharePoint (electronic document management), Forms (online forms) and PowerBI (Business Intelligence).

5. Some of the key highlights from early 2020 include;

    - Over 1300 active users in Teams;
    - Over 300 Teams have been created since its launch in February 2019;
    - Record number of Teams Calls and Messages in January 2020;
    - Record number of Skype Meetings in January 2020;
    - 1188 Active SharePoint sites.

6. Collectively, and with the propensity towards Corporate laptops and tablets, these enable an increasingly flexible and resilient workforce – with reduced reliance upon office accommodation to enable effective working.

Digital Services

City Dynamics (Dynamics 365)

7. The Strategic Engagement functionality went live in June 2019 and is now in use by over 100 staff across Innovation and Growth (IG), Corporate Affairs, Remembrancers and Mansion House. Since it's initial launch, the IT Division have continued to work with the Business Intelligence Unit in IG to provide additional functionality and improve user experience.

8. The final phase of the Events Management module went live on 14th February 2020, which included a full suite of reports and more bespoke functional elements such as table planning. A cutover plan has been agreed with the Events Teams which will see the final event completed in May 2020.

9. A more significant piece of work has now commenced on Dynamics 365 to upgrade the existing user interface to the new 'unified interface' which will allow the platform to be fully responsive, for use across all devices as well as integrating with Outlook. This is due to complete in the summer, after which the workplan will focus on further enhancements to the Strategic Engagement and Events Management modules.

10. The City Occupier Database (COD) has also now gone live on a new application utilising Microsoft's PowerApps low code platform. This now the enables the COD team to operate flexible when conducting the survey and gather results from across different device types. The COD functionality was formerly provided on CRM 2011.

City Services (Firmstep)

11. December 2019 saw the launch of the new Online Shop using the Shopify e-commerce platform, which provides a modern, mobile responsive site for the sale of Corporation goods online. Previously this was provided on CRM 2011, and so constitutes another key step to the complete decommission of CRM2011.

12. The new City Services online portal went live in February 2020, replacing the existing Report, Pay, Apply webpage and the 'MyCity' login. This gives the organisation's customer a single portal into all our online services with the option to register and track requests. The new portal works well across all devices including mobiles and tablets.

13. A new Hazardous Waste application went live using City Services in February 2020, which is used to manage over 4000 hazardous waste removals every year on behalf of London boroughs. The new application included a shift to an online form and payment as well as the electronic management of the process – in place of the existing paper-based processes and use of multiple spreadsheets and e-mails. A telephone based has ben retained for more complex requests or instances where customers are not able to go online. The new application replaced a legacy application which was reliant upon the use of Windows 7 (now out of support).

14. A pilot exercise is underway with HR, to look at the use of City Services as a HR Helpdesk process – replacing the use of word-based forms and reliance upon e-mail with online forms, automated workflow and staff 'dashboards' for managing requests. An initial general enquiry form is due to go live in March 2020, with an ongoing workplan of further process specific forms. A review of the pilot is scheduled for April 2020.

15. An initial scoping day was held to look at using City Services for managing Freedom applications, specifically looking to move much of the paper based and manually intensive process towards online self service for applications, payments and bookings, and utilising dashboards and automated reports.

Corporate & Strategic Implications

16. City Dynamics and City Services provide the organisation with two capable digital platforms with which to transform services – providing greater online self-service and use of automation, reducing reliance on paper based and manual processes, as well as an opportunity to rationalise existing applications. Maximising the utilisation of these platforms is reliant upon the provision of enough internal resource in technical skills, as well as other disciplines such as user experience, service design and agile project management.

Conclusion

17. The Corporation continues to make positive strides in the use of digital tools for increasing workplace productivity and flexible working. The IT Division also continues to receive high levels of demand around the use of the City Dynamics and City Services platforms, which collectively can be used to greatly enhance the Corporation's online services, delivering more efficient services as well as enhancing the overall service offering to service users.

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Committee(s): Epping Forest and Commons Committee Digital Services Sub (Finance) Committee	Date(s): 13th January 2020 20th March 2020
Subject: Infrastructure – car park charges at Farthing Downs, Riddlesdown and Burnham Beeches	Public
Report of: Director of Open Spaces	For Information
Report author: Andy Barnard – Superintendent of the Commons	

Summary

A project to provide infrastructure to enable the introduction of charges for the parking of cars at Riddlesdown and Farthing Downs and to improve the existing infrastructure at Burnham Beeches, was approved by Project Sub Committee (Gateway 2) in March 2019.   Funding of £130,000 having been previously secured via the central 'Priorities Investment Pot' in May 2018.

Since that approval, a data collection exercise has been completed to inform future income expectations. A soft market test exercise was also undertaken to identify options, clarify technical challenges such as connectivity, software and hardware, explore administration and enforcement options and to provide indicative capital and revenue costs.

Recommendation

Members are asked to:
- Note the progress made leading to the current competitive tender process and the steps that will be taken to ensure delivery by late summer 2020.

Main Report

Background
1. Charges for car parking are a common method of generating income across the City Corporation's Open Spaces. Continuing pressure on budgets led to a review (2018) of car park provision and an examination of the potential to expand charges across The Commons Division. The review concluded that an increase in car parking related income was possible at Burnham Beeches and new income streams could be created at Riddlesdown and Farthing Downs.

Current Position
2. Voluntary car park charges were introduced at Burnham Beeches in 2007. Payments became mandatory in 2011. The solar powered payment terminals are now 13 years old and are in urgent need of replacement.

3. Farthing Downs and Riddlesdown provide car-parking facilities to a high presentational standard but do not charge for their use, nor do they have the necessary infrastructure to do so.

4. Funding to provide new car park infrastructure at Burnham Beeches, Riddlesdown and Farthing Downs was approved under the central 'Priorities Investment Pot' (PIP) Scheme in 2018.

5. A more detailed report was submitted as a Gateway 2 report and approved by Project sub Committee in March 2019.

6. Since that time a 6-month data collection period has been completed (at a cost of £5000) that has informed our knowledge of car park usage and will help to set the eventual charging regime.

7. The Gateway process for this project is 'Light' and requires final sign off by the Director of Open Spaces following a competitive tender to design and deliver the necessary works.

8. A soft market test was conducted in November 2019 to minimise risk and ensure appropriate understanding of the technical issues. This exercise has informed the approach taken by the competitive tender exercise.

The Tender Approach – Design, Build, Administer
9. The soft market testing exercise identified several companies that can provide a complete design and build solution tailored to the specific needs of the three geographic locations at a fixed capital cost. Each company can also provide back office administration, enforcement options and associated revenue costs. As follows:
    a. Ground works as necessary
    b. ANPR equipment, payment terminals and connectivity
    c. Web/Cloud based software working independently of the of the City's IS infrastructure whilst remaining compliant with COL policy and procedure
    d. Back office administration solutions for the management of payments up to and including if necessary automated enforcement of Parking Charge Notices.

10. **From the Soft Market Testing Exercise Members are informed that the competitive tender includes:**
    e. **ANPR.** Automatic Number Plate Recognition Cameras will be used where technically possible and as far as the PIP budget allows, at Burnham Beeches (Lord Mayors Drive), and Farthing Downs and Riddlesdown car parks. Two very small car parks at Burnham Beeches (The Dell and The Stag) are not suitable for ANPR cameras so, as a minimum, may be reliant on alternative options described in paragraph 10.f. & 10.g below.

    f. **Connectivity.** 4G connectivity and/or remote ADSL connections between hardware and software at ANPR enabled sites

g. **Cashless Payments.** The opportunity will be taken to avoid cash payments. Physical handling and reconciliation of cash is costly and can be readily avoided by other payment options. Avoidance of cash payments will future proof the system as cash handling agents such as G4S continue to withdraw their services from the market. This 'cashless' approach also matches that taken by the City in the Square Mile. Each site will offer payment solutions from the following suite of options as best suits that location:

   i. **Account payment.** Whereby the user has set up an account with the chosen service provider and ANPR automatically records and bills parking activity to that account
   ii. **App payment.** Whereby the user pays the fee from an app loaded onto their phone or tablet
   iii. **Pay by Phone.** Whereby the user calls the service provider to pay the fee using their phone
   iv. **Payment Terminals.** Whereby the user pays at a terminal using their debit/credit card. Solar powered terminals will be evaluated to reduce ground works/connection costs
   v. **Delayed Payment.** Whereby those that do not have mobile phones, credit cards etc. have an agreed period to pay by other means, generally within 24 hours.

h. **Software/hardware.** All software, hardware and back office functions will be Web/Cloud based and independent of the City's IS system. Payment Apps are widely used across the UK and can be downloaded from Apple and Android App Stores. As the City's Current Pay by Phone contract 'RINGO' has been specified although other providers might be considered.

i. **Back Office processes and costs.** To reduce the impact of introducing car park charges on the small local teams at Riddlesdown and Farthing Downs and to modernise the practice currently used at Burnham Beeches, Back Office administration of car park payment monitoring and enforcement will form part of the tender process as an external service. Back Office activities will accrue annual costs that will be met from the income generated by the parking fees.

j. **Enforcement options.** To ensure that the cashless approach does not cause problems for visitors who arrive without the means to pay a 'use now pay within 24 hours' system will be trialled. In those instances, Parking Charge Notices will only be sent out after the 24-hour payment window has passed.

   The tried and tested enforcement protocol used at Burnham Beeches since 2011 will be adopted across all sites to ensure consistency.

   ANPR can automate the enforcement process and reduce the amount of staff time required. However, it is likely that there will be areas

where ANPR is not a viable/affordable option and physical checks will be required, albeit this need not be onerous, including:

i. **Burnham Beeches. The Dell and Stag Car Parks.** Occasional patrols, passing to carry out other duties will continue to be conducted by Rangers. Non-payment will be entered directly onto the back office set up.

ii. **All sites. Parking on City Corporation owned roadside verges passing through the open spaces.** Roadside verge parking will be closely monitored across all project sites, as is currently the case at Burnham Beeches. Additional measures will be considered should displacement prove to be a long-term issue.

iii. **Misuse of disabled parking bays etc.**   Rangers will conduct occasional patrols whilst passing to carry out other duties. Bay misuse will be directly entered onto the back office set up.

k. **Whitelisting, annual passes etc.** Vehicles that require parking access to the site without payment such as deliveries, contractors, staff, volunteers, annual pass and blue badge holders will be 'whitelisted' so that charges do not apply.

l. **Cost of parking.** Local protocols have yet to be set but will be consistent across the Open Spaces as far as local benchmarking/consultation and income generation requirements allow.

Proposals

11. The outcome of the competitive tender exercise is expected in February 2020. The submission will be assessed, and a recommendation made to the Director of Open Spaces prior to March 31st, 2020 seeking authority to proceed to the delivery stage.

12. Project delivery is anticipated for completion across all three sites by September 2020.

Corporate & Strategic Implications.
13.   The project supports the following elements of the Corporate Business Plan

Shape outstanding environments

- We are digitally and physically well connected and responsive.
- We inspire enterprise, excellence, creativity and collaboration.
- We have clean air, land and water and a thriving and sustainable natural environment.
- Our spaces are secure, resilient and well-maintained

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In addition, the open Spaces Business plan as follows:
- Open spaces and historic sites are thriving and accessible.
- Business practices are responsible and sustainable

Implications

14. **Finance**. The soft market testing exercise gives confidence that costs should not exceed the remaining £125,000 delivery budget.

15. **Hardware and software** implications are currently being assessed by the IT Architecture team. The project and this draft report have also been communicated to the Director of Transportation and Public Realm.

16. **The Soft Market Testing and Competitive tender process**, including the soft market testing exercise, is being coordinated by the City's Procurement team.

17. **The City Solicitor** advises that Section 9 of the City of London (Various Powers) Act 1977 allows the City Corporation to provide parking places and to make reasonable charge**s.**

18. **Other consultations.** The Human Resources Dept. and City Surveyor have been consulted as part of the drafting of this report**.**

19. **Equalities statement.** Will be carried out following assessment of the tender process outcome

20. **Partnership implications.** The London Borough of Croydon who manage adjacent car parks are aware of this project and are themselves considering the introduction of car park charges. It is anticipated that this will be discussed as part of the benchmarking process of car park fees.

 Conclusion

21. Car park payments and associated infrastructure will be introduced at Farthing Downs and Riddlesdown and updated at Burnham Beeches

22. A competitive tender exercise is underway for the provision of appropriate hardware, and software including installation and annual administration and enforcement costs

23. Funding of £130,000 has been secured form the PIP fund of which £125,000 remains for delivery. Soft market testing suggests that this sum is enough. However, each geographic site is likely to require a different variant of the available options shown in paragraph 10 and the available budget will be an influence.

24. As a 'light' project, sign off at Gateway 5 (authority to proceed) can be provided by the Director of Open Spaces and will be sought prior to 31st March 2020.

25.   It is anticipated that the project will be delivered and operational by September 2020.

Appendices
   None

Background Papers.
- Gateway 2 Project report to Project Sub Committee – March 2019
- Project Priorities bid. March 2018.

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Agenda Item 12

Committee(s): Summit – for decision Digital Services Sub-Committee – for decision	Date(s): 24th February 2020 20th March 2020
Subject: Technology Procurement Policy	Public
Report of: Chamberlain's Department – IT Division	For Decision
Report author: Adam Fielder – Enterprise Architect / Lead Architect	

Summary

This report proposes a new Technology Procurement policy for the City of London Corporation, which outlines the approach for the centralised management of technology procurement and disposal. The aim of this policy is to increase cyber security, reduce costs, technology debt and shadow IT.

Recommendation(s)

- To approve the Technology Procurement Policy (see appendix A attached).

Main Report

Background

1. The City of London Corporation has traditionally operated on a devolved basis for the procurement, purchase or implementation of technology.

2. This has led to duplicate systems, tools and devices existing within the estate with disparate support arrangements being put in place with increased costs and support overhead, such as "Shadow IT".

3. This complexity also leads to difficulties in ensuring the environment is managed and secure due to a lack of oversight of the infrastructure and services in use across the technology estate.

Current Position

4. Current examples of devolved technology procurements (non-exhaustive);

   - The corporation has a variety of payment solutions from a range of different vendors. This has led to additional cost, complexity and integration overhead.

- The same technology solution for body warn cameras has been purchased on three separate occasions for three different business areas. Each implementation has its own solution design and has been reviewed on three separate occasions by the IT security function.

- There are multiple parking systems/solutions in place. Each parking solution has been architected separately, requiring differing levels of IT involvement, hosting and security.

Summary Proposal

5. The objectives of the Technology procurement and disposal policy are:

- To outline the CoL's approach to the Procurement, Purchasing Replacement and Disposal of all ICT assets.

- To ensure that no technical products or services are procured without IT and IT Category Board approval.

- To ensure that no technology will be added to or installed on IT equipment or networks without IT approval.

- To ensure that the Corporation achieves value for money through not procuring or purchasing duplicate technology systems, products or services.

- To meet all regulatory and legislative requirements relating to the Procurement, Replacement and Disposal of all IT software and hardware.

Next steps

6. Draft Policy (see appendix A attached) agreed by Summit

7. Policy implemented and communicated to all staff and Members along with suitable guidance.

Appendices

- Appendix A - Technology Procurement Policy

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CITY OF LONDON

CHAMBERLAIN'S DEPARTMENT

INFORMATION TECHNOLOGY

ENTERPRISE ARCHITECTURE DOCUMENTATION

TECHNOLOGY PROCUREMENT POLICY

Date Issued: FEBRUARY 2020

Prepared by: Adam Fielder

Document Version

Date	Version	Author	Comments
05/12/19	V01 (Draft)	Adam Fielder	Initial Draft
20/01/20	V02 (Draft)	Sean Green	Updated Draft
24/02/20	Final	Sean Green	Updated Draft

Document Approval

Date	Name	Title	Comments
	Adam Fielder	Lead Architect	
	Matt Gosden	AD IT Division	
	Sean Green	IT Division Director	

Document Abbreviations

CoL	City of London
CoLP	City of London Police

Contents

1. Introduction

1.1. The IT Division must ensure that business needs and technology standards are met, but care will be given to avoid being overly prescriptive.

1.2. The IT Division will leverage the extensive experience and knowledge of the vendor community to identify innovative and modern approaches that reduce cost or increase efficiency.

1.3. The procurement planning process will be viewed as an opportunity to discover and pursue business process improvement. IT projects should be as much about improving government business practices as they are about technology. (Task Force on Reengineering IT Procurement for Success, 2013).

1.4. The IT Division strives to develop and implement sound technology procurement practices throughout the corporation and is dedicated to building strong relationships with the business and technology vendors. The IT Division promotes fair and open competition and provides professional leadership and guidance in technology procurements.

2. Purpose

2.1. This document is designed to provide best practices for the management of technology procurements for the City of London Corporation (CoL).

2.2. To ensure all Technology Procurements for the CoL adhere the correct governance processes and where necessary have the design and security sign from the Corporate IT Division.

3. Roles and Responsibilities

3.1. A successful IT procurement requires collaboration between IT subject-matter experts, business owners and procurement professionals. Specific roles and responsibilities will vary for each procurement, but will generally include the following;

Role	Responsibilities
Procurement Manager	• Evaluate available procurement methods. • Assist in the development of procurement plan. • Act as a single point of contact for the procurement; including the evaluation and negotiation teams, vendors, etc. • Participate with team in establishing well-defined evaluation criteria and processes. • Obtain and maintain all confidentiality/non-disclosure agreements from team members as applicable. • Assist in the preparation of solicitation documents.

	• Lead the formal solicitation process. • Post solicitation documents and respond to vendor questions. • Participate in vendor demonstrations. • Ensure the overall integrity of the procurement process through fair and open competition. • Coordinate Legal and IT Division review and approval of procurement documentation required before release/execution.
Business Owner	• Define requirements. • Ensure the security of corporation data and resources. • Define budget, requested timeline and other possible constraints. • Define conditions of performance satisfaction and final acceptance. • Support negotiations to ensure that the final contract supports business needs and corporation requirements. • Ensure that the procurement aligns with corporation strategic goals and policies. • Ensure that the procurement aligns with corporate policies. • Serve on evaluation team to evaluate the vendor responses.
IT Architect / IT Business Partner	• Assist Business Owner with technology-related requirements. • Evaluate proposed technical solution to ensure alignment with corporation IT architecture principles and standards. • Evaluate proposed technical solutions for interoperability with other key state systems. • Ensure the security of corporation data and resources. • Support the procurement process through the identification and availability of key technical subject matter experts. • Identify opportunities to promote efficiency using existing technical solutions or consolidation of similar requests.
Subject Matter Expert	• Possess expert technical, security, industry, commodity or service specific competence or knowledge for the project. • Support the procurement process through consultation with procurement team and review of solicitation documents. • May serve as a procurement evaluator or negotiator.

3.2. The IT Division aims to apply IT Architect resource to all procurements that involve technology. The levels at which resources are applied will be tailored for each procurement.

3.3. Where necessary, permanent or contracted resource will be sought to meet demand.

4. Architecture Framework

4.1. This procurement standard forms part of the City of London Corporation (CoL) architecture framework. The framework is fully documented on the CoL's IT Division intranet pages.

5. Architecture Principles

5.1. Architecture principles define the underlying general rules and guidelines for the use and deployment of all IT resources and technology assets across the corporation. They reflect a level of consensus and form the basis for making future IT decisions.

5.2. The assigned IT Division Architect will use the CoL's architecture principles to shape the technology requirements of the procurement.

5.2.1. Buy-not-build.

5.2.2. Use fewer systems more effectively.

5.2.3. Compliant systems and services.

5.2.4. Move from complexity to commodity.

5.2.5. Software as a service.

5.2.6. Public cloud first.

5.2.7. Automate as much as possible.

5.3. More information regarding the architecture principles can be found on the CoL's IT Division intranet pages.

6. Architecture Standards

6.1. The assigned IT Division Architect will use CoL's architecture standards to govern the technology requirements of the procurement.

6.1.1. New technology should be purchased as a service, cloud hosted and fully managed by the vendor.

6.1.2. Where a procured technology mandates a corporation hosted solution, the solution must be fully compatible with the authorities hosting platform. Microsoft Azure. On-premise hosting must be avoided wherever possible.

6.1.3. Ensure that new technology is purchased 'off the shelf' rather than custom built.

6.1.4. Identify opportunities for process automation. Business and/or IT Division.

6.1.5. Ensure that new technologies are fully compatible with CoL's information security requirements

6.1.6. Ensure that new technologies are fully compatible with CoL's technology standards.

6.1.7. Ensure that new technologies are fully compatible with CoL's Digital Services Strategy.

6.1.8. Seek technology advice from colleagues and Subject Matter Experts whenever required.

6.2. More information regarding the architecture standards can be found on CoL's intranet pages.

Committee(s):	Date(s):
Digital Services Sub Committee – For information	20th March 2020
Subject: 2020 IT Managed Services Update	Public
Report of: The Chamberlain	For Information
Report author: Graeme Quarrington-Page	

Summary

The programme to deliver a new IT Managed Services contract is progressing in line with the plan. Following the award of the contract to Agilisys ltd, early planning and preparation activities are underway. The components of the programme and governance arrangements have been agreed with Agilisys and are described within this report.

Recommendation(s)

Members are asked to:

- Note the report.

Main Report

Background

1. A procurement exercise was launched in July 2019 to source a new IT Managed Services contract replacing the existing contract that will expire on 31st August 2020. The new contract was awarded to Agilisys Ltd (incumbent supplier) following approval at Court on 5th December 2019. The 2020 IT Services programme is now initiating the Transition phase with the new operational service commencement date currently planned for 1st September 2020.

Current Position

2. Following the award of the IT Managed Services contract to Agilisys Ltd, the programme team has initiated preparations ahead of the contract being signed. The scope of the contract is complex, and a due diligence exercise is being conducted to review any changes since the tender was issued and to ensure the outcomes and linked benefits will be delivered as expected.
3. Work is in progress aiming to sign the contract in March, with a number of workstreams underway. As the contract is based on a Crown Commercial Services framework agreement, the core terms and conditions have already been agreed.

Programme Governance

4. To ensure the programme is managed effectively, a programme structure and governance model has been agreed with Agilisys and is shown in Appendix 1. The model balances the need for control with agility to allow workstreams to proceed at pace managed by the sponsors and project staff within the two main areas for Transition and Migration. Regular meetings are held at programme level to ensure time, quality and cost are managed.

5. We will continue with the original stakeholder management and communications plans and schedule meetings of the 2020 Steering Group (reporting to Strategic Resources Group) and the Members' Reference Group at key points during the transition phase of the programme.

Programme Workstreams

6. There are 4 key workstreams in progress. They are:
    a. Migration to the Azure Public Cloud – A Statement of Works has been produced that covers the design, build and testing of the core environment within Azure for the Corporation of London services. A dedicated network link has been installed to allow secure access to Azure. Early discussions on work for City of London Police and London Councils has also started.

    b. Establishing a 'Tech Desk' at Guildhall and New Street – the scope for a pilot within Guildhall has been agreed and resource planning is now being discussed. It has been agreed with Agilisys that the start date for the Tech Desk services they proposed in their bid, will be brought forward from January 2021 to Summer 2020.

    c. Implementing a new service management tool – Service Now. Agilisys will be using specialists to deliver the implementation. The IT Division team will be closely involved with the design and deployment of this key system. Workshops to agree the design of the system are planned for March.

    d. Target Operating Model (TOM) and Transfer of Undertakings for Protection of Employees (TUPE) – this covers changes to the IT Operating Model and Structure to consider the impacts of bringing services previously managed by Agilisys back in-house and the impacts of any staff working for Agilisys whom have TUPE rights.

7. Early planning work has started on all 4 of the above workstreams with positive discussions being held with Agilisys on the approach to the main body of work. An overview of all workstreams within the programme is provided in Appendix 2.

Corporate & Strategic Implications

8. Provision of an effective and efficient corporate IT service is vital to the whole organisation. Currently, not all parts of the organisation use the Agilisys contract,

but all core services use the infrastructure and associated IT services. Therefore, it is essential that a replacement service is provided ensuring business continuity.

Implications

9. A successful transition to the new contract will provide the following benefits during the initial 3-year term:
   a. Move to world-class public cloud environment (Microsoft's Azure service) delivering greater resilience and enabling improved cost control.
   b. Significant improvements to the customer experience through the deployment of a class-leading IT Service Management tool (Service Now) and use of Tech Desks at Guildhall and New Street.
   c. Revised and improved Service Level Agreement (SLA) and consequence regime for failure to deliver services within the SLA.
   d. Improved balance of outsourced and in-house services which will deliver efficiencies and service improvements to customers.
   e. Revised Social Value offering better aligned to latest organisational strategies and polices.

10. As with the current contract, a Licence to Occupy will be agreed to allow Agilisys staff to operate from City of London and City of London Police premises to support efficient delivery of operational services.

Conclusion

11. The programme is in the process of initiation and good progress is being made with planning and preparation underway for the main delivery phase.
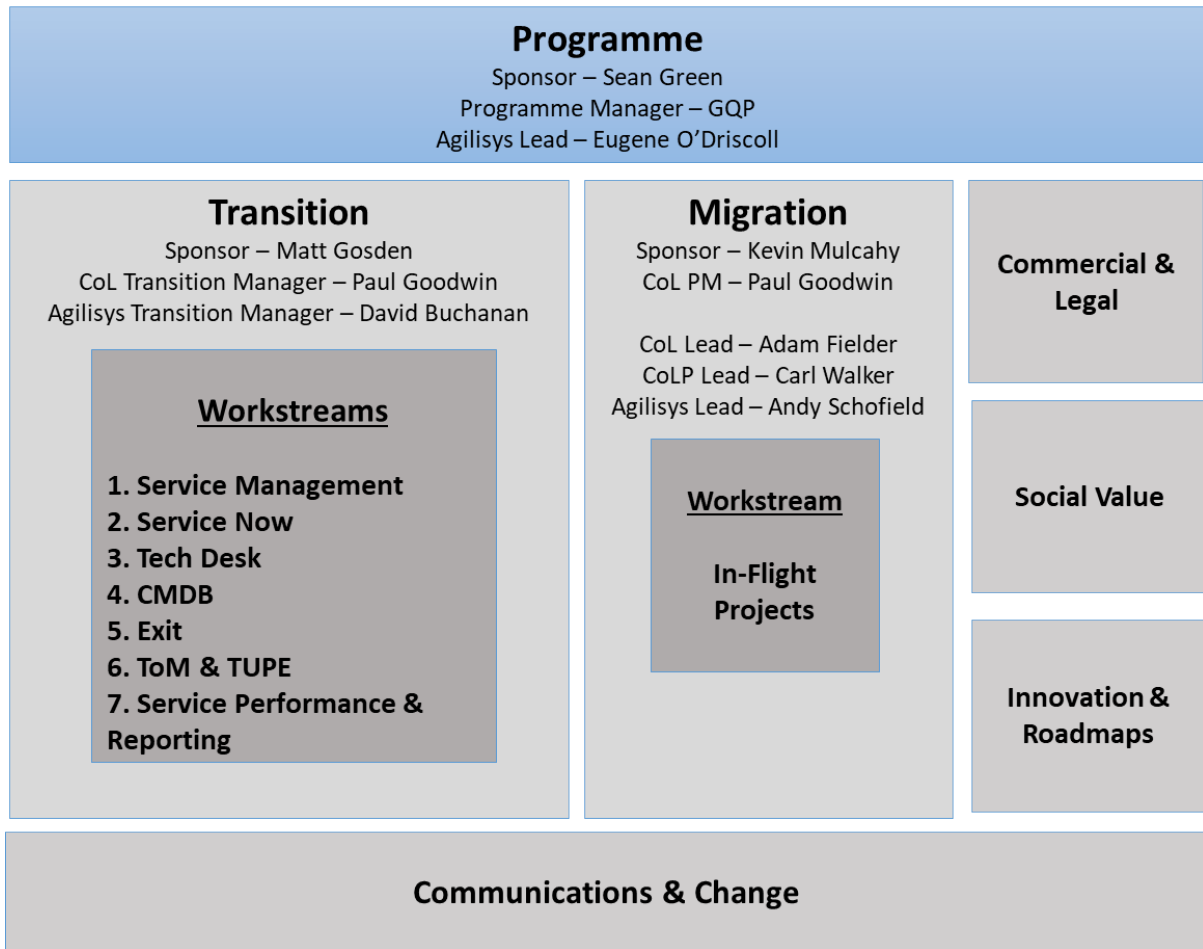
Appendices

- Appendix 1 – Programme Governance map
- Appendix 2 – Overview of Programme Workstreams

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Appendix 1 – Programme Governance Map

Programme
Sponsor – Sean Green
Programme Manager – GQP
Agilisys Lead – Eugene O'Driscoll

Transition
Sponsor – Matt Gosden
CoL Transition Manager – Paul Goodwin
Agilisys Transition Manager – David Buchanan

Workstreams

1. **Service Management**
2. **Service Now**
3. **Tech Desk**
4. **CMDB**
5. **Exit**
6. **ToM & TUPE**
7. **Service Performance & Reporting**

Migration
Sponsor – Kevin Mulcahy
CoL PM – Paul Goodwin

CoL Lead – Adam Fielder
CoLP Lead – Carl Walker
Agilisys Lead – Andy Schofield

Workstream

In-Flight Projects

Commercial & Legal

Social Value

Innovation & Roadmaps

Communications & Change

Appendix 2 – Overview of Programme Workstreams

The programme comprises two main projects, Transition and Migration, each with a number of workstreams, and other, programme wide workstreams. The key outcomes from each are listed below.

Transition Project Workstreams (numbers as per Governance map):

1. Service Management – Key polices, processes and practices will be clearly defined to enable the service to be effectively and efficiently managed, in line with the defined service levels.
2. Service Now – All key data, information, knowledge related to the full range of IT services will be maintained in one system in a manner that supports excellent customer service, high-levels of service performance and service resilience.
3. Tech Desk – IT users in Guildhall and New Street able to access to a staffed desk to deal with a defined range of services.
4. CMDB – All IT assets and their links to services effectively maintained within a new Configuration Management Database supporting effective management of system changes.
5. Exit – All services within the current contract are transferred to the new contract or bought back inhouse with no disruption to the business.
6. ToM & TUPE – A new Target Operating Model (ToM) will be implemented for IT Division providing the capacity and capability to manage and deliver the full range of IT services. Staff transfers fully comply with TUPE legislation.
7. Service Performance & Reporting – Information will be produced in a timely manner and in a format that is appropriate to the audience, through up to date dashboards and other formats, to ensure service performance is monitored and managed effectively.

Migration Project Workstream:

- In-Flight Projects – managing the wider portfolio of IT projects to ensure there are no conflicts between the progress of the 2020 programme and other projects running throughout the programme's timeline.

TOM and TUPE

- Review of IT Structure in consideration of services coming back in house
- Legal consideration of staff in scope (to be agreed) for TUPE
- Penson bond requirements

Other Workstreams:

- Commercial & Legal – A signed contract with a clear schedule of payments.
- Social Value – A range of added benefits supporting the Corporation's Digital Skills Strategy and facilitated workshops and programmes of work to support apprenticeships, and work placements.

- Innovation & Roadmaps – Keeping pace with advances in technology that would be of benefit to the organisation. Demonstrable, timed plans that shown the path to implementing new technology.
- Communications & Change – The impact of change is assessed and linked to activities to support successful implementation of change. All change activities are supported by a range of communication channels are at different groups of stakeholders.

Committee(s)	Dated:
Digital Services Sub-Committee	**20th March 2020**
Subject: IT Division – IT Service Delivery Summary	**Public**
Report of: The Chamberlain	**For Information**
Report author: Eugene O'Driscoll, Agilisys Client Director	

Summary

There has been good progress on the COL and COLP PSN remediation activities.

A new, Guest and Public Wi-Fi service is currently going through a phased testing and rollout process with full go live expected before the end of March 2020.

There was a total of 4 P1 and 6 P2 incidents for the City of London Corporation and City of London Police in January 2020. 7 of the incidents were caused by external factors such as supplier works outside of the direct control of Agilisys; only 1 was not resolved within target.

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

- There was 1 P1 incident for City of London Corporation and 3 for City of London Police.

- There were 3 P2 incidents for the City of London Corporation and 3 for City of London Police.

- 95% of users reported a good or very good experience of the Service Desk.

Public Services Network remediation actions for City of London Corporation and City of London Police are progressing well.

Recommendations

Members are asked to note this report

Main Report

Service levels and exceptions

1. **City of London Police (CoLP) P1 incidents**

   There were 3 P1 incidents

Affected Service	Duration	Reason	Resolution	Problem Management plan
Pronto-Niche link	01:46	Third party to advise	Airwave rebooted the service on their gateways	CoLP IT to review with 3rd party
Network, Pronto reporting	06:35	Security Zone broadcast storm from legacy Bishopsgate switch. Pronto Manager. This in turn caused an OSPF neighbour to go down at Airwave affecting Pronto Manager.	Security Zone switches were restarted and resolved the incident at -6:30. Airwave then re-established the connection to resolve the Pronto Manager outage at 09:35	3rd party supplier relations
Network access (Clearpass)	01:20	Clearpass server dropped off the domain	Clearpass was re-joined to the domain	Problem record created

2. **City of London Police P2 Incidents**

   There were 3 P2 incidents

Affected Service	Duration	Reason	Resolution	Problem Management plan
Codes (Digital Interview Recording)	02:29	Log file size configuration was incorrect	Configuration was corrected so that transactions could be applied and continue to work and upload	Remediation works complete
Email	01:09	Vodafone Gateway was causing emails to queue in Mailmarshal	A workaround was put in place to redirect emails through another gateway, prior to the Vodafone fix	CoLP IT to review with 3rd party
Telephony	04:40	Gamma national outage caused by two fibre breaks in London and Leicester	A workaround was put in place prior to the Gamma fibre fix resolution.	CoLP IT to review with 3rd party

3. City of London (CoL) P1 incidents

There was 1 P1 incident.

Affected Service	Duration	Reason	Resolution	Problem Management plan
Hyms	00:16	The server stopped accepting connections from users. Root cause not identified from logs.	The server was restarted.	Yes.

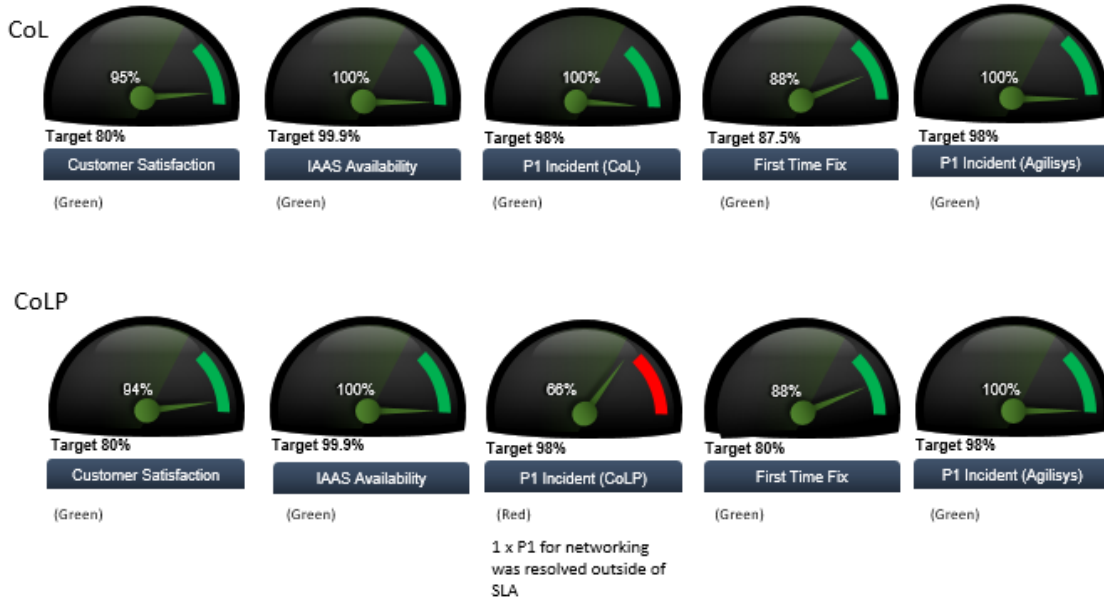### 4. City of London P2 Incidents

There were 3 P2 incidents.

Affected Service	Duration (hh:mm)	Reason	Resolution	Problem Management plan
Public-facing mapping sites.	01:39	The change to implement Cloudflare used caching which prevented the URLs from being accessed	Caching was turned off in Cloudflare.	No.
Libraries Wi-Fi	00:03	A local power failure in Libraries made Wi-Fi briefly unavailable.	No action required from IT; power was restored.	No.
Pubnet at LMA	00:25	Tekpool remote access server became unavailable for new connections.	Tekpool restarted their remote access server.	Yes.

In respect of the Public-facing mapping sites incident, Cloudflare is a new Web Application Firewall service which is now providing additional protection against denial-of-service attacks on the website. The incident above was resolved within target and the Cloudflare implementation was otherwise successful.

In addition to additional security measures, Cloudflare also provides "copies" of our website at various hosts globally, which helps maintain a stable service, but also enables visitors to access the site faster by publishing the "copy" which is closer to their location, in addition to reducing network traffic to the Agilisys datacentre, where our current site is hosted.

5. Service performance summary is detailed in the dashboard below:

Gauges to monitor performance – January 2020

CoL

95%	100%	100%	88%	100%
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)	(Green)	(Green)	(Green)

CoLP

94%	100%	66%	88%	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)

1 x P1 for networking
was resolved outside of
SLA

6. Service improvements and highlights

6.1 Police Improvements include:

- Remediation of high and medium priority items in the 2019 IT Health Check (ITHC) progress: 43/52 High complete, 29/38 Medium complete.

- A joint workshop with CoLP and Agilisys is to be held in April to improve support of Pronto-Niche major incidents.

6.2 Corporation improvements include:

- New Service Desk communication templates to users about their requests were implemented in January and received positive feedback from users.

- The Windows Server 2008 programme completed with a minimal number of servers assessed as requiring extended support from Microsoft. Agilisys consolidated the virtual servers onto a reduced number of hosts to reduce CoL's licence costs.

- Reduced number of findings in the 2019 IT Health Check, which was the most comprehensive assessment of the estate ever carried out. IT set itself a challenge to review and remediate all findings including those assessed as low risk or advisory by the auditor and is on track to achieve this.

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- Cloudflare security software implemented to reduce risk of denial-of-service attacks against the websites.

- Autopilot and InTune tools being trialled and expected to provide improved management of user devices including for security.

- The new "CityGuest" and "CityPublic" wireless networks are currently being tested at the following sites, in preparation for all COL sites to receive this service by the end of March:

    - Guildhall North Wing
    - Guildhall West Wing
    - Guildhall Library
    - Central Business Library
    - Epping Forest -The Warren
    - DP World
    - City Information Centre

- CityGuest is for guests of the Corporation, for example external meeting attendees or staff from Institutional bodies, COLP etc. Once registered, users will be set up on this server for a prolonged period of time for convenience. This service can be used by COL or personal mobile devices or guest devices.

- CityPublic is a "short lease" service for members of the general public. Which means they will need to register more often (like in a coffee shop.)

- This is a service that customers have been asking for, for a significant period of time, in particular remote sites, where mobile signal or wireless internet is non-existent, such as the Ports and Epping Forest.

7   Partnership improvements include:

- Detailed discussions began in January 2020 to start service transition to the new contract which will complete by end of August.
- The new service will be characterised by:
    - New service management tool
    - Improvements in asset management, change management
    - Increased automation using robotics
    - New user self-service interface with IT services
    - Improved governance model to monitor and develop services
    - Focus on customer satisfaction

2019/20 IT Health Check (ITHC) for Public Service Network (PSN.)

8   City of London Police

The COLP ITHC was carried out by NTA Monitor, an approved PSN Health Check assessor. They grade the vulnerabilities as High, Medium, Low and Information/advisory.

All **High** and **Medium** vulnerabilities must be addressed via remediation to be compliant. Or the risk accepted, typically if the remediation will be delivered by in-flight or planned activity.

A table of the identified vulnerabilities and their remediation activity progress is below:

CoLP IT Health Check – Key Facts – 27 February 2020
Total - 110 (77% complete). 1 High remaining.

Category	Total	Closed	Left	% Left	Red	Amber	Green	Risk Accepted	Comments
High	52	51	1	2%	0	1	0	6	Contract renewal on hold causing delay to remediation
Medium	38	34	4	11%	1	1	2	4	15 closed since last week, 4 left
Low	18		18						
Info	2		2						

Highlights:
1. Drive to resolve all high and mediums issues as a priority. 2 highs closed. 51 mediums closed.
2. Only 1 high and 4 mediums left to complete.
3. Medium, Low and Info: This year's focus was high and medium.

Challenges:
1. Contract renewal for Oracle supplier
2. 1 high outstanding
3. 4 mediums
4. Risks accepted needs to be confirmed by C Tharby and GBH.

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Agilisys

9   City of London Corporation

The COL ITHC was carried out by MTI, an approved PSN Health Check assessor. They grade the vulnerabilities as Critical, High, Medium, Low and Information/advisory.

All **Critical** and **High** vulnerabilities must be addressed via remediation to be compliant. Or the risk accepted, typically if the remediation will be delivered by in-flight or planned activity.

As the technology environment is more settled following a pause after the transformation programmes, for this year's PSN, COL, Agilisys and Roc have pledged to address all vulnerabilities including medium and low.

We are ahead of schedule for addressing these and will have completed them by 6th March (COL's PSN certificate needs renewing in April.)

A table of the identified vulnerabilities and their remediation activity progress are below:

CoL IT Health Check – Key Facts – 26 February 2020
262 Total - 30 Left (89% complete). 1 Critical, 1 High left.

Category	Total	Closed	Left	% Left	Red	Amber	Green	Risk Accepted	Comments
Critical	3	2	1	33%	1	0	0	0	AVA-01 Patching – Legacy software
High	23	22	1	4%	0	1	0	2 (Citrix)	SW-01 Network Switches – In progress
Medium	162	141	21	13%	0	20	1	17	15 closed since last week, 21 left
Low	57	50	7	12%	0	4	3	5	3 closed since last week, 7 left
Info	17	17	0	0%	0	0	0	1	All completed

Highlights:
1. Drive to resolve all Critical and High issues as a priority. 2 Critical closed. 22 High closed.
2. Only 1 Critical and 1 High left to complete.
3. Medium, Low and Info: Previous year's focus was Critical and High. Closed 141 med, 50 low and 17 info already.

Challenges:
1. Intentional short timeframes. IT Operations teams committed to resolve on time. Many more closed than in previous years.
2. 1 Critical outstanding (AVA-01 – Patch Management). Good progress but patching legacy software is challenging.
3. 1 High outstanding (SW-01 – Networks Roc). Good progress , working with change team, to assure minimal impact.

Agilisys

Appendix 1 – Trend Graphs

CoL Priority Incident trending – 6-month view

P1 incidents – 6-month view
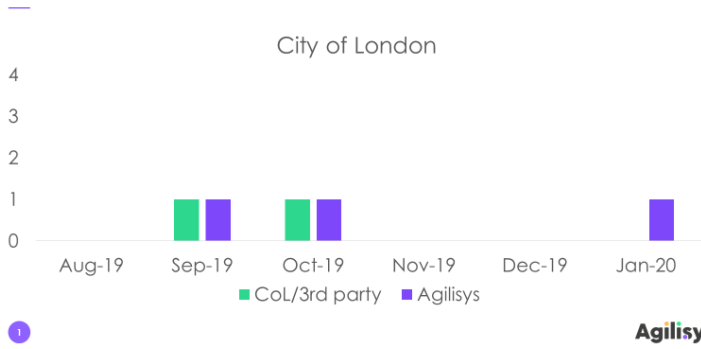
P2 incidents – 6-month view
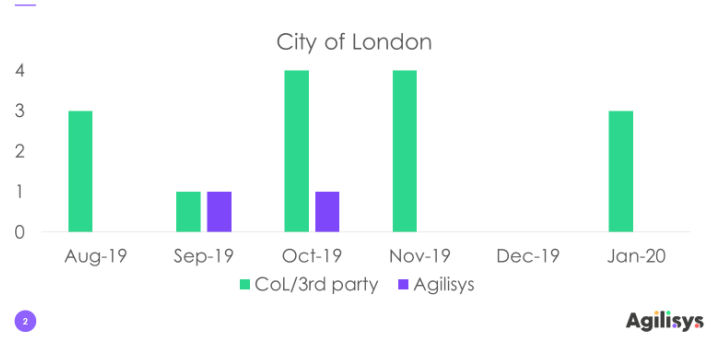
3 P1 incidents for Agilisys in 6 months
2 P2 incidents for Agilisys in 6 months

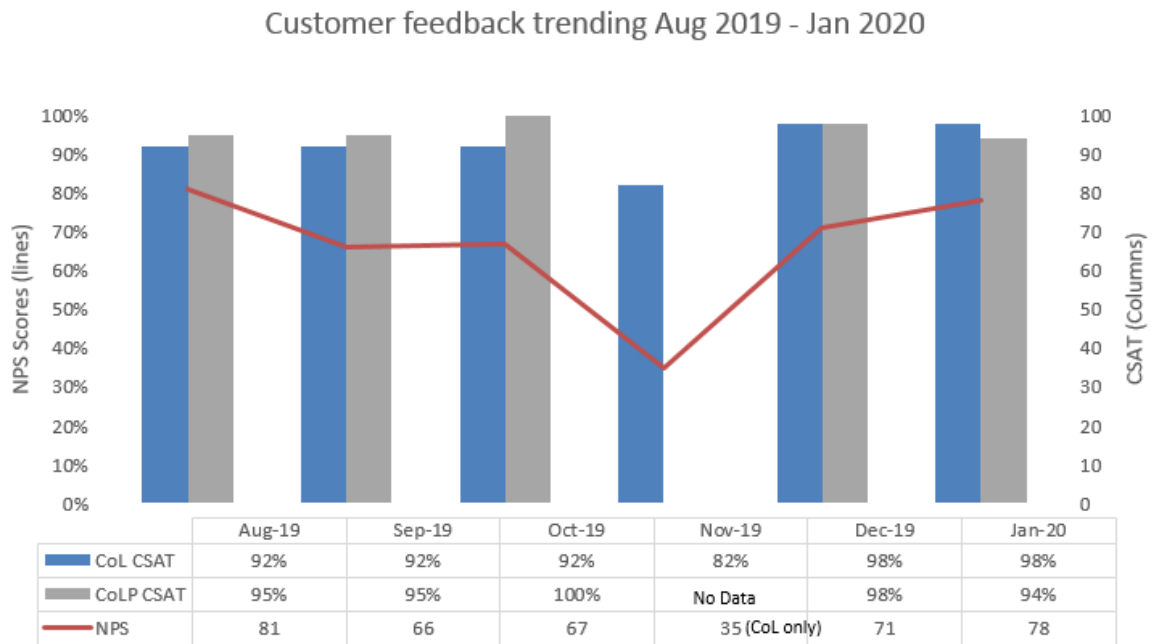**P1 incident trend – 6-month view**

P2 incident trend – 6-month view

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CoLP Priority Incident trending – 6-month view

P1 Incident Trend 6 month view

	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20
CoLP/3rd party	2	2	1	2	2	3
Agilisys	0	0	0	0	0	0

P1 Incident Trend 6 month view

Number of Incidents

CCTV	Email	Internet	Network	Pronto	IMS/DRS
1	1	3	6	1	1

P2 Incident Trend 6 month view

	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20
CoLP/3rd party	5	2	1	4	0	3
Agilisys	0	0	0	1	0	0

P2 Incident Trend 6 month view

Number of Incidents

Blackberry	Call recorder	CCTV	Email	Internet	Network	PND	Pronto	Public Folders	Telephony	VPN	Codes
1	1	1	2	1	1	1	3	1	1	1	1

0 P1 incidents in Agilisys control in 6 months
1 P2 incident in Agilisys control in 6 months

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Customer Satisfaction trend – 6-month view

Customer feedback trending Aug 2019 - Jan 2020

	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20
CoL CSAT	92%	92%	92%	82%	98%	98%
CoLP CSAT	95%	95%	100%	No Data	98%	94%
NPS	81	66	67	35 (CoL only)	71	78

There was no data available for CoLP in November 2019

Agenda Item 15

Committee(s)	Dated:
Digital Services Sub Committee – For Information	20th March 2020
Subject: IT Division Risk Update	**Public**
Report of: The Chamberlain	**For Information**
Report author: Samantha Kay – IT Business Manager	

Summary

All IT Risks are now in the Risk Management System, with 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.

Summary of the Corporate Risks

CR 16 – Information Security - Capital Bid has been approved for further IT Security Investment to maintain the level of maturity determined by Members that the organization requires.

 This is a dynamic risk area and whilst the maturity of 4 is the target, the control scores will go down as well as up as threats, risks and vulnerabilities change.

CR 29 – Information Management –

- New business intelligence dashboards continue to be developed for improved decision making by the Corporate Strategy and Performance team

- An Information Management Awareness campaign has now been completed

- Work is underway to review relevant staff roles that should have an information management competency added

- Protective Marking should be implemented at the end of April 2020

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. 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 decreased in score

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

Movement of Risks

4. Decrease in Score
   - CHB IT 001 – Power and Resilience – The following actions have been completed reducing the likelihood of the risk:
     o Monitoring on the air-conditioning units has been added to the Tier 1 comms rooms.
     o UPSs are being installed in the main 2 Guildhall Comms rooms; a capital bid has been approved based on the audit to install UPS across the estate where appropriate.
     o Improved processes and clarification of responsibilities between IT, Facilities Management and Skanska.

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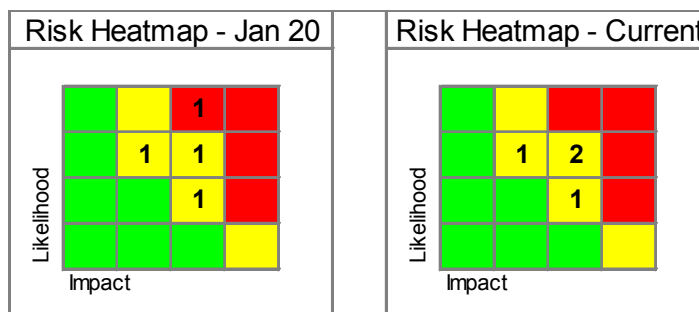
5. **Further breakdown of current Division risks:**

Major Impact:

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

⬆	Increase in No.
⬇	Decrease in No.
⬌	Static No.
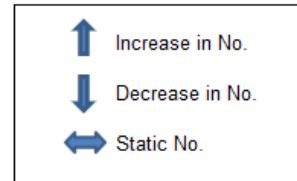
Serious Impact:

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

6. **Next steps**

- Ensuring that IT continue to manager 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.

Samantha Kay
IT Business Manager
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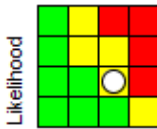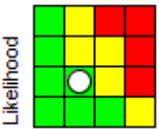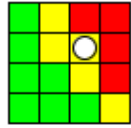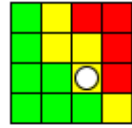
APPENDIX A - CHB IT All DEPARTMENTAL risks

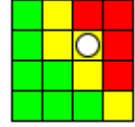| Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CHB IT 001 Resilience - Power and infrastructure. 30-Mar-2017 Sean Green	**Cause:** There 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. **Event:** There will be intermittent power outages of varying durations affecting these areas/buildings. **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		12	• Monitoring on the air-conditioning units has been added to the Tier 1 comms rooms leading to a reduction in the likelihood. • UPSs are being installed in the main 2 Guildhall Comms rooms; a capital bid has been approved based on the audit to install UPS across the estate where appropriate. **06 Feb 2020**		2	30-Jun-2020	Decreasing

4

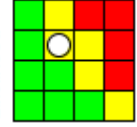| Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CHB IT 030 2020 - Managed Service Contract 11-Oct-2019 Sean Green	**Cause:** New IT Services contract being implemented to replace the current contract we have with Agilisys **Event:** The transition and implementation have delays beyond the end of the contract on the 31st August 2020 **Effect:** Additional costs/dual running costs incurred and potential reputational impact of any failures or service disruption during the Transition and Implementation	Likelihood / Impact	12	• The contract award has now been approved by Court of Common Council. • Phase 2 work streams have been formed and following the award can now start working with the supplier to plan transition activities. • A transition manager is now in place and working to develop a Transition plan **04 Feb 2020**	Likelihood / Impact	4	31-Aug-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. 30-Mar-2017 Sean Green	**Cause:** A lack of clear understanding of Business need for Services and Applications. No procedure in place for regular reviews with business. **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. **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.	Likelihood / Impact	8	• The likelihood has reduced to unlikely following the installation of the resilient circuit into the Guildhall, the completion of a Disaster Recovery Test has confirmed that the circuit is in place and working as required. • A rolling programme of DR tests has been developed and implemented. Risk will be continually reviewed alongside the DR test results. **04 Feb 2020**	Likelihood / Impact	4	31-Mar-2021	Constant

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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 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. **Event:** City of London receive a challenge around the contract for iTrent with MHR Ltd around the extension of contract. **Effect:** Legal challenge/court proceedings from a competitor to iTrent. CoL could be forced to issues 18 months termination notice before they are ready to implement a replacement product.	Likelihood / Impact	6	• Tender working group met on the 29th January 2020. • Request for quote to be published w/c 03.02.20 in order to get an external consultant in to help with the options appraisal. • This is expected to be presented by May 2020, when the tender working group is expected to meet again. • The consultancy is funded Funding by IT. **04 Feb 2020**	Likelihood / Impact	3	30-Jun-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

CR16 Information Security (formerly CHB IT 030) 10-May-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**: The City Corporation does not adequately prepare, maintain robust (and where appropriate improve) effective IT security systems and procedures. **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 €20M. Compliance enforcement action. Corruption of data. Reputational damage to Corporation as effective body.	Likelihood / Impact	12	• A capital bid has been approved to fund new security protection. • The Digital Services Sub-Committee Chairman and Deputy Chairman reviewed the roadmap and the capital bid prior to submission. **04 Feb 2020**	Likelihood / Impact	8 31-Dec-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
CR29 Information Management 08-Apr-2019 John Barradell	**Cause:** Lack of officer commitment and investment of the right resources into organisational information management systems and culture. **Event:** The City Corporation's IM Strategy (2018-2023) is not fully and effectively implemented **Effect:** • Not being able to use relevant information to draw insights and intelligence and support good decision-making • Vulnerability to personal data and other information rights breaches and non-compliance with possible ICO fines or other legal action • Waste of resources storing information beyond usefulness	*Likelihood* *Impact*	12	• New business intelligence dashboards continue to be developed for improved decision making by the Corporate Strategy and Performance team • An Information Management Awareness campaign starts from 19 February to 12 March. • Work has begun to review relevant staff roles that should have an information management competency added • A paper covering the benefits and proposed implementation of Protective was agreed by Summit in their December meeting • Capital bids submitted for information management investment to support the mitigation of this risk **17 Feb 2020**	*Likelihood* *Impact*	6	30-Jun-2020	Constant

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