



## Digital Services Sub (Finance) Committee

**Date:** THURSDAY, 4 NOVEMBER 2021  
**Time:** 3.00 pm  
**Venue:** COMMITTEE ROOM 2 - 2ND FLOOR WEST WING, GUILDHALL

**Members:** Randall Anderson (Chairman)  
Alderman Sir Peter Estlin (Deputy Chairman)  
Rehana Ameer  
Deputy Roger Chadwick  
John Chapman  
Alderman Prem Goyal  
Deputy Jamie Ingham Clark  
Andrew Mayer  
Jeremy Mayhew  
James Tumbridge  
Dawn Wright

**Enquiries:** **Antoinette Duhaney**  
[antoinette.duhaney@cityoflondon.gov.uk](mailto:antoinette.duhaney@cityoflondon.gov.uk)

### Accessing the virtual public meeting

Members of the public can observe this virtual public meeting via the below link:  
<https://youtu.be/rYUTq0smvPk>

A recording of the public meeting will be available via the above link following the end of the public meeting for up to one municipal year.

Online meeting recordings do not constitute the formal minutes of the meeting; minutes are written and are available on the City of London Corporation's website. Recordings may be edited, at the discretion of the proper officer, to remove any inappropriate material.

**John Barradell**  
**Town Clerk and Chief Executive**

# **AGENDA**

## **Public Items**

1. **APOLOGIES**

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

3 a) **Minutes of the previous meeting**

To agree the public minutes and non-public summary of the meeting held on 3rd September 2021.

**For Decision**  
(Pages 7 - 14)

b) **Outstanding actions from previous meetings**

**For Information**  
(Pages 15 - 16)

4. **FORWARD PLAN - NOVEMBER 2021**

**For Information**  
(Pages 17 - 18)

5. **MEMBERS IT PROVISION 2021/22**  
Report of the Chief Operating Officer.

**For Decision**  
(Pages 19 - 24)

6. **MOBILE DEVICE MANAGEMENT**  
Report of the Chief Operating Officer.

**For Decision**  
(Pages 25 - 28)

7. **ERP PROGRAMME UPDATE PRESENTATION**  
Presentation by the Human Resources Director.

**For Information**  
(Pages 29 - 34)

8. **IT DIVISION - IT SERVICE DELIVERY SUMMARY**  
Report of the Chief Operating Officer.
- For Information**  
(Pages 35 - 44)
9. **IT DIVISION RISK UPDATE - NOVEMBER 2021**  
Report of the Chief Operating Officer.
- For Information**  
(Pages 45 - 54)
10. **INFORMATION MANAGEMENT PROGRAMME PROGRESS UPDATE AND DEEP DIVE**  
Report of the Chief Operating Officer.
- For Information**  
(Pages 55 - 62)
11. **GATEWAY REPORTS**
- For Decision**
- 11 a) **Library Management System**  
Report of the Director of Community & Children's Services.
- For Decision**  
(Pages 63 - 76)
- 11 b) **Gateway 6: Committee Rooms Audio Visual Equipment**  
Report of the Chief Operating Officer.
- For Decision**  
(Pages 77 - 84)
- 11 c) **Gateway 6: Customer Relationship Management**  
Report of the Chief Operating Officer.
- For Decision**  
(Pages 85 - 96)
12. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB COMMITTEE**
13. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

14. **EXCLUSION OF THE PUBLIC**

MOTION - That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act.

**For Decision**

**Non-Public Items**

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

To agree the non-public minutes of the meeting held on 3rd September 2021.

**For Decision**  
(Pages 97 - 98)

16. **CYBER SECURITY MITIGATIONS**

Report of the Chief Operating Officer.

**For Information**  
(Pages 99 - 130)

17. **BACKUP RETENTION**

Report of the Chief Operating Officer.

**For Information**  
(Pages 131 - 136)

18. **CITY OF LONDON CORPORATION AND CITY OF LONDON POLICE: IT BUDGET & SAVINGS PRESENTATION**

Presentation by the Chief Operating Officer.

**For Information**  
(Pages 137 - 150)

19. **GATEWAY REPORTS**

19 a) **Gateway 5 Secure City Programme (SCP) – Video Management System (VMS)**

Joint report of the Commissioner, City of London Police and the Director of Environment.

**For Decision**  
(Pages 151 - 172)

20. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB COMMITTEE**
  
21. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE SUB COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

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## DIGITAL SERVICES SUB (FINANCE) COMMITTEE

Friday, 3 September 2021

Minutes of the meeting of the Digital Services Sub (Finance) Committee held at Guildhall, EC2 on Friday, 3 September 2021 at 11.00 am

### Present

#### Members:

Randall Anderson (Chairman)  
Alderman Sir Peter Estlin (Deputy Chairman)  
Deputy Roger Chadwick  
John Chapman  
Alderman Prem Goyal  
Andrew Mayer  
Jeremy Mayhew  
James Tumbridge  
Dawn Wright

#### Officers:

Gary Brailsford-Hart	- City of London Police
Lorraine Brook	- Town Clerk's Department
Anthony Byrne	- Chamberlain's Department
Jonathan Chapman	- Chamberlain's Department
Sam Collins	- Chamberlain's Department
Paul Dudley	- Chamberlain's Department
Antoinette Duhaney	- Town Clerk's Department
James Gibson	- Chamberlain's Department
Matt Gosden	- Chamberlain's Department
Sean Green	- Chamberlain's Department
Ruth Kocher	- Department of the Built Environment
Kerry Nicholls	- Town Clerk's Department
Melissa Richardson	- Town Clerk's Department
Bob Roberts	- Director of Communications
William Roberts	- Chamberlain's Department
Pauline Weaver	- City of London Police
Gemma White	- City of London Police

#### 1. APOLOGIES

Apologies for absence were received from Deputy Jamie Ingham Clark and Rehana Ameer.

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

There were no declarations.

3. **MINUTES**

RESOLVED - That the public minutes and non-public summary of the meeting held on 23 July 2021 be approved as an accurate record.

4. **OUTSTANDING ACTIONS**

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

Members highlighted recent changes to Mailchimp terms and conditions of use and ongoing concerns regarding GDPR audits/compliance and ensuring that Members were kept informed of any changes to ICO guidance

Officers agreed to provide regular updates on GDPR audits/compliance and how this risk was managed.

**RESOLVED –**

1. That the Sub-Committee notes the report.
2. That regular updates on GDPR audits/compliance and how this risk is managed are considered by this Sub Committee.

5. **FORWARD PLAN - SEPTEMBER 2021**

The Sub Committee considered a report of the Chief Operating Officer listing items of business or future meetings. Officers drew the Sub Committee's attention to the IT Priorities Plan which was for 2022/23 (not 2021/22)

RESOLVED – That the report be noted.

6. **WEB SITE REVIEW AND DEEP DIVE**

The Sub Committee considered a report of the Town Clerk updating Members on the action being taken to address teething issues following the launch of the new CoL website.

In response to questions and comments from Members, Officers advised that the link to Councillors information was now accessible from the home page but there were ongoing issues with poor search results which were being addressed. The key information on Councillors had evolved over time and editorial content could be altered quickly. However developmental issues took longer to resolve although efforts had been made to reduce the number of pages and also information that was no longer relevant. Officers gave assurances that issues raised would be pursued and encourages Members to flag any concerns so that these could be addressed.

RESOLVED – That the report be noted.

7. **DATA PROTECTION - 2020 ANNUAL REPORT**

The Sub Committee considered a report of the Comptroller regarding compliance with Data Protection requirements.



Members were concerned that a two-stage authentication process was not used and the potential risks of data breaches from lost or stolen devices. It was also suggested that future annual reports should specify which areas of legislation were applicable to provide the Sub Committee with assurances that all issues were addressed.

The Deputy Chairman requested a comparative analysis/benchmarking data for

- measuring engagement with the public/partners
- collecting and responding to feedback

In response, Officers stated that as soon as devices were reported lost/stolen they were disabled and newer devices made two-step authentication redundant. Officers were happy to develop a digital engagement dashboard and this item would be added to the outstanding actions report and the forward plan.

RESOLVED –

1. That the report be noted.
2. That Officers develop a digital engagement dashboard and add this item to outstanding actions and add to the forward plan.

8. **FREEDOM OF INFORMATION ACT/ENVIRONMENTAL INFORMATION REGULATIONS - 2020 ANNUAL REPORT**

The Sub Committee considered a report of the Comptroller regarding compliance with Freedom of Information Act and Environmental Information Regulations requirements.

Member suggested that future annual reports should specify which areas of legislation were applicable to provide the Sub Committee with assurances that all issues were addressed.

RESOLVED - That the report be noted.

9. **SOCIAL VALUE UPDATE**

The Committee considered a report of the Chief Operating Officer outlining the key tasks from the Social Value Workstream of the IT managed service contract with Agilisys.

In response to observations from Members, Officers reported that Social Value commitments fed into the overarching Digital Skills Strategy. Members also suggested that in order to avoid duplication, the Procurement Sub Committee should have the overall lead on social value in contracts.

Officers reiterated that this update was provided to Members as part of the Agilisys IT managed contract and the Chairman suggested that future updates should be on an exception basis only.

RESOLVED –

1. That the report be noted.
2. That future updates are provided on an exception basis only.

10. **MODERN.GOV APP PILOT EVALUATION**

The Sub Committee considered a report of the Chief Operating Officer presenting the findings from the Modern.Gov app.

Members discussed this report at length and the Deputy Chairman urged members to embrace digitisation which would create environmental and financial benefits. It was suggested that Option 7a should be supported in principle whilst recognising the resources and work required to support this huge transformational change.

The Deputy Chairman stated that if there was a consensus among Members to accelerate change, the tools and challenges to drive this should be identified as the new cohort of Members elected in March 2022 was the ideal opportunity to bring about change by embracing digitisation. These sentiments were echoed by other Members.

Officers reported that Modern.Gov had national and regional user forums and that Civica had been very responsive in addressing issues with app functionality including glitches with publishing papers to the app. An extranet pilot was also being rolled out to test access to committee papers where connectivity was an issue. However, at present, confidential papers could not be viewed via the Modern.Gov app.

Officers were having discussions with Civica about the democracy pages so that the branding was consistent with the wider CoL branding. Taking into consideration the past 18 months where meetings papers had been available electronically only for the most part, now was a good opportunity to collaborate with IT and maintain the momentum for driving for paper free meetings and promoting uptake of the Modern.Gov app.

The Deputy Chairman emphasised that a huge culture shift was required with full buy-in from the Sub Committee and the Policy and Resources Committee. The Chairman also stated that a clear presentation of costs versus benefits was required to inform the aspirations/vision and inclusive solutions and broad support for digitisation.

Some members had reservations about being too prescriptive as there would always be occasions when hard copies of papers were required and there would be negligible change in the short term.

The following comments/suggestions were made:

- Establishing a Member focus group to create a digitisation roadmap.
- Anecdotal evidence on the experiences of other Local Authorities which had paperfree meetings was requested.
- An improved digital offer and appropriate training were key to getting members on board.
- What resources were required to progress this major transformation

Officers stated that the debate had been informative and also highlighted the challenges before Members. Thus far, feedback on the Modern.Gov app had been broadly positive and Officers would continue to work collaboratively to progress the digitisation agenda notwithstanding these challenges. Officers were supportive of Option 7a, subject to evidence to justify this course of action.

RESOLVED –

1. That the report be noted.
2. That members support Option 7a, a move towards paperless committee meetings in principle, supported by the Modern.Gov app.
3. That a report including a clear presentation of costs versus benefits and challenges to digitisation be presented to the Sub Committee.

#### 11. **IT CORPORATE RISKS AND RISK APPETITE DEEP DIVE**

The Sub Committee considered a report of the Chief Operating Officer reviewing the 2 critical corporate IT risks.

RESOLVED –

1. That the report is noted.
2. That the following statement describing the Sub Committee's appetite for risk be approved:

*“The City Corporation will minimise unnecessary risk and manage residual risk to a level commensurate with its status as a public body so that:*

- *The risks have been properly identified and assessed.*
- *The risks will be appropriately managed, including the taking of appropriate actions and the regular review of risk(s).*

*The City of London Corporation will also positively decide to take risks in pursuit of its strategic aims where it has sufficient assurances that the potential benefits justify the level of risk to be taken.”*

**12. IT DIVISION RISK UPDATE**

The Sub Committee considered a report of the Chief Operating Officer regarding risk management.

In response to questions, Officers stated that IT budget savings would feed into the overall TOM savings and presented as a package. The proposed E5 licensing would provide enhanced security, telephony and Power BI analysis tools to all end users. However, due to the time limitations on the discounts offered, this would need to be progressed through urgency/delegated authority. Officers were happy to provide an update to the next meeting.

Officers advised that there would be full consultation with budget holders and there would be financial challenges for CoL and CoLP. The ultimate consequences and impact would be reflected in the new TOM presented by the Chief Operating Officer. Proposals would be reviewed during October 2021 prior to consideration during the next committee cycle and this would inform the Medium-Term Financial Plan.

RESOLVED –

1. That the report is noted.
2. That an update on IT budget savings be presented to the next meeting.

**13. IT DIVISION - IT SERVICE DELIVERY SUMMARY**

The Committee considered a report of the Chief Operating Officer regarding service level incidents.

RESOLVED – That the report be noted.

**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.

<b>Item Nos.</b>	<b>Paragraph(s) in Schedule 12A</b>
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17 - 21	3
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**17. NON-PUBLIC MINUTES**

The Sub-Committee approved the non-public minutes of the meeting held on 23 July 2021 as an accurate record.

18. **CYBER SECURITY**

The Sub Committee considered a report regarding Key Risk Indicators and Control Indicators for Cyber Security.

19. **GATEWAY REPORTS**

19.1 **In-Vehicle Audio/Video System**

The Sub Committee considered a report of the Police Commissioner regarding the provision of in-vehicle audio/video equipment.

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

There were no non-public questions.

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

There was one item of non-public business.

**The meeting ended at 12.38 pm**

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Chairman

**Contact Officer: Antoinette Duhaney  
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**Digital Services Sub (Finance) Committee – Outstanding Actions November 2021**

<b>Item</b>	<b>Meeting Date</b>	<b>Action and target for completion</b>	<b>Officer responsible</b>	<b>To be completed/ Next stage</b>	<b>Progress update</b>
1.	23 July 2021	<p>1. That Officers revisit technology solutions and consider which Department is best placed to manage streaming and recording of meetings going forward.</p> <p>2. That the Sub Committee's views be conveyed to the Policy and Resources Committee Chair and that the Policy and Resources Committee be requested to provide clarity on the direction of travel and future aspirations for technology solutions</p>			<p>Meeting in September with Assistant Town Clerk/Head of Committee Services booked</p> <p>Committee Clerk emailed with the question for the Committee Chair</p>
2.	3 September 2021	That regular updates on GDPR audits/compliance and how this risk is managed are considered by this Sub Committee.			
3.	3 September 2021	That Officers develop a digital engagement dashboard and add this item to outstanding actions and add to the forward plan.			

**Digital Services Sub (Finance) Committee – Outstanding Actions November 2021**

4.	3 September 2021	That a report including a clear presentation of costs versus benefits and challenges to digitisation be presented to the Sub Committee.			
5.	3 September 2021	That an update on IT budget savings be presented to the next meeting.			Update on agenda for 4 <sup>th</sup> November



## Forward Plan (5 Month View) – November 2021

<b>Report Title</b>	<b>Report Month</b>	<b>Category</b>
IT Digital Priorities Plan 22-23	January 2022	Strategic
Roadmap review and proposed capital bids	January 2022	Strategic
Compute and Storage review – Secure City and other needs	January 2022	Strategic
Deep Dive IT User Experience (Different Stakeholders)	January 2022	Strategic
Service Management Automation and Roadmap – part of roadmap discussion	January 2022	Strategic
Smart City Support from IT	January 2022	Strategic
Police Accommodation Technology Review – check when budget is being set and the technology scope agreed	March 2022	Strategic
IT Digital Services Strategic Roadmap Deep Dive	March 2022	Strategic
IT Business Plan and Balanced Scorecard	March 2022	Strategic
ERP Programme Deep Dive	March 2022	Strategic
IT Service Model 2023 Review	March 2022	Strategic
Digital and Smart City Deep Dive	May 2022	Strategic
Digital and Technology Corporate Risks Deep Dive	May 2022	Operational
IT Security Deep Dive	May 2022	Operational



<b>Committee</b> <b>Digital Services Sub Committee</b>	<b>Dated:</b> 4th November 2021
<b>Subject:</b> Members IT Provision 2021/22	<b>Public</b>
<b>Which outcomes in the City Corporation's Corporate Plan does this proposal aim to impact directly?</b>	<b>9</b>
<b>Does this proposal require extra revenue and/or capital spending?</b>	<b>N</b>
<b>If so, how much?</b>	<b>£</b>
<b>What is the source of Funding?</b>	<b>N/A</b>
<b>Has this Funding Source been agreed with the Chamberlain's Department?</b>	<b>N/A</b>
<b>Report of:</b> Chief Operating Officer	<b>For Decision</b>
<b>Report author:</b> Sam Collins	

## Summary

This paper outlines the proposal for Members IT Provision from 2021/22, to ensure that all existing and new members are offered the latest IT equipment to support the fulfilment of their duties. The principle change in the policy is that where Members require a corporate device, existing Lenovo Laptops and Apple iPads will be replaced with a single Microsoft Surface tablet device. This will bring the Members' IT Provision in line with the current officer Device Refresh Project, providing a higher quality and more flexible device, as well as serving to simplify and standardise IT support. A separate capital project request will be submitted in 2021/22 to fund the replacement of Member devices.

## Recommendation(s)

Members are asked to approve the revised Members IT Provision Policy found in appendix one of this report.

## Main Report

### 1. Background

- 1.1. The City of London Corporation's elected Members represent a wide range of professions and City interests and take the major strategic decisions that direct the work of the City Corporation.
- 1.2. The IT Division is charged with the provision of IT equipment, services and support to Members in the effective fulfilment of their duties.
- 1.3. In 2020 Members approved a new policy for Members IT Provision, which facilitated a reduction of £40k from the Member's IT equipment budget. The principal areas for the savings were identified as;

- The application of a 4-year device refresh to bring the approach in line with officers, which reduced the purchase of new laptops, iPads, Mobile phones. This also reflected an increasing trend for Members to use their own IT equipment;
- A tighter management of O2 line rental and call charges;
- A reduction in funding the cost of Members' broadband provision; and
- A reduction in printer provision.

## **2. Members IT Provision 2021/22**

- 2.1. In 2017/18 the IT Transformation Programme delivered a significant shift from the use of corporate desktop PCs, to corporate laptops. The current Device Refresh Project, which focusses on officer devices, seeks to deliver a further shift from corporate laptops to corporate tablet devices, principally Microsoft Surface Pros.
- 2.2. This provides an opportunity to also improve the IT Provision for Members and ensure that the City Corporation's Members are provided with the latest technology and most flexible devices to support the effective fulfilment of their duties.
- 2.3. The introduction of the Microsoft tablet devices as the standard corporate devices, will provide officers and Members with the flexibility and mobility of a touchscreen tablet, but the full functionality of a laptop when combined with the appropriate keyboard attachment. As such, this new approach will give officers and Members much greater flexibility and mobility in their working style. This will also allow for the retirement of iPads from the corporate IT estate.
- 2.4. The new device approach would also support the move to paperless committees, as the Modern.Gov application is available on Windows devices, as well as Apple devices. Members would have the option to utilise the Surface device as a touchscreen tablet (landscape or portrait) or use it more like a laptop, with the keyboard attachment, mouse etc.
- 2.5. For the IT Division, the removal of Apple iPads from the IT estate will both simplify and standardise support for the devices and represent a corporate financial saving as the Windows 10 laptop and Apple iPad, will be replaced by a single, high quality Windows 10 tablet device.
- 2.6. The IT Division will be seeking Capital Project funding for the replacement of all existing Member Laptops and iPads with the new Microsoft Surface tablets as part of the 2021/22 Capital Programme.

### **Sam Collins**

Head of Change and Engagement,  
IT Division

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## Appendix 1: Member's IT Provision Policy City of London Corporation (COL)

### Version Control:

Version	Date	Comment	Amended by
0.1	03/07/19	Created	Sam Collins
1.0	03/09/20	Redraft	Sam Collins
1.1	23/09/21	Updated	Sam Collins

### Approval:

Approvers	Signature	Date
Sam Collins		03/09/20
Sean Green		



### **Purpose of the Policy**

The purpose of this policy is to define the provision and support of IT and Telephony Equipment for the City of London Corporation's elected Members.

'Elected Members' are defined as elected Members of the Court of Common Council. This policy does not apply to Co-Opted Members including Verderers

### **Scope of the Policy**

The intention of this policy is to outline the IT services and equipment that can reasonably be expected by Members, to assist Members in their duties.

### **Policy Renewal**

This policy will be reviewed annually or sooner if there is a valid business reason.

### **Policy Principles**

**This policy adheres to the following principles;**

#### **Guildhall IT Facilities and Telephones**

- Desktop PCs are available with full Microsoft Office software, including e-mail and Internet access, in the Members' IT Suite, adjacent to the Members' Reading Room on the third floor of the Guildhall West Wing, Chairmen's IT Room on the second floor of the Guildhall West Wing and the Members' IT Room on the Mezzanine Floor.
- The PCs and telephones in the Members' IT Suite, are to assist Members in their duties and must not, as a matter of course, be used for other purposes.
- It is the intention of the City Corporation for all Members to have access to appropriate IT facilities. Members may choose to utilise personal devices or select from the following;
  - Windows 10 Surface Tablet – a touchscreen portable device for viewing electronic documentation and accessing corporate email. Available with a keyboard attachment to facilitate laptop style functionality.
  - Apple SE Smart Phone or equivalent model – a pocket sized device which provides wireless communication to the corporate environment allowing the user to make and receive phones calls, send and receive emails, update their diary and browse the internet.

- Alternatively, Members are also able to use their own IT equipment, though are required to use a CoL e-mail address for all Member duties.
- Standard Feature Mobile phones (non-Smart Phones) are not provided by the City Corporation.
- Members' IT Equipment will be replaced if lost, stolen, faulty, broken or out of support. Otherwise Members' IT Equipment will be replaced or upgraded every 4 years. A request for new or upgraded IT Equipment that does not meet the criteria, will be at the discretion of the IT Director.
- Associated line rental costs and bolt on calling plans for non-UK Travel will be paid by the IT Division but should only be requested where this is required to assist Members in their duties.
- Printers, replacement print cartridges and home broadband are not included in the IT Provision for new Members and new requests from existing Members will not be considered.
- Additional peripherals, i.e. cases; headphones; extra chargers; charging cables etc are no longer able to be provided.
- Members' City of London.gov.uk address will be displayed on the Corporation's webpages. In respect of personal email addresses, these cannot be used by City Corporation or Members in relation to any City Corporation business.

### **Member's IT Support**

- IT Support will be made available to assist Members in their duties. IT Support should not be utilised, as a matter of course, for personal equipment, software, accounts or other services unrelated to Members' duties.
- The Technology Support Team are available to address issues with the IT equipment provided, and support Members to make best use of technology.
- A drop-in or appointment service is provided at Guildhall between 9 am and 5 pm, Monday to Friday, excluding Bank and Public Holidays. Where in-person support is required Members are encouraged to use this service. Home visits will only be made in exceptional circumstances and will be limited to properties within the City boundary.
- The Technology Support Team can also be contacted by e-mail or telephone between 9 am and 5 pm, Monday to Friday, excluding Bank and Public Holidays.
- The IT Service Desk can also be contacted by telephone and operates 24x7.

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<b>Committee</b> <b>Digital Services Sub Committee</b>	<b>Dated:</b> 4 <sup>th</sup> November 2021
<b>Subject:</b> Mobile Device Management	<b>Public</b>
<b>Which outcomes in the City Corporation's Corporate Plan does this proposal aim to impact directly?</b>	<b>9</b>
<b>Does this proposal require extra revenue and/or capital spending?</b>	<b>N</b>
<b>If so, how much?</b>	<b>£</b>
<b>What is the source of Funding?</b>	<b>N/A</b>
<b>Has this Funding Source been agreed with the Chamberlain's Department?</b>	<b>N/A</b>
<b>Report of:</b> Chief Operating Officer	<b>For Decision</b>
<b>Report author:</b> Sam Collins	

## Summary

This paper proposes an enhancement to the management of corporate mobile devices (Apple iPhones and Apple iPads) to introduce corporately managed Apple IDs. This would allow the City Corporation to better manage security updates, manage a corporate mobile applications list and move to a fully managed storage model utilising corporate applications such as Outlook and OneDrive, rather than device storage or personal iCloud storage. This move would also allow for the better management and tracking of these devices, including the deployment of security updates, through the corporate mobile device management tool (Intune).

## Recommendation(s)

Members are asked to agree the following recommendation:

1. The IT Division moves to corporately managed Apple IDs, which would support a move towards a better managed approach for corporate mobile devices.

*And discuss*

2. Members' views are sought on whether these changes should be implemented for all City Corporation device owners, or restricted to officers' devices only.

## **Main Report**

### **Background**

1. The City of London Corporation utilises Apple iPhones and iPads as the corporate mobile devices for both officers and Members. There are currently more than 1000 iPhones and iPads in use.
2. In January 2021 the support for Mobile devices was brought in-house and is currently provided by the Technology Support Team. Mobile Support was previously provided by Agilisys as part of the Managed IT Service Contract. In May 2021 the IT Division implemented a new provisioning model, including a self-service ordering process for officers. The intention was that mobile devices could be pre-configured by O2 and delivered directly to staff members office or home addresses.
3. In providing support for corporate mobile devices, the Technology Support Team have encountered challenges in being able to effectively support and manage the devices, principally around the current use of unmanaged Apple IDs.

### **Current Position**

4. In setting up a new Apple Device, officers are currently required to log in with an Apple ID which leads to a more complicated set up process. This also poses a number of challenges for mobile support if a password is forgotten or a device is passed to a new member of staff without the previous owner logging out. The Technology Support Team has no means to reset the password or unlock the devices, and the only option is for officers to contact Apple directly. Where officers are unable to unlock devices, they can be rendered unusable.
5. The use of Apple IDs allows officers to backup all data to their personal iCloud. This cannot be supported by the Technology Support team and therefore the storage is not managed. There is also a risk that corporate data will be saved in personal iCloud storage.
6. Apple IDs also allow officers to download any application from the App Store regardless of whether they are work related or otherwise. This is in stark contrast to corporate Windows 10 devices, where the organisation moved to a managed desktop in 2017. At present there are a large number of non-work related mobile applications that are installed on corporate iPads, including FIFA Mobile, Pokemon Go and the IKEA mobile app.
7. In September 2021 Apple identified a 'zero day' threat which required all Apple devices to upgrade to the latest iOS version (14.8) to mitigate the threat. Without the use of managed Apple IDs, this required all device owners to upgrade their own devices, which has caused delays to all devices becoming compliant.

8. Under the current configuration, officers can choose not to configure their devices with the Company Portal. This means that the device is not enrolled in the organisation's mobile device management tool (Intune), which makes the effective asset management and tracking of devices very difficult.

## **Proposal**

9. The IT Division proposes to move to corporately managed Apple IDs, which would support a move towards a better managed approach for corporate mobile devices. This would not only simplify the set up process, but would also prevent devices from becoming blocked and allow essential security updates to be remotely deployed to devices. It would also restrict the use of personal iCloud storage and non-work related mobile applications. All devices would be automatically enrolled to the mobile device management software, making them easier to track and manage as corporate assets.
10. In implementing this new management approach, there would be two key activities required to enable the change;
  - a. Device owners would be required to copy any data (photos, documents, contacts) saved on the device into one of the corporately managed mobile applications such as Outlook or OneDrive.
  - b. Device owners would need to request that any existing applications are added to the approved applications list, subject to appropriate business justification. These would then be made available for download through the Company Portal. Any applications that are not corporately approved would be removed from devices once the policy change is implemented.
11. Sufficient notice (2-3 months) would be given to allow device owners to make these changes, with guidance documents made available. Where device owners are unable to make these changes themselves, the Technology Support Team would organise a series of drop in sessions where they would be available to assist.

## **Options**

12. Members' support is sought to take this important step in enabling a better managed mobile device estate.
13. A key decision is required on whether this policy change should be applied for all corporate Apple devices, or whether this should be restricted to officers only, with elected Members continuing with the current device management approach.

## **Sam Collins**

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# ERP PROJECT

City of London Corporation

Sonia Virdee and Siobhan Flynn



# Background

The replacement of the current HR, Payroll and Finance systems (Midland HR and Oracle) into a single ERP solution primarily for the Corporation and its Institutional Departments in order to align with the new Target Operating Model (TOM).

As the target operating model design has progressed and thinking on how enabling services will work, it is clear that the tools needed to support a step change in culture and behaviours.

Freeing up resource for responsive value-added services, and agility in financial insight/advice. This replacement will enable the City to be “a first-class hub for financial and professional services”, as well as provide the capability “to align teams and to provide those “enabling services to help the whole organisation to run effectively.”

A provision has been given to include the City of London Police (COLP) if they wish to move their current Payroll / HR System (Capita) to form a joint solution. This would need to include r enable the full functionality of COLP’s Duties Management System.

# Options Appraisal Summary

Page 31



Migrate to a fully integrated HR, Payroll, Finance and procurement solution whilst also improving the integrations with line of business systems and sun-set those systems that are no longer required. CoLP would then look to be onboarded 3 years after the initial implementation to use HR and manager / employee self service

# ERP Programme Phases and Approach

Discover	Define & Develop	Procure & Prepare	Implement	Embed	Scale, Improve, Refocus
<ul style="list-style-type: none"> <li>Understanding the as-is and your current Performance and pain-points</li> <li>Building your case for change</li> </ul>	<ul style="list-style-type: none"> <li>Defining your future organisational direction</li> <li>Defining Service and Process Improvement priorities</li> <li>Developing your functional, reporting, technical and interface requirements</li> <li>Developing your principles and requirements of your Implementation approach</li> <li>Gaining Commitment to your Outline Business Case</li> <li>Preparing to go to market</li> </ul>	<ul style="list-style-type: none"> <li>Procuring new suppliers</li> <li>Making key Organisational Design Decisions that will influence system design and configuration</li> <li>Mapping your transformation journey</li> <li>Preparing your data for migration</li> <li>Preparing your People for Change</li> <li>Preparing to measure your benefits</li> <li>Putting all necessary plans and approaches in place</li> <li>Identifying and mobilising Implementation Resources</li> <li>Gaining final approval to proceed</li> </ul>	<ul style="list-style-type: none"> <li>Overall Assurance of Programme success</li> <li>Strategic &amp; Service Readiness, including transitioning to new Systems Operating Model and delivering identified Service Improvements</li> <li>People Readiness</li> <li>Process Readiness</li> <li>Systems, Data and Reporting Readiness</li> <li>Developing Benefits evidence</li> <li>Ensuring Information Compliance</li> <li>Assuring Programme Delivery</li> <li>Assuring Commercial Performance</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring adoption of the new system and new processes</li> <li>Embedding and Improving your new Operating Model</li> <li>Realising benefits</li> </ul>	<ul style="list-style-type: none"> <li>Measuring outcomes delivered and identifying any gaps</li> <li>Reflecting on lessons learned to inform future transformations</li> <li>Agreeing your next areas of focus for Transformation</li> </ul>



## Discover Phase:

Firstly “Discovery” , understanding the as-is and painpoints, building case for change, (health check on back office systems, understanding of running cost of back office systems, procurement matrix, potential roadmap)

Secondly, an

## Outline Business Case

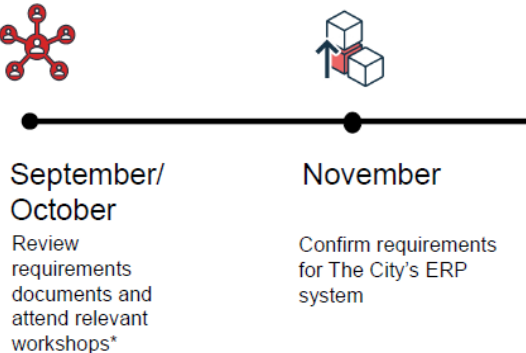
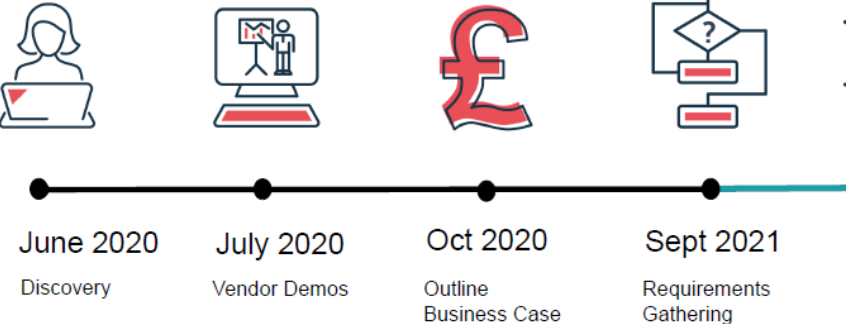
Original proposal, to deliver an integrated suite of business applications with a common process and data model, covering broad and deep operational end-to-end processes and reporting, but assumed use of Oracle Cloud. The project design built on known rather than using an opportunity to throw wide the doors.

As we introduce the ERP system it would be a lost opportunity, if we did not pursue, and properly resource the change in behaviours needed to tackle a deeply embedded status quo; learning lessons from the Oracle upgrade and property manager, which added expensive customisations to ultimately retrofit systems to embedded ways of doing things.

# Define and Develop

Timeline We are currently at Requirements Gathering Phase

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# Agenda Item 8

<b>Committee(s)</b>	<b>Dated:</b>
Digital Services Sub-Committee – For Information	<b>4<sup>th</sup> November 2021</b>
<b>Subject:</b> IT Division – IT Service Delivery Summary	<b>Public</b>
<b>Report of:</b> The Chief Operating Officer	<b>For Information</b>
<b>Report author:</b> Eugene O’Driscoll, Client Director and Matt Gosden Deputy IT Director	

## Summary

There was a total of 3 P1 and 2 P2 incidents for the City of London Corporation and City of London Police in September 2021. 4 of the incidents were caused by external factors such as supplier issues outside of the direct control of Agilisys.

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

- There was 1 x P1 incident for City of London Corporation and 2 P1s for City of London Police.
- There were 0 x P2 incidents for the City of London Corporation and 2 for City of London Police.
- **93.75%** of users reported a satisfactory or very satisfactory experience of the City of London Service Desk and **98.53%** of users reported the same for the City of London Police Service Desk.

## **Recommendations**

*Members are asked to note this report*

## Main Report

### Service levels and exceptions

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

There were 2 P1 incidents

Affected Service	Duration	Reason	Resolution	Problem Management plan
Network Drives	00:20	The root cause is unknown	TBA as shared drives became available without any engineer intervention	Addressed under CoLP IT Problem management
Mobiles	01:26	Cached log files filled up disk space	Disk extended and server restarted	Addressed under CoLP IT Problem management

#### 2. City of London Police (CoLP) P2 Incidents

There were 2 P2 incidents

Affected Service	Duration	Reason	Resolution	Problem Management plan
Pronto forms	00:50	TBA by 3 <sup>rd</sup> party Motorola	TBA. Resolved by 3 <sup>rd</sup> party Motorola	Addressed under CoL IT Supplier management
Network	04:54	UPS failure	UPS test function was used as a workaround	N/A

### 3. City of London (CoL) P1 incidents

There was 1 P1 incident in September

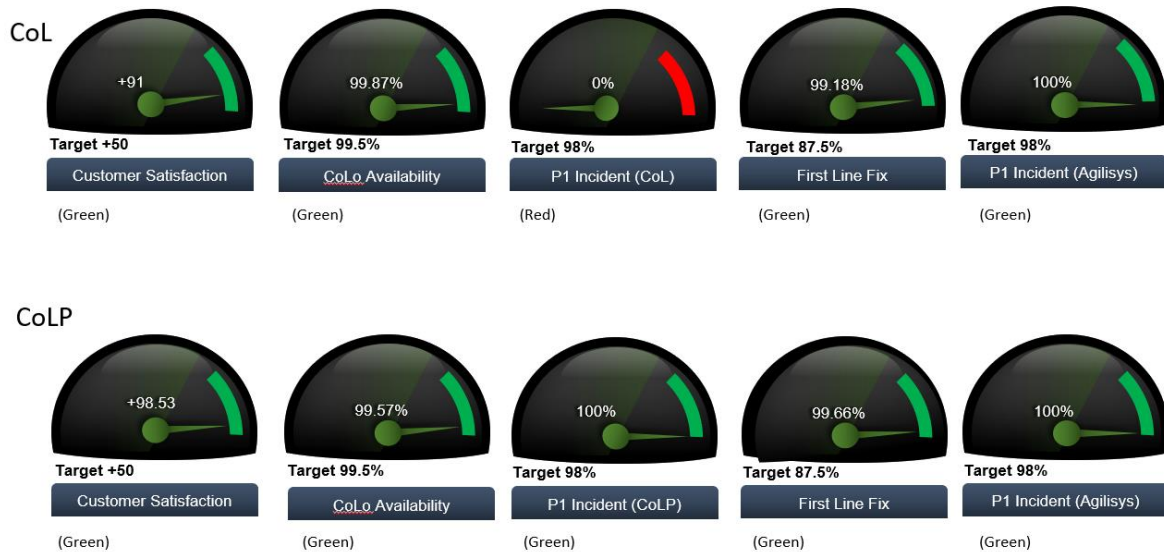
Affected Service	Duration	Reason	Resolution	Problem Management plan
London Councils network	14:37	Virgin Media experienced an outage	Virgin Media reported that no action was taken to restore service	Addressed under CoL IT Supplier management

### 4. City of London P2 Incidents

There were no P2 incidents in September

Service performance summary is detailed in the dashboard below:

#### Gauges to monitor performance – September 2021



## **Service improvements and highlights**

- Work continues between HR, CoLP IT and Agilisys on the Starters-Movers-Leavers process to review and streamline the process at City of London Police.
- Agilisys assisted CoL and CoLP IT to relaunch the IT Digital Services Portal, where users can log their incidents and requests online. This is part of the commitment by CoL & CoLP It to achieve a 90% Channel Shift.
- Following a Business Support survey at CoLP, a commitment has been made on improving call management by issuing a resolver guide and working with CoL and CoLP IT on end user knowledge base and FAQs to set expectations and raise awareness on IT services.

Eugene O'Driscoll  
Client Director Agilisys  
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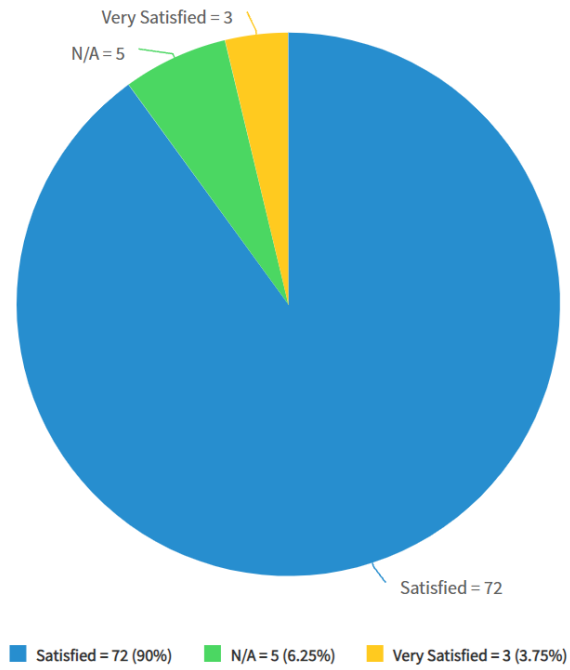
Matt Gosden  
Deputy IT Director  
[Matt.Gosden@cityoflondon.gov.uk](mailto:Matt.Gosden@cityoflondon.gov.uk)

## **Appendices**

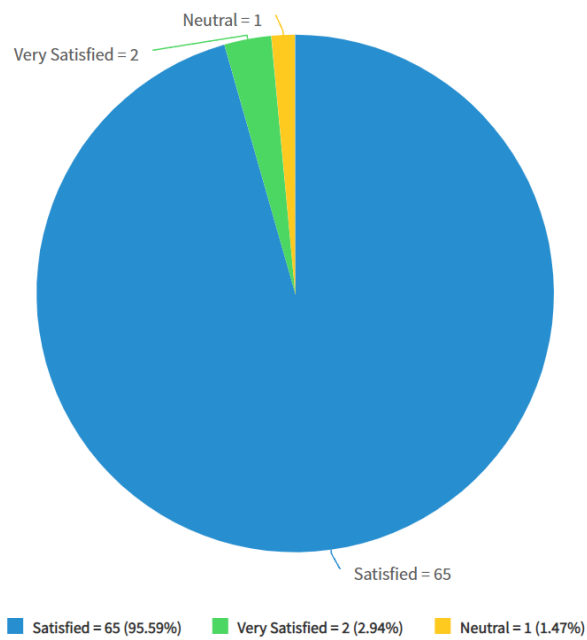
Appendix 1 – Trend Graphs

## Appendix 1 – Trend Graphs

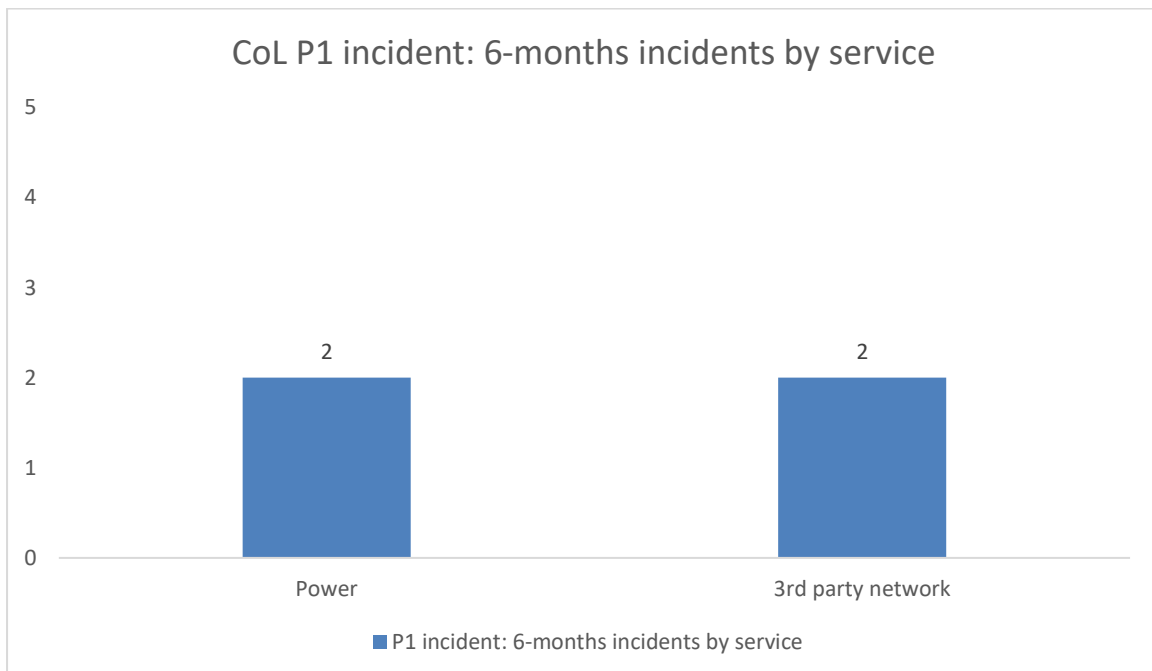
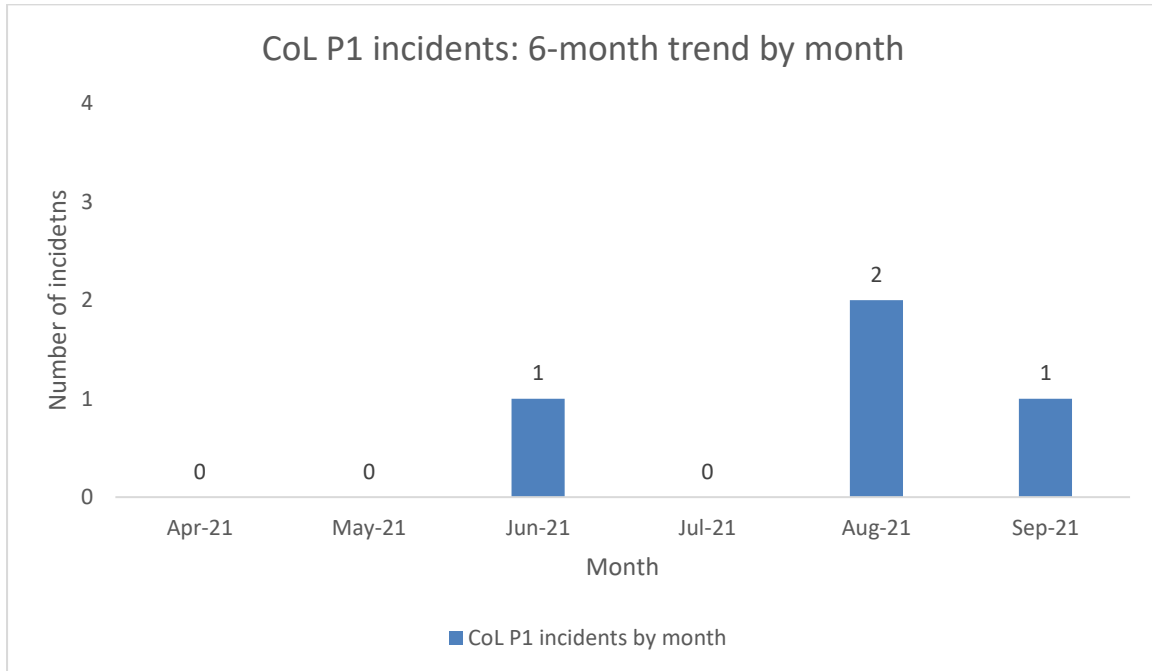
### CoL Customer Satisfaction



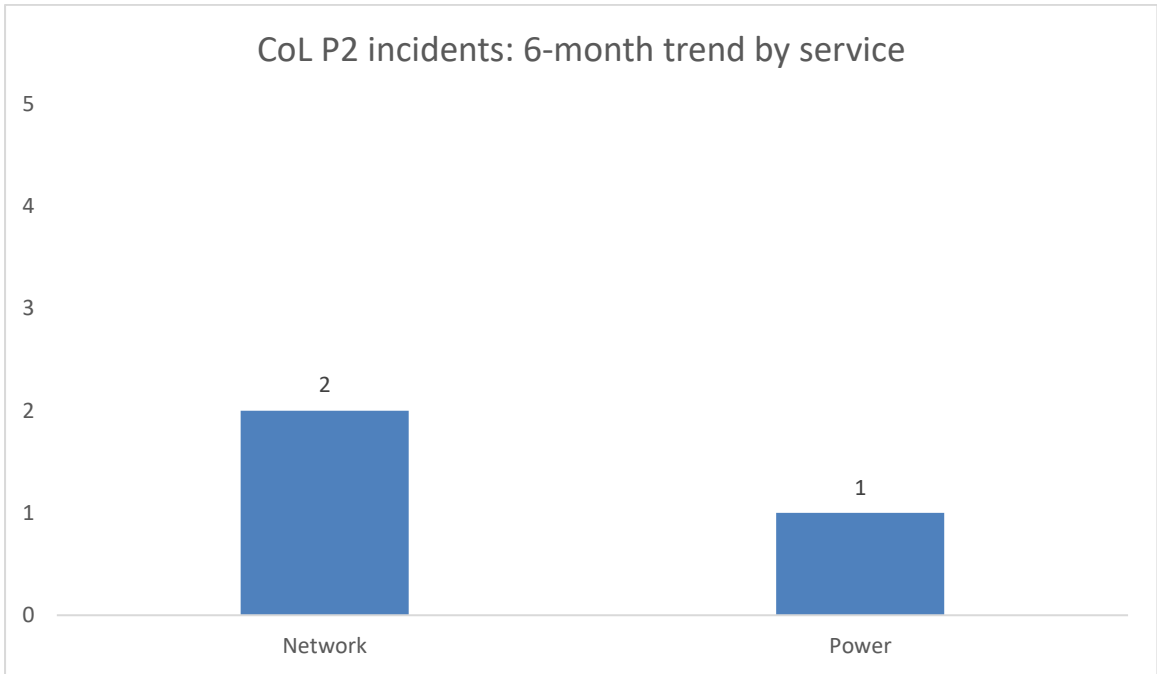
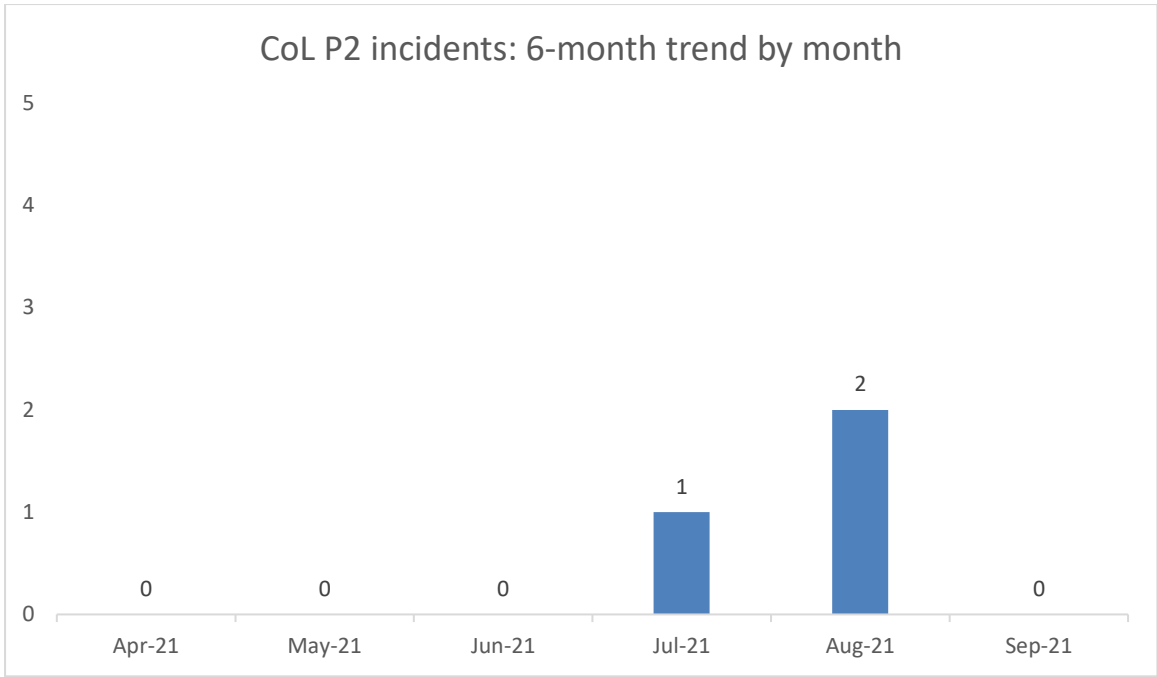
### CoLP Customer Satisfaction



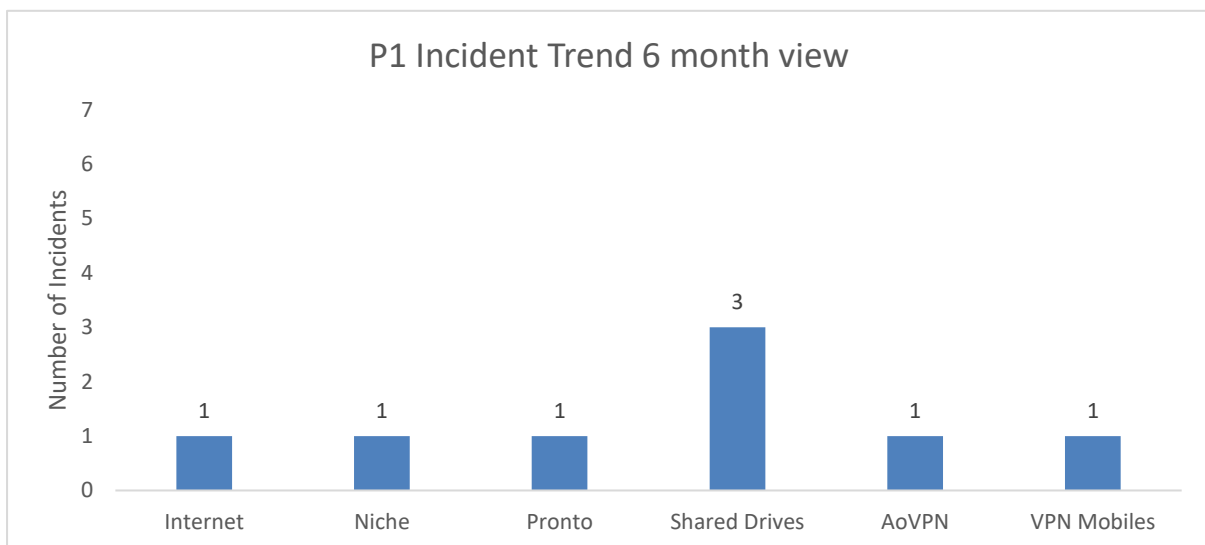
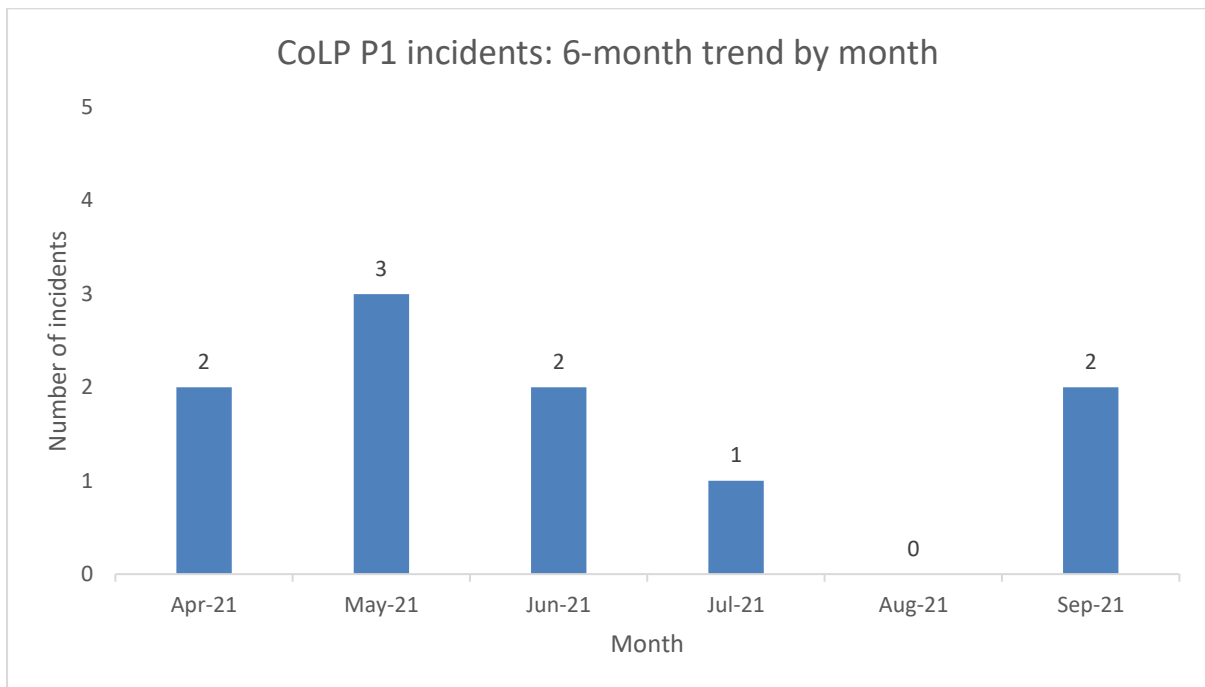
## CoL Priority Incident trending – 6-month view

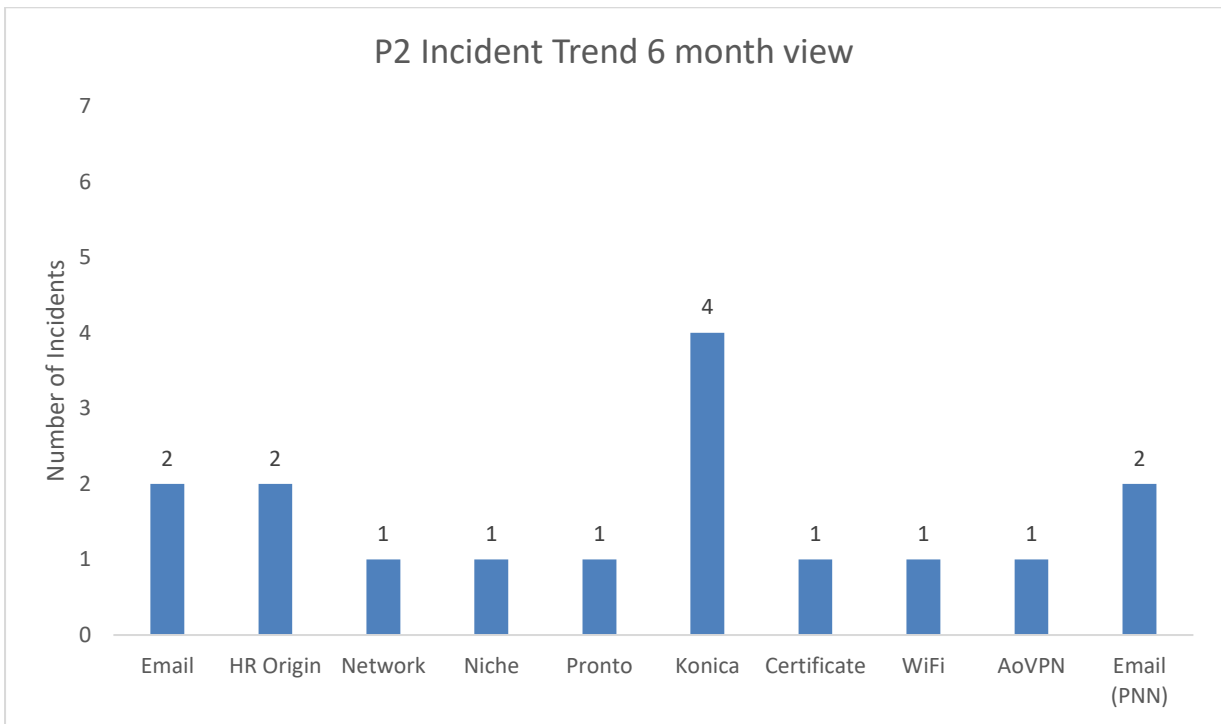
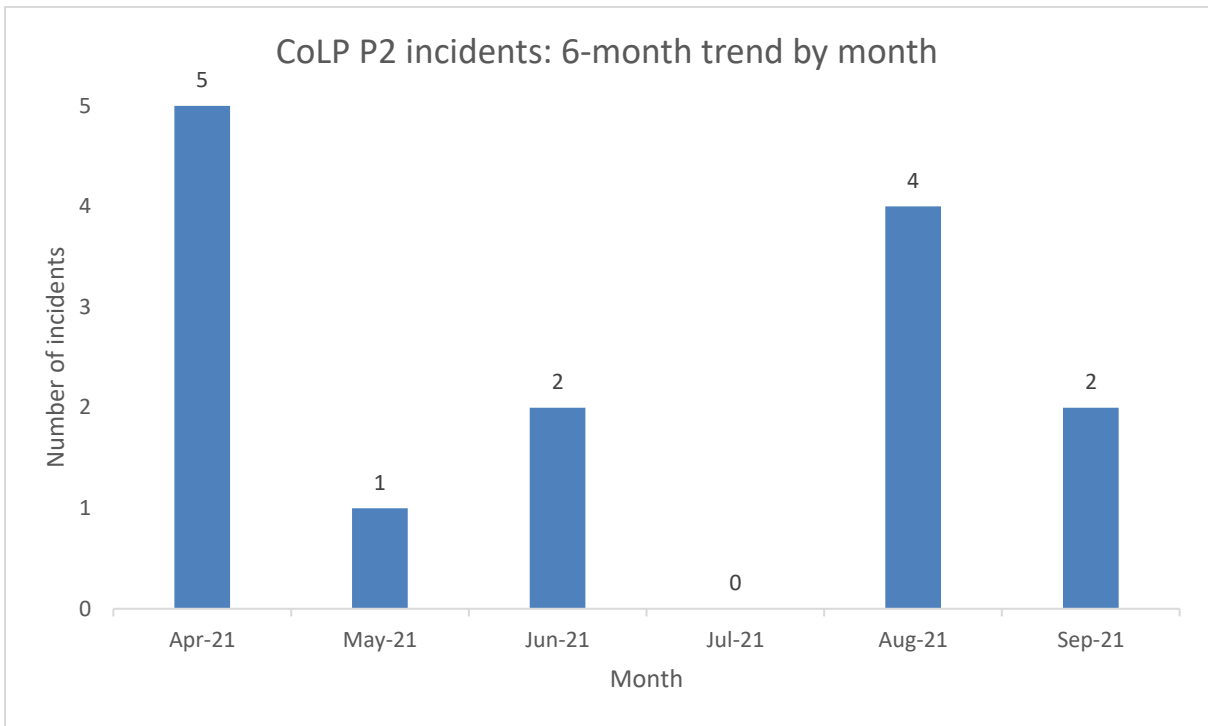






## CoLP Priority Incident trending – 6-month view





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# Agenda Item 9

<b>Committee(s)</b>	<b>Dated:</b>
Digital Services Sub Committee – For Information	4 <sup>th</sup> November 2021
<b>Subject:</b> IT Division Risk Update – November 2021	<b>Public</b>
<b>Report of:</b> The Chief Operating Officer	<b>For Information</b>
<b>Report author:</b> 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 is currently one Corporate RED risk and one Departmental Red risk. There are no extreme impact risks, there are 4 major impact, and no Serious or Minor impact risks.

IT currently holds 2 risks on the Corporate Risk Register and 2 risks on the Departmental risk register

## Summary of the Corporate Risks

### CR 16 – Information Security

- We are seeing regular malware being delivered by email every week which is not being captured by the current security products. We have had agreement to upgrade our MS Licences from E3 to E5 which will help mitigate this.
- The Results of the IT Health Check have been received and a Remediation Action Plan (RAP) has been developed. Remediation activities have commenced.
- Work on a simulated cyber-attack is being planned with the IT Security Team for completion by the end of the calendar year.

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 updated An Information Management Asset register has been populated for the organisation.
- Plans are being developed for moving unstructured data from Shared Drives to SharePoint is being developed

- There is no dedicated resources to support Information Management and data analysis in the organisation. Unless resourcing is reviewed under the new TOM this situation will not change

### **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 of Departmental Risks**

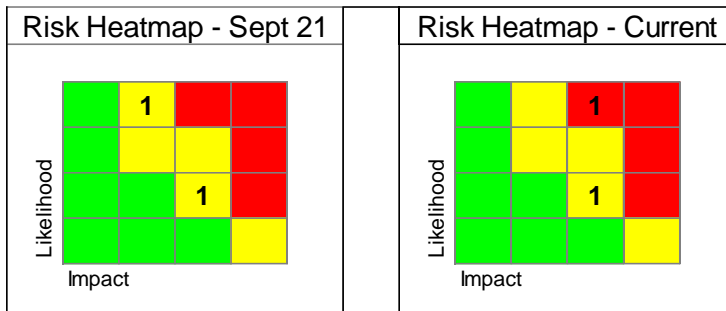
2. The IT Division currently holds 2 Departmental risks, one of which is scored as Red. All risks have owners, clear actions, with target dates to enable focussed management, tracking and regular and consistent reviews.
3. These risks are as follows:
  - CHB IT 004 Business Continuity – Amber
  - CHB IT 031 IT Revenue Budget - Red

Note: details can be reviewed in the appendix.

#### **Current status**

4. Since the last report, the IT Risk Register has been closely monitored and actions have been completed to continue the work to mitigate the risks, however, there has been no movement of scores in this period.

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



### Movement of Risks

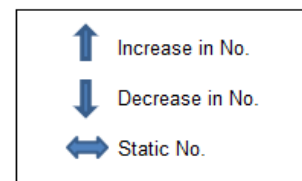
Following constant review there has been an increase in the risk scoring of one Corporate and One Departmental Risk since the last report.

- CR 16 – Information Security – This risk increased in likelihood following the increase in Malware attacks that are not being intercepted but the current security products.
- CHB IT 031 IT Revenue Budget – This risk increased in impact from Serious to Major, following a deeper scrutiny of the revenue budget and the reality of the savings targets being met

### 5. Further breakdown of current Departmental risks:

#### Major Impact:

	Sept 21	Current	Trend
Risks with “likely” likelihood and “major” impact:	0	1	↑
Risks with “possible” likelihood and “major” impact:	0	0	↔
Risks with “Unlikely” likelihood and “major” impact:	1	1	↔



#### Serious Impact:

Risks with “likely” likelihood and “serious” impact:	1	0	↓
Risks with “possible” likelihood and “serious” impact:	0	0	↔
Risks with “unlikely” likelihood and “serious” impact:	0	0	↔

### 6. Next steps

- Ensuring that IT deal with Risks in a dynamic manner.
- Ensuring all actions are up to date and allocated to the correct responsible owners.

- Ensuring all members of the IT division including suppliers are aware of how Risk is managed within the Corporation and have a mechanism to highlight areas of concern across the estate.
- IT management processes, including Change Management, Problem Management, Continuous Improvement and Incident Management will all now reference or identify risk to ensure that Division risks are identified, updated and assessed on an ongoing basis.
- The work detailed above ensures that the Risk register remains a live system, rather than a periodically updated record.

**Samantha Kay**

IT Business Manager

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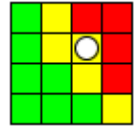
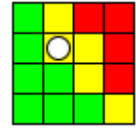

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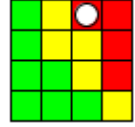
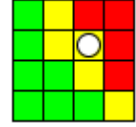


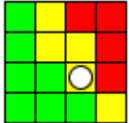
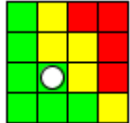

# APPENDIX A - CHB IT All CORPORATE & DEPARTMENTAL risks



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/Risk Approach	Current Risk score change indicator
R16 Information Security (formerly CHB IT 030)          10-May-2019 Emma Moore	<b>Cause:</b> Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information. <b>Event:</b> The City Corporation does not adequately prepare, maintain robust (and where appropriate improve) effective IT security systems and procedures. <b>Effect:</b> 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	16	. We are seeing regular malware being delivered by email every week which is not being captured by the current security products. We have had agreement to upgrade our MS licences from E3 to E5 which will help mitigate this. . The Results of the IT Health Check have been received and a Remediation Action Plan (RAP) has been developed. Remediation activities have commenced. . Work on a simulated cyber attack is being planned with the IT Security Team for completion by the end of the calendar year.  <b>18 Oct 2021</b>	 Likelihood Impact	8	31-Mar-2022	          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/Risk Approach	Current Risk score change indicator
<b>CR29</b> <b>Information Management</b>  08-Apr-2019 John Barradell	<b>Cause:</b> Lack of officer commitment and investment of the right resources into organisational information management systems and culture. <b>Event:</b> The City Corporation's IM Strategy (2018-2023) is not fully and effectively implemented <b>Effect:</b> <ul style="list-style-type: none"> <li>• Not being able to use relevant information to draw insights and intelligence and support good decision-making</li> <li>• Vulnerability to personal data and other information rights breaches and non-compliance with possible ICO fines or other legal action</li> <li>• Waste of resources storing information beyond usefulness</li> </ul>		<b>12</b>	<p>New business intelligence dashboards continue to be developed for improved decision making by the Corporate Strategy and Performance team • An updated An Information Management Asset register has been populated for the organisation.</p> <p>Plan being developed for moving unstructured data from Shared Drives to Sharepoint is being developed</p> <p>There is no dedicated resources to support Information Management and data analysis in the organisation. Unless resourcing is reviewed under the new TOM this situation will not change</p> <b>18 Oct 2021</b>		<b>6</b>	31-Dec-2021	
		Reduce			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/Risk Approach	Current Risk score change indicator
<b>CHB IT 031 IT Revenue Budget</b>  Page 51 10-May-2021 Sean Green	<p><b>Cause:</b> The IT Service is subject to a budget reduction of £1.2m in 21/22 or 12% having had this agreed in early March 2021.</p> <p><b>Event:</b> The planned action programme does not deliver the required level of savings within the timeframe set by the City Corporation/Finance Committees</p> <p><b>Effect:</b> The IT budget will be overspent in 2021/22 The services provided by IT to the organisation will need to be descoped to save costs and this may have a downstream impact for the organisation to deliver successful outcomes in front line services.</p>	 <p>Likelihood</p> <p>Impact</p>	<p><b>16</b></p>	<p>IT has made good progress on meeting the saving from the Fundamental Review and around £400k from the 12% saving target, there is still an unachieved target of circa £1m to be found. Due to timing of the TOM, IT has been unable to make any savings in this area. Contract negotiations are on going with key suppliers where appropriate. Further savings could have an impact on the provision of the IT service.</p> <p>A governance process is in place enabling tracking and corrective action to be taken. A review of the plan is required to be actioned every 2 weeks.</p>	 <p>Likelihood</p> <p>Impact</p>	<p><b>12</b></p>	<p>31-Mar-2022</p>	<p>■</p> <p>Constant</p>

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/Risk Approach	Current Risk score change indicator
<b>CHB IT 004 Business Continuity</b>  30-Mar-2017 Sean Green  Page 52	<p><b>Cause:</b> A lack of robust infrastructure and restore procedures are not in place on aging infrastructure. Secondly, 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.</p> <p><b>Event:</b> 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. There will be intermittent power outages of varying durations affecting these areas/buildings.</p> <p><b>Effect:</b> The disaster recovery response of the IT Division is unlikely to meet the needs of COL leading to significant business interruption and serious operational difficulties.</p> <ul style="list-style-type: none"> <li>• Essential/critical Systems or information services are unavailable for an unacceptable amount of time</li> <li>• Recovery of failed services takes longer than planned</li> <li>• Adverse user/member comments/feedback</li> <li>• Adverse impact on the reputation of the IT division/Chamberlain's Department</li> </ul>	 <p>Likelihood</p> <p>Impact</p>	8	All services have now been migrated into Azure. Agilisys BC/DR plan has now been provided and is being reviewed internally and will form the basis of the COL IT BCDR Plan. The GW5 has been sent for approval, the project is poised to start immediately.  <b>18 Oct 2021</b>	 <p>Likelihood</p> <p>Impact</p>	4	31-Oct-2021	  Constant



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<b>Committee(s):</b> Digital Services Sub Committee – For information Audit and Risk Committee	<b>Date(s):</b> 4 <sup>th</sup> November 2021 30 <sup>th</sup> November 2021
<b>Subject:</b> Information Management Programme Progress Update and Deep Dive	<b>Public</b>
<b>Report of:</b> The Chief Operating Officer	<b>For Information</b>
<b>Report author:</b> Sean Green – IT Director	

## Summary

This report provides a brief update on the progress being made by the Information Management Programme in helping to realise the Information Management Strategy agreed by the Corporation in 2019. The programme brings together several projects, therefore this report presents progress project by project before identifying common themes and trends.

## Recommendation(s)

It is recommended that Members note the progress update contained in this report and continue to support delivery of the programme in principle, standing ready to intervene practically when requested.

## Main Report

### Background

1. The Information Management Programme was set up in January 2020 to help implement the Information Management Strategy agreed and adopted by the Corporation and Police in 2019.
2. Key principles from the IM Strategy that were agreed are detailed in Appendix 1.
3. The programme is particularly focused on mitigating the corporate risk CR29 relating to information management (see Appendix 2):

**CR29 Information Management** - Risk Owner is the Town Clerk. This risk relates to the City Corporation's IM Strategy (2018-2023) not being fully and effectively implemented. The potential impacts of this include 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; and a waste of resources storing information beyond usefulness.

4. The programme's approach to Implementing the strategy and mitigating the risk is based on sufficiently improving the understanding of the benefits and principles of proper information management across the Corporation and Police and providing the means for staff to effectively and efficiently put that understanding into practice through improved skills and tools.
5. Various tactical projects had already been identified as necessary in the information management arena; the programme is intended to bring these projects together in a strategically coherent way to better identify and manage their dependencies and synergies and thus better realise their strategic benefits.
6. The programme is governed through the Information Management Board, which is chaired by the Comptroller & City Solicitor and includes senior representatives from the Corporate Strategy team, IT Division and Police alongside senior others from C&CS.

### **Current Position**

7. The Information Management Programme continues to improve the understanding and the means of information management (IM) across the City of London, starting with the projects listed below (paragraphs 9-17). It should be noted that in some cases, the programme is seeking only to get ongoing processes defined and started rather than completed, therefore in such cases, activity will continue after the programme ends.
8. The committee should note the programme momentum is likely to be impacted by the lack of dedicated resources with funding for the programme lead previously provided from the IT revenue budget. With the current savings required from the IT revenue budget this is no longer possible.
9. **IM Awareness Campaign:** To improve staff understanding of IM, an awareness campaign was started in February 2020. The next campaign is planned for December 2021 with a refresh on information handling and protective marking. .
10. **IM Policies & Roles:** To set staff expectations of their roles in IM, the IM policy framework has been strengthened and negotiations are under way with HR to clarify IM responsibilities in relevant job descriptions; IM improvements to JDs is expected to be a gradual process, being undertaken as and when a JD requires an update during the TOM.
11. **Information Classification/Protective Marking:** To enable and encourage basic IM good practice, a feature has been introduced in Word, Excel, PowerPoint and Outlook that lets staff tag documents and emails for information sensitivity and thus appropriate handling; the features were introduced in late 2020.
12. To date this has had a slow take up with only 0.2% of emails having had protective marking applied and 0.7% use with other MS Office documents. We will track improvements with the next communications campaign and use the LIM network to promote the appropriate use of protective marking.



13. In addition, IT are implementing an upgrade to our E5 licences in the next few months which will add intelligence into documents and files. This alerts the user if sensitive information exists in a document that they should apply protective marking.
14. **Information Assets Register:** To enable and encourage proper management of City of London information assets and the development of new, value-adding uses for them, we are working with all departments to identify, describe and track all such assets via a corporately-shared Information Assets Registry; noting that the register will continually evolve as assets and what we wish to know about them change, the first version is in place with further updates expected in December.
15. **Local Information Manager(LIM):** To help facilitate and embed the benefits of the projects outlined in paragraphs 7-10 above, the role of Local Information Manager has been created within each department; this does not mean creating new posts but rather asking staff in existing posts to take on the role's additional responsibilities; different departments have determined that different posts are the best home for these responsibilities and the staff in those posts are being supported in taking on the new role; staff are expected to be established in the role by December. Networking events occur with the LIM's every quarter.
16. **Migration from Shared Drives to SharePoint:** To help better manage documents as commonly used repositories of information, all relevant shared documents are being migrated from shared drives to SharePoint, where they can be made available for collaboration while remaining secure, and eventually have retention and other compliance rules applied to them; full scoping of this work and securing of approval/funding for it are still ongoing; the work will almost certainly require procurement of consultancy services and/or migration tools. Given the financial envelope within IT, it is unlikely that this will be able to be procured without additional project funding as it is not supported by existing budgets.
17. **Information Retention Management:** To help comply with record retention policies and reduce information clutter, a tool and associated processes are being implemented to analyse the information content of databases in the context of retention policies, thus identifying information to be deleted or archived, and then to take the relevant action effectively and efficiently; work on this is in its early days with Microsoft tools being compared with software from other vendors.
18. **Information Audit:** An information audit was carried out in the Summer of 2021. The findings and actions from the audit have been reviewed and will be actioned by the IT Director and the Comptroller.

### **Corporate & Strategic Implications**

19. The IM programme is in place to mitigate the IM Corporate risk CR29 and support the following Corporate Priorities.

- We are digitally and physically well-connected and responsive.
- We inspire enterprise, excellence, creativity and collaboration.

## **Summary**

20. The key to information management success is making it an intrinsic and beneficial part of everyday behaviour, rather than treating it as an afterthought or overhead.

21. The City of London Corporation will use the principles above alongside recognised good practice standards, policies, processes, technologies and leadership to support and encourage the behaviours we need. The built-in continual improvement ethos will ensure that these keep pace with changing business needs.

## **Appendices**

- Appendix 1 – IM Principles
- Appendix 2 – IM Risk

**Sean Green**  
**IT Director**  
**Chamberlain's Department**

T: 07715 234 487

E: Sean.Green@cityoflondon.gov.uk

## Appendix 1 – IM Principles

**Information acquired by any part of the City Corporation becomes an asset for all the organisation.**

Information will be open, transparent and available across the organisation. Our staff are custodians of our information assets. We only restrict information for legal, commercial or privacy reasons.

**Information is stored securely once and kept up to date while needed and safely disposed of afterward.**

We will educate, encourage and enable staff to store a single version of information that can be added to and amended. We will discourage duplication and encourage information reuse and repurposing. We will insist on safe disposal of information when no longer needed.

**We share information appropriately across the organisation, with partners and with the public.**

We will enable staff to easily share our information by developing common standards and processes.




**Authorised people have easy access to information and to the tools and skills to get the most out of it.**

We will provide the information required – securely, quickly, easily, accurately, conveniently, consistently, and transparently. Systems will be procured, designed and developed to enable effective information sharing, analysis and presentation.

**We promote the culture and leadership needed to look after, share and use information wisely.**

We will develop and nurture new information management values and behaviours, including a drive to continually improve based on experience and research. We will encourage an approach of curiosity and challenge in the use of our information. Departments will be given the skills and capability to lead and champion this ambition.

## Appendix 2 – CR29 IM Risk

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/Risk Approach	Current Risk score change indicator
<b>CR29 Information Management</b>  08-Apr-2019 John Barradell	<b>Cause:</b> Lack of officer commitment and investment of the right resources into organisational information management systems and culture. <b>Event:</b> The City Corporation’s IM Strategy (2018-2023) is not fully and effectively implemented <b>Effect:</b> <ul style="list-style-type: none"> <li>• Not being able to use relevant information to draw insights and intelligence and support good decision-making</li> <li>• Vulnerability to personal data and other information rights breaches and non-compliance with possible ICO fines or other legal action</li> <li>• Waste of resources storing information beyond usefulness</li> </ul>	 Likelihood	12  Impact	New business intelligence dashboards continue to be developed for improved decision making by the Corporate Strategy and Performance team • An updated An Information Management Asset register has been populated for the organisation.  Plan being developed for moving unstructured data from Shared Drives to Sharepoint is being developed  There is no dedicated resources to support Information Management and data analysis in the organisation. Unless resourcing is reviewed under the new TOM this situation will not change  <b>28 Sep 2021</b>	 Likelihood	6  Impact	31-May-2022	
							Reduce	

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR29a	Ensure that CoL has the necessary awareness, tools and, skills to manage information effectively	Information Management Campaign successfully deployed. Work on the role of IM in the new TOM has begun with the TOM consultants.	Sean Green	28-Sep-2021	30-Mar-2022

CR29f	Ensure officers can implement the data retention policy and data discovery requirements from GDPR	Gateway paper being prepared for the Data Discovery tool.	Sean Green	28-Sep-2021	31-Dec-2021
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<p><b>Committees:</b></p> <p>Culture Heritage and Libraries Committee – for decision</p> <p>Community and Children’s Service Committee - for information</p> <p>Digital Services Sub Committee – for information</p>	<p><b>Dates:</b></p> <p>22 September 2021 24 September 2021 4 November 2021</p>
<p><b>Subject:</b> Gateway 2: Library Management System</p> <p><b>Unique Project Identifier:</b> <i>PV ID confirmed post CPB via PMO.</i></p>	<p><b>Gateway 2:</b> <b>Project Proposal</b> Regular</p>
<p><b>Report of:</b> Director of Community &amp; Children's Services</p> <p><b>Report Author:</b> Sarah Greenwood</p>	<p><b>For Decision</b></p>
<h1 style="font-size: 2em; margin: 0;">PUBLIC</h1>	

**Explanatory Note for Members:** The Corporate Projects Board discussed this report on 1 September and agreed that the project may or may not require capital funding dependent upon the outcome of the procurement process. The Board agreed that the project should proceed under delegation until such a time that it was determined whether the project would reach the thresholds of the gateway process. Proceeding under delegation means that all usual Gateway reports are submitted to the Director who may then choose to share the reports with Committee for information.

**Recommendations**

<p><b>1. Next steps and requested decisions</b></p>	<p><b>Project Description:</b> IT system designed to manage the records of the Barbican and Community libraries including stock details, availability, fines, payments and membership details.</p> <p><b>Next Gateway:</b> Gateway 3/4 - Options Appraisal (Regular)</p> <p><b>Next Steps:</b></p> <p>Development of Requirements Document/specification and soft market testing, with development of procurement options using existing local risk funding resources.</p> <p><b>Funding Source:</b> potential capital funding from central City Fund reserves (dependent upon procurement process) and revenue funding from Department of Community and Children’s Services local risk budget. A bid for allocation of potential capital funding of £20k will be made through the next capital bids round.</p>
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	<p>Existing local risk funding will be used to progress the project to the next Gateway.</p> <p><b>Requested Decisions:</b></p> <ol style="list-style-type: none"> <li>1. Note the total estimated cost of the project of up to £325,000 (including one off capital of £50k (of which £30k will be met through local risk) and ongoing revenue of £275k pa)</li> <li>2. Approval for a staff cost budget of £1,500 to proceed to the next Gateway to be funded from within existing local risk resources.</li> </ol>												
<p><b>2. Resource requirements to reach next Gateway</b></p>	<table border="1" data-bbox="528 656 1390 1160"> <thead> <tr> <th data-bbox="528 656 762 797">Item</th> <th data-bbox="762 656 1007 797">Reason</th> <th data-bbox="1007 656 1198 797">Funds/ Source of Funding</th> <th data-bbox="1198 656 1390 797">Cost (£)</th> </tr> </thead> <tbody> <tr> <td data-bbox="528 797 762 1088">Staff costs</td> <td data-bbox="762 797 1007 1088">Development of required specification, Market engagement and options appraisal</td> <td data-bbox="1007 797 1198 1088">Existing Local risk funding</td> <td data-bbox="1198 797 1390 1088">£1,500</td> </tr> <tr> <td data-bbox="528 1088 762 1160"><b>Total</b></td> <td data-bbox="762 1088 1007 1160"></td> <td data-bbox="1007 1088 1198 1160"></td> <td data-bbox="1198 1088 1390 1160"></td> </tr> </tbody> </table> <p><b>Costed Risk Provision requested for this Gateway: None</b> (as detailed in the Risk Register – Appendix 2)</p>	Item	Reason	Funds/ Source of Funding	Cost (£)	Staff costs	Development of required specification, Market engagement and options appraisal	Existing Local risk funding	£1,500	<b>Total</b>			
Item	Reason	Funds/ Source of Funding	Cost (£)										
Staff costs	Development of required specification, Market engagement and options appraisal	Existing Local risk funding	£1,500										
<b>Total</b>													
<p><b>3. Governance arrangements</b></p>	<ol style="list-style-type: none"> <li>1. Culture Heritage and Libraries Committee is responsible for oversight of library services within the City.</li> <li>2. The project board consists of Carol Boswarthack, the Head of Barbican and Community Libraries (the Senior Responsible Officer), Jonathan Gibbs, the Operations and IT Librarian and with additional representation from IT, Comptroller and City Solicitor and City Procurement. The project will be managed by the Commissioning Manager Sarah Greenwood.</li> <li>3. The Digital Services Sub (Finance) committee will also receive Gateway reports for information and the City Procurement IT Category Board will sign off the Options report prior to Gateway 5</li> </ol>												

**Project Summary**

<p><b>4. Context</b></p>	<ol style="list-style-type: none"> <li>1. The City of London Corporation (CoLC) has a statutory duty to provide a “comprehensive and efficient” public library</li> </ol>
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	<p>service including the free loan of books to those who live, work or study within the area. The legislation governing the City's library provision is <a href="#">The Public Libraries and Museums Act 1964</a> (amended by the Local Government Act 1972) .</p> <p>2. Barbican and Community Libraries use a library management system to manage its library activities including a library catalogue, stock availability, overdue items, fines and payments and membership details. The library management system is the backbone of the library service and enables service users to have joined up services. The system integrates with the e-books contract, the public network and the self-service kiosks. The catalogue function is also used by Guildhall Library and London Metropolitan Archives and it also provides a gateway to online resources for users of the Small Business Research and Enterprise Centre.</p> <p>3. The seven year contract for the current solution (provided by Sirsi Dynix) ends in July 2022 and cannot be extended. A compliant procurement exercise must now be completed for an IT solution post July 2022.</p>
<p><b>5. Brief description of project</b></p>	<p>1. The project is the commissioning and procurement of a new contract to provide an IT system designed to manage the records and functions of the Barbican and Community Libraries Service including library catalogue, stock availability, fines and payments and membership details. The Library Management System will integrate with the e-books contract, the public network and the self-service kiosks.</p> <p>2. The project is also inclusive of scoping requirements, developing and designing an appropriate specification and mobilisation and migration of data (if required) to the new system.</p>
<p><b>6. Consequences if project not approved</b></p>	<p>All public library authorities use an automated Library Management System as this is the most efficient way of running a modern public library service. Without a library management system, the CoLC would be unable to deliver its statutory functions. To meet basic requirements of maintaining a catalogue the CoLC would need to develop another database solution and employ additional staff to manage it. All the automated functions including stock management, loans, overdue notices, reservations and fine and payments would also require alternative solutions.</p>
<p><b>7. SMART project objectives</b></p>	<p>1. The system enables the CoLC to deliver its library services.</p> <p>2. The system has proven capability and capacity to manage the current (and future potential) requirements of library users including flexibility to respond to changing Government, Covid and technological requirements</p>

	<p>3. The system enables a safe and professional experience for library staff and users with co-ordination of all records in relation to stock</p> <p>4. The solution can be configured to meet local and national reporting requirements and City data intelligence</p> <p>5. The system supports flexible working on a variety of devices</p>
<b>8. Key benefits</b>	<p>1. The system meets agreed modern library requirements and identified good practice</p> <p>2. Safe and professional experience for service users and staff with co-ordination of all records in relation to stock</p>
<b>1. Project category</b>	5. Other priority developments
<b>2. Project priority</b>	A. Essential
<b>3. Notable exclusions</b>	N/A

### Options Appraisal

<b>4. Overview of options</b>	<p>1. Sharing a system with one or more other local authorities (e.g. the London Libraries Consortium)</p> <p>2. Open tender (including through a framework)</p> <p>3. Direct award through a framework</p> <p>4. Not utilise a software solution - whilst this remains an option, it would not meet any of the regulatory requirements and therefore has essentially been discounted as a credible option</p> <p>All options will be considered during the City's procurement process and development of the options appraisal form PT3</p>
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### Project Planning

<b>5. Delivery period and key dates</b>	<p><b>Overall project:</b> A timeframe of 10 months to allow for commissioning and procurement activity, and potential migration of data to a new system should the current supplier not be successful in the tender process.</p> <p><b>Key dates:</b></p> <p>Capital Bid Round submission for capital funding: Summer 2021</p> <p>Gateway 3/4: November 2021</p> <p>Invitation to tender: December 2021</p> <p>Selection of contractor: March 2022</p> <p>Data Migration: March 2022 – July 2022 (period may not be required if existing supplier is winning bidder)</p> <p>New system go live : July 2022</p>
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	<p>Gateway 6: October 2022</p> <p><b>Other works dates to coordinate:</b> Potential other IT system changes (to be confirmed with IT colleagues).</p>
<b>6. Risk implications</b>	<p><b>Overall project risk:</b> Medium</p> <p>Key risks include</p> <p>Contractual: the City's contract is too small and there are no bids for the contract</p> <p>Technological: the system is not sufficiently flexible to meet future statutory or City of London requirements, the system is not mobilised adequately in time for the contract to be required</p> <p>Financial: insufficient capital funding to enable the contract to proceed (capital funding is only required if the current provider is not the provider of the new contract).</p> <p>Further information is available within the Risk Register (Appendix 2)</p>
<b>7. Stakeholders and consultees</b>	<ol style="list-style-type: none"> <li>1. Barbican and Community Libraries staff working within DCCS</li> <li>2. Library users</li> <li>3. Third party providers including eBooks and Public Network providers</li> <li>4. IT - Business Partner and Infrastructure Architect (engaged via IT PMO)</li> <li>5. City Procurement – Procurement Operations Manager and IT Category Board</li> <li>6. Comptroller and City Solicitor (via City Procurement)</li> <li>7. Chamberlains</li> </ol>

### Resource Implications

<b>8. Total estimated cost</b>	<p><b>Likely cost range (excluding risk):</b></p> <p>Lower range estimate: £0 one-off/capital + £25k of annual revenue costs of the current system but no capital/data migration costs if current provider is the successful bidder.</p> <p>Upper Range estimate: £50k one-off/capital (consisting of a capital bid of £20k and £30k met through local risk) and ongoing revenue of £55k pa which would be contained within existing local risk resources. Estimated upper range costs are based on the framework estimated contract costs and assume migration to a new system is required. Should the current provider be the winning bidder for the tender, no one-off/capital costs would be incurred and no capital funding would be required. To this end, a speculative capital bid will be made in 2021 (as part of the 2022/23 annual capital bid round) for potential one-off/capital funding of £20k, the need for which is</p>
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	<p>entirely dependent upon the outcome of the procurement process.</p> <p>As a system is undoubtedly required, work completed at this stage is not abortive and funded entirely through existing local risk budgets.</p> <table border="1" data-bbox="528 371 1390 772"> <tr> <td></td> <td></td> </tr> <tr> <td><i>One-Off/Capital Costs:</i></td> <td><i>£50,000</i></td> </tr> <tr> <td><i>System Capital costs (initial training, data migration)</i></td> <td><i>£20,000</i></td> </tr> <tr> <td><i>Internal Project Management and migration etc</i></td> <td><i>£30,000</i></td> </tr> <tr> <td><i>Revenue Costs:</i></td> <td><i>£275,000</i></td> </tr> <tr> <td><i>System revenue costs (5 years)</i></td> <td><i>£275,000</i></td> </tr> <tr> <td><i>Total (5 year whole life cost)</i></td> <td><i>£325,000</i></td> </tr> </table>				<i>One-Off/Capital Costs:</i>	<i>£50,000</i>	<i>System Capital costs (initial training, data migration)</i>	<i>£20,000</i>	<i>Internal Project Management and migration etc</i>	<i>£30,000</i>	<i>Revenue Costs:</i>	<i>£275,000</i>	<i>System revenue costs (5 years)</i>	<i>£275,000</i>	<i>Total (5 year whole life cost)</i>	<i>£325,000</i>		
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<i>Total (5 year whole life cost)</i>	<i>£325,000</i>																	
<p><b>9. Funding strategy</b></p>	<p>Choose 1: Partial funding confirmed</p>	<p>Choose 1: Internal - Funded wholly by City's own resource</p> <table border="1" data-bbox="528 936 1370 1518"> <thead> <tr> <th><b>Funds/Sources of Funding</b></th> <th><b>Cost (£)</b></th> </tr> </thead> <tbody> <tr> <td>Central funding (if required) from City Fund Reserves to be requested via the 2022/23 annual capital bid process</td> <td>£20,000</td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td>Staff costs from existing local risk resources</td> <td>£30,000</td> </tr> <tr> <td><b>Total One-off/Capital</b></td> <td><b>£50,000</b></td> </tr> <tr> <td>Local risk revenue funding (ongoing revenue costs)</td> <td>£275,000</td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td><b>Total (5 year whole life) cost</b></td> <td><b>£325,000</b></td> </tr> </tbody> </table> <p>Should the existing system service provider be the preferred supplier, there would be no one-off/capital costs. However, if the procurement process identifies an alternative provider then central funding from City Fund reserves would be required for the cost of transitioning to a new system. Therefore, a capital bid will be submitted as part of the 2022/23 annual capital bid process to cover this eventuality, which would materialise in 2022.</p> <p>The pre-gateway 5 costs will all be met from within existing local risk resources</p>	<b>Funds/Sources of Funding</b>	<b>Cost (£)</b>	Central funding (if required) from City Fund Reserves to be requested via the 2022/23 annual capital bid process	£20,000			Staff costs from existing local risk resources	£30,000	<b>Total One-off/Capital</b>	<b>£50,000</b>	Local risk revenue funding (ongoing revenue costs)	£275,000			<b>Total (5 year whole life) cost</b>	<b>£325,000</b>
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<b>Total (5 year whole life) cost</b>	<b>£325,000</b>																	
<p><b>10. Investment appraisal</b></p>	<p>An options appraisal will be considered by City Procurement in line with the City Procurement Code. In order to ensure value</p>																	

	for money the steering group will consider a longer contract period.
<b>11. Procurement strategy/route to market</b>	The project is included within the City Procurement's sourcing plan for 2021/22 and a PT 2 (procurement request form) has been submitted. Potential routes to market include the use of a call off framework, open tender or a joint procurement within another Local Authority and more details will be included at Gateway 3/4.
<b>12. Legal implications</b>	<p>A Data Protection Impact Assessment and Data Processing Agreements will be completed as part of the procurement process to ensure the solution is compliant with GDPR</p> <p>The specification will include the relevant statutory requirements for social work practice, data submissions to Government bodies and data security.</p> <p>The Comptroller and City Solicitor will be included within the steering group to draw up legally compliant terms and conditions and the procurement process will be led by City Procurement to be compliant with all Public Contracting Regulations as outlined in the City's Procurement Code</p>
<b>13. Corporate property implications</b>	None
<b>14. Traffic implications</b>	None
<b>15. Sustainability and energy implications</b>	None
<b>16. IS implications</b>	<p>The specification for the service will include all IS requirements including hosting and security. An Opportunity Outline form for the IS Project Management Office has been completed and submitted to identify IS resources for the procurement.</p> <p>An IS representative is on the Project Board and has supported the development of the Gateway documents.</p>
<b>17. Equality Impact Assessment</b>	An equality impact assessment will be undertaken
<b>18. Data Protection Impact Assessment</b>	The risk to personal data is high and a data protection impact assessment will be undertaken

## Appendices

<b>Appendix 1</b>	Project Briefing
<b>Appendix 2</b>	Risk Register

**Contact**

<b>Report Author</b>	Sarah Greenwood
<b>Email Address</b>	Sarah.greenwood@cityoflondon.gov.uk
<b>Telephone Number</b>	020 7332 3594

# Project Briefing

Project identifier			
<b>[1a] Unique Project Identifier</b>	<A unique project number will travel with the project, and will incorporate a Department lead, within. Will be generated via Project Vision by CPO after CPB>	<b>[1b] Departmental Reference Number</b>	N/A
<b>[2] Core Project Name</b>	Library Management System		
<b>[3] Programme Affiliation</b> <i>(if applicable)</i>	Not applicable		

Ownership	
<b>[4] Chief Officer has signed off on this document</b>	Andrew Carter (Director DCCS)
<b>[5] Senior Responsible Officer</b>	Carol Boswarthack (Assistant Director)
<b>[6] Project Manager</b>	Sarah Greenwood, Commissioning Manager

Description and purpose					
<b>[7] Project Description</b>					
IT system designed to manage the records of the Barbican and Community libraries including stock details, availability, fines and payments and membership details. The Library Management System will integrate with the e-books contract, the public network and the self service kiosks.					
<b>[8] Definition of Need: What is the problem we are trying to solve or opportunity we are trying to realise (i.e. the reasons why we should make a change)?</b>					
The contract for the current library management system is due to expire in July 2022					
<b>[9] What is the link to the City of London Corporate plan outcomes?</b>					
[3] People have equal opportunities to enrich their lives and those of others and reach their full potential. 4. Communities are cohesive and have the facilities they need					
<b>[10] What is the link to the departmental business plan objectives?</b>					
<b>Potential</b> - People of all ages are prepared to flourish in a rapidly changing world through exceptional education, cultural and creative learning and skills which link to the world of work <b>Independence, Involvement and Choice</b> - People of all ages can live independently, play a role in their communities and exercise choice over their services					
<b>[11] Note all which apply:</b>					
<b>Officer:</b> Project developed from Officer initiation	Y	<b>Member:</b> Project developed from Member initiation	N	<b>Corporate:</b> Project developed as a large scale Corporate initiative	N
<b>Mandatory:</b> Compliance with legislation, policy and audit		<b>Sustainability:</b> Essential for business continuity	Y	<b>Improvement:</b> New opportunity/ idea that leads to improvement	N

<b>Project Benchmarking:</b>	
<b>[12] What are the top 3 measures of success which will indicate that the project has achieved its aims?</b>	
1)	The system meets agreed modern library requirements and identified good practice
2)	Safe and professional experience for service users and staff with co-ordination of all records in relation to stock
<b>[13] Will this project have any measurable legacy benefits/outcome that we will need to track after the end of the 'delivery' phase? If so, what are they and how will you track them? (E.g. cost savings, quality etc.)</b>	
<b>[14] What is the expected delivery cost of this project (range values)[£] £120k including initial capital funding</b>	
<b>[15] Total anticipated on-going revenue commitment post-delivery (lifecycle costs)[£]:</b>	
£25k pa included within 14 above	
<b>[16] What are the expected sources of funding for this project?</b>	
Revenue: confirmed within current local risk budget Potential capital costs of up to £ 40k to be sought during annual capital bid round	
<b>[17] What is the expected delivery timeframe for this project (range values)? Are there any deadlines which must be met (e.g. statutory obligations)?</b>	
- Lower Range estimate: contract start – March 2022 – to allow for a 4 month contract negotiation/data migration and mobilisation period - existing contract expires in July 2022	

<b>Project Impact:</b>	
<b>[18] Will this project generate public or media impact and response which the City of London will need to manage? Will this be a high-profile activity with public and media momentum?</b>	
Not implementing a replacement social care case management system would mean the City could not discharge its statutory functions – this could lead to reputational risks	
<b>[19] Who has been actively consulted to develop this project to this stage?</b>	
Chamberlains: Finance	Officer Name: Mark Jarvis
Chamberlains: Procurement	Officer Name: Loredana Sandhu/Kayleigh Rippe (to be confirmed via PT2 process)
IT	Officer Name: Matt Cox (Business Partner). Other IT resources to be allocated after Opportunity Outline Submitted
HR	Officer Name: N/A
Communications	Officer Name: N/A
Corporate Property	Officer Name: N/A
External	N/A
<b>[20] Is this project being delivered internally on behalf of another department?</b>	
<b>No</b>	
Client	Department: N/A
Supplier	Department: N/A
Supplier	Department: N/A
Project Design Manager	Department: N/A
Design/Delivery handover to Supplier	Gateway stage: N/A



**City of London: Projects Procedure Corporate Risks Register**

Project name: Secure City Programme VMS/VA Workstream

Unique project identifier: PV12206

Total est cost (exc risk) £

Corporate Risk Matrix score table

PM's overall risk rating	Medium
Avg risk pre-mitigation	11.8
Avg risk post-mitigation	9.0
Red risks (open)	3
Amber risks (open)	9
Green risks (open)	0

	Minor impact	Serious impact	Major impact	Extreme impact
Likely	4	8	16	32
Possible	3	6	12	24
Unlikely	2	4	8	16
Rare	1	2	4	8

Costed risks identified (All)

£475,000.00	0%
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Costed risk as % of total estimated cost of project

Costed risk pre-mitigation (open)

£475,000.00	0%
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" "

Costed risk post-mitigation (open)

£240,000.00	0%
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" "

Costed Risk Provision requested

£240,000.00	0%
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CRP as % of total estimated cost of project

- (1) Compliance/Regulatory
- (2) Financial
- (3) Reputation
- (4) Contractual/Partnership
- (5) H&S/Wellbeing
- (6) Safeguarding
- (7) Innovation
- (8) Technology
- (9) Environmental
- (10) Physical

Number of Open Risks	Avg Score	Costed impact	Red	Amber	Green
0	0.0	£0.00	0	0	0
6	12.0	£435,000.00	1	5	0
3	8.7	£0.00	0	3	0
1	16.0	£0.00	1	0	0
0	0.0	£0.00	0	0	0
0	0.0	£0.00	0	0	0
0	0.0	£0.00	0	0	0
2	14.0	£40,000.00	1	1	0
0	0.0	£0.00	0	0	0
0	0.0	£0.00	0	0	0

Issues (open)

0
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Open Issues

Extreme	Major	Serious	Minor
0	0	0	0
0	0	0	0

All Issues

0
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All Issues

Cost to resolve all issues (on completion)

£0.00
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Total CRP used to date

£0.00
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City of London: Projects Procedure Corporate Risks Register

Project Name:	Secure City Programme VMS/VA Workstream	PM's overall risk rating:	Medium	CRP requested this gateway	£ 240,000	Average unmitigated risk	11.8	Open Risks	12
Unique project identifier:	PV12206	Total estimated cost (exc risk):		Total CRP used to date	£ -	Average mitigated risk score	9.0	Closed Risks	1

General risk classification										Mitigation actions										Ownership & Action			
Risk ID	Gateway	Category	Description of the Risk	Risk Impact Description	Likelihood Classification pre-mitigation	Impact Classification pre-mitigation	Risk score	Costed impact pre-mitigation (£)	Costed Risk Provision requested Y/N	Confidence in the estimation	Mitigating actions	Mitigation cost (£)	Likelihood Classification post-mitigation	Impact Classification post-mitigation	Costed impact post-mitigation (£)	Post-Mitigation risk score	CRP used to date	Use of CRP	Date raised	Named Risk Manager/Coordinator	Risk owner (Named Officer or External Party)	Date Closed OR/ Revisited & moved to issues	Comment(s)
R1	4	(4) Contractual/Partnership	Insufficient CoLP IT resource availability to support whole environment including Network management etc.	Inability to progress in line with defined schedule due to insufficient IT support services.	Likely	Major	16	£0.00	N	B – Fairly Confident	Active engagement with CoLP IT and external suppliers, funding and timeline checkpoints being upheld.	£0.00	Likely	Serious	£0.00	8	£0.00	No CRP requested at G4c issues report March 21.	12/01/2021	Lorenzo Conigliaro	Tim Roberts / Ariff Razzaq		
R2	4	(2) Financial	Key members of project team including external partners materially affected by Covid-19 or other systemic resource availability constraints	This could cause delays to project due to non-availability of resources.	Possible	Major	12	£10,000.00	Y - for costed impact post-mitigation	B – Fairly Confident	We are actively monitoring and engaging with all key stakeholders in order to understand potential issues as early as possible. However, should this risk come to fruition we would have to accept it and make allowance for replanning/additional work.	£0.00	Possible	Serious	£10,000.00	6	£0.00	£10,000 CRP granted at G4c issues report March 21. No CRP used to date. Fees/charges for delays due to key person COVID absence	15/01/2021	Lorenzo Conigliaro	Tim Roberts / Ariff Razzaq		
R3	4	(8) Technology	In-building CCTV subject to delay.	Availability of Bishopsgate perimeter CCTV and CoLP Custody CCTV is necessary for uninterrupted service. Persistent user experience issues and intermittent downtimes in custody could detract key project resources from PEI development. This could result in delays and additional cost.	Possible	Major	12	£0.00	N	B – Fairly Confident	Ongoing engagement with Project Managers for Custody and Perimeter install in order to identify and understand any issues as early as possible and initiate efficient resolution.	£0.00	Possible	Serious	£0.00	6	£0.00	No CRP requested at G4c issues report March 21.	15/01/2021	Lorenzo Conigliaro	Tim Roberts / Ariff Razzaq		
R4	4	(8) Technology	Azure storage requirements exceed acceptable storage allocation / cost	If Blob storage solution cannot be achieved and/or storage requirements cannot be reduced, then costs of Azure storage will exceed the budget allocation	Possible	Major	12	£0.00	N	B – Fairly Confident	Extensive engagement with the business is underway in order to understand business and operational requirements. This will allow the solution to be value engineered according to necessary functionality, frame rates, resolution etc.	£0.00	Unlikely	Major	£0.00	8	£0.00	No CRP requested at G4c issues report March 21.	04/09/2020	Lorenzo Conigliaro	Tim Roberts / Ariff Razzaq	04/10/2021	
R5	4	(2) Financial	Non-availability of MPS and TL resources to support the development of VMP and DVNP solutions to allow interconnectivity of VMS Production Environment with MPS and TL systems	There will be no ability to view MPS/TL cameras from VMS. Furthermore, any delays in go-live of Production Environment will result in replanning and reworking	Possible	Major	12	£15,000.00	Y - for costed impact post-mitigation	A – Very Confident	Early engagement with MPS and TL Technology teams to ensure that the City's VMS is covered under their respective workstreams.	£0.00	Possible	Serious	£15,000.00	6	£0.00	£15,000 CRP granted at G4c issues report March 21. No CRP used to date. Fees to redress delays due to insufficient engagement by Met/TL	18/02/2021	Lorenzo Conigliaro	Tim Roberts / Ariff Razzaq		
R6	4	(2) Financial	Delays in installation of Public Realm and Bridge cameras and other IT equipment due to purchases being held up in Customs (Brexit)	This will have an impact on Contractor programme and will require rework and replanning to commission the cameras into the VMS. This may result in additional costs	Likely	Serious	8	£10,000.00	Y - for costed impact post-mitigation	A – Very Confident	Work with contractor on ongoing basis to ensure resources optimally utilised to reduce any impact	£0.00	Possible	Serious	£10,000.00	6	£0.00	£10,000 CRP granted at G4c issues report March 21. No CRP used to date. Fees/charges for Brexit supply chain delays	18/02/2021	Lorenzo Conigliaro	James Aggo Brewes / Jamie Twinn		
R7	4	(2) Financial	Supplier could encounter unexpected difficulties in developing or running the Azure-efficient solution	Material delays to the Azure-efficient solution could impact all active workstreams for schedule and cost.	Possible	Major	12	£50,000.00	Y - for costed impact post-mitigation	B – Fairly Confident	Early engagement with supplier with added active support from Microsoft is expected to mitigate the impact	£0.00	Possible	Serious	£15,000.00	6	£0.00	£15,000 CRP granted at G4c issues report March 21. No CRP used to date. Fees to redress delays in delivery of Azure-efficient solution	04/12/2020	Lorenzo Conigliaro	Tim Roberts / Ariff Razzaq		
R8	5	(3) Reputation	Difficulties in obtaining sufficient time with key users of the VMS in order to inform configuration and achieve user buy-in.	The (non)availability of end users to engage with could result in the new system being poorly received and generate resistance to change.	Possible	Serious	6	£0.00	N	B – Fairly Confident	Early engagement with key user groups in order to communicate the vision of the project. Incentive options are being considered to encourage initial end user	£0.00	Possible	Serious	£0.00	6	£0.00	No CRP requested.	22-Sep-21	Lorenzo Conigliaro	Ariff Razzaq		
R9	5	(3) Reputation	Lack of training resource which is aligned to user requirements.	In the absence of appropriate training resource, it will be challenging to properly equip users with the knowledge and skills they need to interact with the new VMS and instill a sense of confidence in users	Possible	Major	12	£0.00	N	B – Fairly Confident	Early planning and engagement with end user community to identify the level of training required, and parallel conversation with the system provider to discuss how user needs can best be met.	£0.00	Possible	Major	£0.00	12	£0.00	No CRP requested.	22/09/2021	Lorenzo Conigliaro	Ariff Razzaq		
R10	5	(8) Technology	(Non)availability and delay of in delivery of hardware, including client machines, due to the global chip shortage.	In the event that new devices have a very order long lead time, the project schedule may be subject to significant delays. New hardware is necessary in order to support the running of the new VMS and enabling user access.	Likely	Major	16	£40,000.00	Y - for costed impact post-mitigation	B – Fairly Confident	Where there is requirement for hardware, additional lead times to be factored into project plan. Where this risk occurs, we would have to accept it and plan to mitigate impacts as far as possible.	£0.00	Likely	Major	£20,000.00	16	£0.00	Support workaround solutions/alternative sourcing and cost of programme delay that could result from non-availability of hardware	16/04/2021	Lorenzo Conigliaro	Tim Roberts/Ariff Razzaq		

R11	5	(3) Reputation	Key person risk - loss of integral resource on the project.	The absence of the key team members, such as technical advisor, is a single point of vulnerability. Any unplanned or prolonged absence could cause significant delays	Unlikely	Major	8	£0.00	N	B - Fairly Confident	Knowledge sharing between team members. Keep other team members informed on all project activities and encourage document sharing and saving in centralised locations.	£0.00	Unlikely	Extreme	£0.00	16	£0.00	No CRP requested.	07/05/2021	Lorenzo Conigliaro	Tim Roberts/Ajiff Razzaq		
R12	5	(2) Financial	Additional Professional Services Costs due to either delays in establishing 3rd party systems, extensions to programme or additional unplanned works required to deliver the VMS	Additional Contractor costs may arise as a result of changes outside suppliers' control and/or responsibility	Likely	Major	16	£150,000.00	Y - for costed impact post-mitigation	B - Fairly Confident	Work with suppliers in order to understand and pre-empt additional works or rework in all possible events	£0.00	Likely	Serious	£80,000.00	8	£0.00	Fees/charges for delays, additional work or rework	01-Oct-21	Lorenzo Conigliaro	Tim Roberts / Ajiff Razzaq		
R13	5	(2) Financial	Azure run costs may be higher than expected due to delays in changes that need to be made in the IT infrastructure to support lower run costs.	The projected run costs are based on replacing certain IT components with alternative solutions that remove the high costs associated with traversing data across the Azure platform. These changes are planned from Feb/March '22. If there is a delay in establishing the replacement systems then the programme will have higher Azure run costs than those projected.	Possible	Major	12	£200,000.00	Y - for costed impact post-mitigation	B - Fairly Confident	Ongoing engagement and partnership working with IT to support necessary infrastructure changes.	£0.00	Possible	Major	£90,000.00	12	£0.00	Cover temporary elevated run costs if there is delays to delivery of lower run cost solution	01-Oct-21	Lorenzo Conigliaro	Tim Roberts / Ajiff Razzaq		

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<b>Committees:</b> Corporate Projects Board - Digital Services Sub Committee Projects Sub Committee	<b>Dates:</b> 3 <sup>rd</sup> November 2021 5 <sup>th</sup> November 2021 17 <sup>th</sup> November 2021
<b>Subject:</b> Committee Rooms Audio Visual Equipment <b>Unique Project Identifier: 12221</b>	<b>Gateway 6:</b> <b>Outcome Report</b> Light
<b>Report of:</b> Chief Operating Officer Choose an item. <b>Report Author:</b> Sam Collins	<b>For Decision</b>
<b>PUBLIC</b>	

## Summary

<b>1. Status update</b>	<b>Project Description:</b> The installation of Audio Visual Equipment to the Guildhall Committee Rooms to facilitate hybrid meetings <b>RAG Status:</b> Green <b>Risk Status:</b> Low (Low at last report to committee) <b>Costed Risk Provision Utilised:</b> N/A <b>Final Outturn Cost:</b> £174,052. <i>The project was completed within budget but was delayed by a period of 2 weeks.</i>
<b>2. Next steps and requested decisions</b>	<b>Requested Decisions:</b> Members are asked to note the content of the report and approve the closure of this project.
<b>3. Key conclusions</b>	The Project has been completed successfully with the installation having been completed to a high standard. The progression of the project during the COVID-19 pandemic has meant that there was unprecedented access to the Committee Rooms, however the project did incur delays due to delayed hardware supplies, increased demand on the external supplier and a positive COVID-19 test within the Project Team.

## Main Report

### Design & Delivery Review

<b>4. Design into delivery</b>	The project supplemented inhouse resource with an external AV specialist. It would not have been possible to achieve the same quality of outcome utilising in-house resource only, therefore the overall design of the project was appropriate.
<b>5. Options appraisal</b>	The chosen option has fully met the project objectives – not only in providing the capability for hybrid meetings to take place in the Committee Rooms, but also in replacing the ageing projectors and table microphones. The provision of the full Teams Meeting Room solution allows the rooms to be used flexibly and in line with the expectations of a ‘modern meeting experience’. To pursue an alternative option would have resulted in a substandard audio or visual quality, which would not have delivered the desired functionality – and would not have provided future flexibility around Committee Meetings.
<b>6. Procurement route</b>	The project utilised the existing O2 Contract to procure the service of a specialist Audio Visual Company, AVMI.
<b>7. Skills base</b>	The Head of Change and Engagement and the Technology Support Team worked well with the external suppliers to deliver this project. Following conclusion of the project, support for the install AV equipment has been successfully transitioned into the Technology Support Team. Training has also been provided to the Committee Services Team in the operation of the equipment and the equipment will continue to be supported by the IT Division.
<b>8. Stakeholders</b>	The Project Team kept Member and Committee Services and the Remembrancer’s Office informed throughout the project and continue to provide training and support to Members and Committee Clerks.

### Variation Review

<b>9. Assessment of project against key milestones</b>	The Project progressed well, however did experience delays around the supply of hardware, associated with the COVID-19 Pandemic. There was also a two-week delay during the installation period, due to a positive COVID-19 test within the Project Team. This impacted on the final completion date by two weeks.
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<p><b>10. Assessment of project against Scope</b></p>	<p>The project was delivered against the original project scope;</p> <ul style="list-style-type: none"> <li>• Use of video-conferencing within Committee Rooms 1, 2, 3 and 4</li> <li>• Use of audio-conferencing within Committee Rooms</li> <li>• Use of presentations and content sharing within Committee Rooms</li> <li>• Recording and Live Streaming of meetings within Committee Rooms</li> <li>• Flexible use of Committee Rooms 3 and 4 as two separate rooms or one large room with a unified AV solution</li> </ul>
<p><b>11. Risks and issues</b></p>	<p>Three of the risks highlighted prior to the project translated into project issues;</p> <ul style="list-style-type: none"> <li>• Firstly, the site survey uncovered some minor complications involving the Committee Room induction loops, which required the loop to be cut and re-routed in one room. This did not result in a delay or additional cost to the project.</li> <li>• The project experienced delays in the supply of hardware, although this was largely mitigated by the supplier placing the order early and retaining a stock of key components.</li> <li>• The availability of the external suppliers (AVMI) was also a determinant in project mobilisation, given a significant rise in demand for AV services due to the pandemic.</li> </ul> <p>There was also a two-week delay during the installation period, due to a positive COVID-19 test within the Project Team. This was not foreseen at Gateway 4 or 5, given the relatively low levels of COVID-19 prevalence at that time.</p>
<p><b>12. Transition to BAU</b></p>	<p>The project was always intended to transition support into the Technology Support Team following completion. The internal team remained involved throughout the project and worked closely alongside AVMI to ensure sufficient knowledge transfer and smooth transition into BAU Support.</p>

**Value Review**

<p><b>13. Budget</b></p>			<p><b>Budget</b></p>	<p><b>Actual</b></p>
	<p>Capital Programme</p>	<p>Fees</p>	<p>£51.6</p>	<p>£51.5</p>
		<p>Works</p>	<p>£9.2</p>	<p>£9.1</p>

		Purchases	£113.7	£113.5
		<b>TOTAL</b>	<b>£174.5</b>	<b>£174.1</b>
<b>14. Investment</b>	The Project Business Case was not predicated on the delivery of savings, however it is anticipated that the facilitation of hybrid committee meetings over the longer term will result in the more efficient use of Member and Officer time, in terms of meeting attendance and set up. The new equipment has also provided significant business resilience as the organisation continues to live with the COVID 19 pandemic.			
<b>15. Assessment of project against SMART objectives</b>	<p>Initial indications are that the project will deliver against the original SMART objectives;</p> <ul style="list-style-type: none"> <li>• To provide the functionality to deliver all future Committee Meetings through Microsoft Teams / Zoom, if required.</li> <li>• To record and live stream all Committee Meetings if required.</li> <li>• To significantly reduce the need for physical Officer attendance at Committee Meetings, allowing Officers to remotely join the Teams / Zoom Meeting for the relevant items only.</li> <li>• To reduce set up times for Committee Meeting by removing the use of temporary projectors and mobile screens.</li> </ul>			
<b>16. Key benefits realised</b>	<p>The following benefits have been delivered;</p> <ul style="list-style-type: none"> <li>• Allow the effective use of Microsoft Teams / Zoom within all Committee Rooms at Guildhall (1,2,3,4) – including audio and video calls, as well as content sharing</li> <li>• The proposed solution would expand upon the existing use of Microsoft Teams / Zoom, allowing Members and Officers to participate in the meetings, both in person and remotely. This would support more efficient use of Officer time in particular, if they were not required to be physically present at all meetings.</li> <li>• Support the video recording of Committee Meetings, including the enablement of transcription.</li> <li>• Support the live streaming of Committee Meetings in line with a number of local authorities – promoting transparency and democratic engagement</li> <li>• Flexible solution allowing Committee Rooms 3 and 4 to be used separately, or as one large Committee room</li> <li>• Provide greater resilience for Committee Meetings in the future, where all participants are unable to attend</li> <li>• Replace ageing projectors with high definition TV screens, allowing effective display of presentations</li> </ul>			



	<ul style="list-style-type: none"> <li>• Replace ageing table microphones</li> </ul>
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### **Lessons Learned and Recommendations**

<b>17. Positive reflections</b>	<p>The Project Team as a whole worked well, utilising the skills and knowledge of both internal staff and external suppliers. This close working has smoothed the project handover into BAU support and enabled the internal staff to upskill and be in a position to provide ongoing support.</p> <p>In particular, the team worked well during the solution design phase, exploring various technical options utilising the knowledge of the inhouse team with the technical expertise of the external suppliers. This has resulted in a high-quality technical solution, which has delivered the desired project benefits.</p>
<b>18. Improvement reflections</b>	<p>The main challenges in this project were related to the COVID-19 pandemic – principally delays in the supply of hardware and a member of the Project team testing positive for COVID-19. Both of these areas can be mitigated in future projects, although it is hoped that these unique circumstances will be less prevalent for future projects.</p>
<b>19. Sharing best practice</b>	<p>The technical knowledge learned over the course of this project in the use of the Microsoft Teams Rooms has already been utilised to design and implement audio visual installations within Guildhall and elsewhere and at other COL sites.</p>
<b>20. AOB</b>	N/A

### **Appendices**

<b>Appendix 1</b>	Project Coversheet
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### **Contact**

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<b>Telephone Number</b>	020 7332 1504

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# Project Coversheet

## [1] Ownership & Status

**UPI:** 12221

**Core Project Name:** Committee Rooms Audio Visual Equipment

**Programme Affiliation** (if applicable): N/A

**Project Manager:** Sam Collins

**Definition of need:** The project includes the design and implementation of an audio and video conferencing solutions to all Committee Meeting Rooms (1-4) at Guildhall. The proposed solution would expand upon the existing use of Microsoft Teams / Zoom, allowing Members and Officers to participate in the meetings, both in person and remotely. This would support more efficient use of Officer time in particular, if they were not required to be physically present at the meetings. The solution would utilise the existing functionality of Microsoft Teams / Zoom to record meetings, provide transcriptions and live stream meetings if required.

### Key measures of success:

- To provide the functionality to deliver all future Committee Meetings through Microsoft Teams / Zoom, if required.
- To record and live stream Committee Meetings by default.
- To significantly reduce Officer attendance at Committee Meetings, allowing Officers to remotely join the Teams / Zoom Meeting for the relevant items only.
- To reduce set up times for Committee Meeting by removing the use of temporary projectors and mobile screens.

**Expected timeframe for the project delivery:** Autumn 2020 – subject to impact by COVID-19

### Key Milestones:

**Are we on track for completing the project against the expected timeframe for project delivery?** Yes, subject to impact by COVID-19

**Has this project generated public or media impact and response which the City of London has needed to manage or is managing?** No.

## [2] Finance and Costed Risk

### Headline Financial, Scope and Design Changes:

#### 'Project Briefing' G1 report:

- N/A

*Scope/Design Change and Impact:*

#### 'Project Proposal' G2 report:

- N/A

*Scope/Design Change and Impact:*

#### 'Options Appraisal and Design' G3-4 report (as approved by PSC 25/06/20):

- Total Estimated Cost (excluding risk): £185k
- Resources to reach next Gateway (excluding risk): N/A

- Spend to date: N/A
- Costed Risk Against the Project: : N/A
- CRP Requested: : N/A
- CRP Drawn Down: N/A
- Estimated Programme Dates: Autumn 2020

*Scope/Design Change and Impact:*

**'Authority to start Work' G5 report (as approved by The Chamberlain 22/07/20):**

- Total Estimated Cost (excluding risk): £185k
- Resources to reach next Gateway (excluding risk)
- Spend to date: N/A
- Costed Risk Against the Project: N/A
- CRP Requested: N/A
- CRP Drawn Down: N/A
- Estimated Programme Dates: Autumn 2020

*Scope/Design Change and Impact: N/A*

**Total anticipated on-going commitment post-delivery [£]: N/A**  
**Programme Affiliation [£]: N/A**

<b>Committees:</b> Corporate Projects Board Digital Services Sub Committee Projects Sub	<b>Dates:</b> 3 <sup>rd</sup> November 2021 5 <sup>th</sup> November 2021 17 <sup>th</sup> November 2021
<b>Subject:</b> Customer Relationship Management <b>Unique Project Identifier: 11908</b>	<b>Gateway 6:</b> <b>Outcome Report</b> Light
<b>Report of:</b> The Chief Operating Officer <b>Choose an item.</b> <b>Report Author:</b> Sam Collins	<b>For Decision</b>
<b>PUBLIC</b>	

## Summary

<b>1. Status update</b>	<p><b>Project Description:</b> The Customer Relationship Management Project sought to replace the historic Corporate CRM (CRM 2011) with two separate solutions. City Dynamics (Dynamics 365) provides functionality to manage the Corporation’s Strategic Engagement activity and Events. City Services (Firmstep) has been implemented as the key software for the Contact Centre and for managing online customer transactions including reports, applications, bookings and payments. Firmstep also provides the customer portal and forms toolkit for online transactions and requests.</p> <p><b>RAG Status:</b> Green (Amber at last report to Committee)</p> <p><b>Risk Status:</b> Low (Low at last report to committee)</p> <p><b>Costed Risk Provision Utilised:</b> N/A</p> <p><b>Final Outturn Cost:</b> £323,027.92. The Project was completed within the increased budget envelope, following approval of the additional £105k, allocated from the Transformation Fund. The requirement for additional funding and increased requirements meant the project was not delivered within the original timescales.</p>
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<p><b>2. Next steps and requested decisions</b></p>	<p><b>Requested Decisions:</b> Members are asked to note the content of the report and approve the closure of this project.</p>
<p><b>3. Key conclusions</b></p>	<p>The Customer Relationship Project has successfully concluded with the complete replacement of the CRM 2011 software, which posed a key corporate risk due to the age of the software and the compliance of the data held. City Dynamics (known as SEEMS – Strategic Engagement and Events Management System) is now in use by 130 staff across Innovation and Growth, Remembrancers, Mansion House and Corporate Affairs with the primary functionality for managing strategic relationships and events.</p> <p>An Issues Report was submitted to the Project Sub Committee in August 2018, requesting approval for an additional £105k, to provide additional external configuration support for City Dynamics due to a lack of internal resource capacity. The go live of the City Dynamics was the end of 2018. Since the initial go live of the platform, the IT Division, in partnership with the Business Intelligence Unit, have continued to provide new functionality and enhancements to derive further benefit from the organisation’s investment. Most recently this includes an e-invitations module for City Corporation events.</p> <p>City Services was made live in August 2018 and now provides the key software for the Contact Centre as well as around 100 online services for the City Corporation. It has managed over 32,000 submissions and taken £10.66M payments since the start of January 2020.</p>

**Main Report**

**Design & Delivery Review**

<p><b>4. Design into delivery</b></p>	<p><b>City Services</b> – The City Services element of the project was delivered by the inhouse team, with support from the supplier, Firmstep. The Contact Centre module represented a significant focus of the delivery, and this was successfully implemented with input from City Corporation’s Contact Centre in the design and delivery of the Firmstep product. The module delivered a number of process improvements including the migration from e-mail inboxes to structured forms, and the IT Division continue to work with the</p>
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	<p>Contact Centre and Website Team to deliver further enhancements.</p> <p>The IT Division also has an ongoing pipeline to develop new online services for departments across the City Corporation. The City Services software now provides around 100 online services for the City Corporation, has had over 32,000 submissions and taken £10.66M payments since the start of January 2020.</p> <p><b>City Dynamics</b> – The City Dynamics element of the CRM project was scoped and resourced according to a set of high level requirements which developed in terms of depth and breadth. The approved business case for City Dynamics was reliant upon internal development resource, however it was clear through the development of the solution, that there was insufficient capacity to deliver solely in-house. This assumption was based upon the simplistic requirements highlighted during the pilot exercise, but in hindsight, the project was not resourced sufficiently.</p> <p>An issues report sought £105k for additional external configuration support, which was sourced through a procurement exercise. The enhanced project resourcing allowed the project to progress and go live was at the end of 2018. CRM 2011 has now been fully decommissioned. The submission of the Gateway 6 report was delayed due to the Project Manager leaving the organisation before the report was completed.</p>
<p><b>5. Options appraisal</b></p>	<p>The key project decision was to split the requirements and deliver two separate software solutions; City Dynamics (Dynamics 365) and City Services (Firmstep). This decision has allowed the full requirements to be met across the two solutions, and at significantly lower development and ongoing licence costs.</p> <p>City Services, in isolation, would have been unable to provide the ‘purer’ Customer Relationship functionality for Strategic Engagement and Events, however has allowed a significant amount of the requirements to be met through a cost effective, ‘off the shelf’ product.</p> <p>City Dynamics was able to meet the more bespoke requirements for Strategic Engagement and Events, however would have come at a significantly higher development cost, as well an increased licence cost, if this had been used to meet all project requirements.</p>
<p><b>6. Procurement route</b></p>	<p><b>City Services</b> – A tender specification for the transactional CRM was prepared and published via the G-Cloud 9 framework. A report</p>

	<p>was approved by IT Category Board on 10<sup>th</sup> October 2017 which recommended that a 2+2year contract be awarded to Firmstep.</p> <p><b>City Dynamics</b> – Additional Consultancy Support was sourced through an open tender and awarded to Orange Maple in August 2018.</p>
<b>7. Skills base</b>	<p><b>City Services</b> – The Firmstep software was delivered primarily by the inhouse team, with additional support from the suppliers. The City Corporation had experience of using the Firmstep product, so were able progress with the implementation without issue.</p> <p><b>City Dynamics</b> – An assumption was made that this element of the project would be delivered using in-house resource, however given the complexities in the depth and breadth of the project, additional external configuration support was required. This required an additional £105k, allocated from the Transformation Fund.</p>
<b>8. Stakeholders</b>	<p><b>City Services</b> – The Contact Centre were fully engaged in the design and delivery of the Firmstep Service product, which is now being used successfully. The product delivered a number of process improvements including the migration from e-mail inboxes to structured forms, and the Applications Team continue to work with them to deliver further enhancements.</p> <p><b>City Dynamics</b> – A cross-departmental project team was formed for this project, with representatives from the IT Division, Town Clerk’s and Remembrancers. An Executive Steering Group was also formed by the Project Sponsor, to provide guidance to the project and take key decisions.</p>

**Variation Review**

<b>9. Assessment of project against key milestones</b>	<p>The City Services element of the project was delivered on time and within budget, with a final go live date of August 2018.</p> <p>The City Dynamics implementation timescales were impacted and the go live was delayed until late 2018. Since the initial go live of the platform, the IT Division, in partnership with the Business Intelligence Unit, have continued to provide new functionality and enhancements to derive further benefit from the organisation’s investment.</p>
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<p><b>10. Assessment of project against Scope</b></p>	<p>The project has now fully delivered against the originally agreed scope which included;</p> <ul style="list-style-type: none"> <li>• To provide a software solution which meets the documented requirements of the Corporation and Police for the management of Service Requests, Stakeholders and Events.</li> <li>• To maintain the ability of the Corporation Contact Centre to sustain the current level of service after moving into the JCCR.</li> <li>• To Provide a platform for future enhancements and customer services development across both the JCCR and strategic engagement.</li> </ul>
<p><b>11. Risks and issues</b></p>	<p>One the of the key risks highlighted was around a replacement for CRM 2011 not being in place for the move of the Contact Centre into the Joint Contact and Control Centre. This risk did not occur, as the City Services product was delivered prior to the move and continued to work well following the move.</p> <p>A key issue around resourcing of the City Dynamics element was not foreseen. The approved business case for City Dynamics was reliant upon internal development resource, however it was clear during the development, that there was insufficient capacity to deliver solely in-house. This assumption was based upon the simplistic requirements highlighted during the pilot exercise, but in hindsight, the project was not resourced sufficiently.</p>
<p><b>12. Transition to BAU</b></p>	<p><b>City Services</b> – The Firmstep product was implemented in partnership between the inhouse team and the supplier’s project team. As such, there were no issues in transitioning BAU support across to the IT Division.</p> <p><b>City Dynamics</b> – Firstline support for Dynamics 365 is provided by the Business Intelligence Unit (BIU) which resides in Innovation and Growth. Following the project, the IT Division have also created a new Dynamics 365 analyst role, which provides second technical support as well as limited development capacity.</p>

**Value Review**

<p><b>13. Budget</b></p>	<table border="1"> <tr> <td data-bbox="486 1854 778 1917"> <p><i>Estimated Outturn Cost (G2)</i></p> </td> <td data-bbox="778 1854 1362 1917"> <p>Estimated cost (including risk): £343,000.00</p> </td> </tr> </table>	<p><i>Estimated Outturn Cost (G2)</i></p>	<p>Estimated cost (including risk): £343,000.00</p>
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<b>14. Investment</b>	The Business Case for the project was based primarily on the replacement of ageing software and the mitigation of Corporate Risk and was not intended to deliver financial benefits.																														
<b>15. Assessment of project against SMART objectives</b>	<ul style="list-style-type: none"> <li>Implementation of solution for stakeholder and events management by end of 2017, taking on board Lessons Learned from the Salesforce Pilot – <b>the project failed to meet the initial timescales, however has now been successfully completed.</b></li> <li>Decommission of Salesforce Pilot by end of December 2017 – <b>the Salesforce pilot was successfully decommissioned.</b></li> <li>Delivery of the JCCR, with appropriate software by end of April 2018 – <b>City Services went live in August 2018</b></li> <li>Decommission of CRM infrastructure by end of April 2018 – <b>this was delayed, however all original CRM infrastructure has now been decommissioned.</b></li> </ul>																														
<b>16. Key benefits realised</b>	<p><i>The Gateway 1234 Report noted the following benefits;</i></p> <ul style="list-style-type: none"> <li>The reduction of risk through the replacement of a key corporate system that is out of mainstream support – <b>delivered.</b></li> <li>The provision of a shared CRM solution, to underpin the delivery of the JCCR and future improvements in customer service delivery for both the Corporation and City Police – <b>delivered.</b></li> </ul>																														

	<ul style="list-style-type: none"> <li>• The Corporation and City Police both use the same online forms tool, with the procurement of a new CRM Lite, this will provide an opportunity to have electronic end to end transactions for both organisations, supported by the JCCR – <b>delivered</b>.</li> <li>• Provision of a shared tool for stakeholder and events management – which will enable a single view of stakeholders and engagement across the Corporation and Police – <b>delivered</b>.</li> <li>• Revenue savings of £56k through decommissioning CRM infrastructure – to offset future licensing costs – <b>delivered</b>.</li> </ul>
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### Lessons Learned and Recommendations

<p><b>17. Positive reflections</b></p>	<p>The City Corporation now has the use of two modern Customer Relationship Management Systems dedicated to the management of Strategic Engagement and Events, as well as the delivery of online services. These platforms have enabled a fundamental shift towards more collaborative and efficient ways of working, with electronic end to end processes and improved service experience for our customers.</p> <p>The Dynamics 365 and Firmstep software provide the basis for further expansion across more City Corporation services which could also benefit from more joined up ways or working and/or online / electronic end to end services.</p> <p>The project has also fostered a very positive working relationship across the software users, the IT Division, and the Business Intelligence Unit – and these continue to deliver further enhancements on the platforms.</p>
<p><b>18. Improvement reflections</b></p>	<p>The aim of the project was not simply to deliver software, but to agree a common, cross-departmental approach to engagement with the Corporation’s senior stakeholders – supported by a common tool (City Dynamics) to monitor and measure the level of engagement. Although an initial Pilot was undertaken, the requirements were not sufficiently detailed, not just for the technology but for the associated business processes. The initial discovery phase should have included a much broader spectrum of users at a more senior</p>

	level – with the business processes agreed ahead of the software development, and not the other way around.
<b>19. Sharing best practice</b>	<p>The City Corporation now has 130 users of the City Dynamics platform, as well as around 100 services being delivered online. The project has greatly increased the organisation's knowledge in the use of Customer Relationship Management best practice, as well as instilling a greater level of collaboration and knowledge sharing across departments.</p> <p>The City Corporation continues to move more services online, delivered through the City Services platform. Lessons learned through this project have enabled these services to be delivered in a more efficient way, with a focus on improved back office processes, as well as improved customer experience.</p> <p>Through this project the City Corporation has also developed knowledge in the management of data and its information assets, with increased confidence that the information is being processed in line with relevant legislation – with the relevant consents, retention schedules and data processing agreements in place.</p>
<b>20. AOB</b>	N/A

## Appendices

<b>Appendix 1</b>	Project Coversheet
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## Contact

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<b>Telephone Number</b>	020 7332 1504

# Project Coversheet

## [1] Ownership

**Unique Project Identifier:** 11908      **Report Date:** November 2021  
**Core Project Name:** Customer Relationship Management Project  
**Programme Affiliation** (if applicable): N/A  
**Project Manager:** Sam Collins  
**Next Gateway to be passed:** Gateway 6

## [2] Project Brief

**Project Mission statement:** This project seeks to replace CRM 2011, with two separate CRM systems; City Services (Firmstep) for the Contact Centre and Online transactions and City Dynamics (Microsoft Dynamics 365) for Strategic Engagement and Events Management.

**Definition of need:** This replaces CRM software (CRM 2011) that is end of life and out of extended support. This will be replaced by two separate systems, which are both fully supported and procured on a Software as a Service basis. These will provide additional functionality during the initial phase as well as the opportunity for further functionality or wider use in the future.

### Key measures of success:

- 1) Allow for the decommission of existing CRM 2011 infrastructure
- 2) Meet the needs of the Contact Centre and Online transactions such as bookings, payments, applications and requests
- 3) Provide a modern, fit for purpose solution which can meet the Organisation's needs for recording and tracking Strategic Engagement activity and Events Management. These will put in place agreed and standardised approaches for Strategic Stakeholder Management for the organisation.

## [3] Highlights

### Finance:

**Total anticipated cost to deliver:** Up to £343,000

**Total anticipated on-going commitment post-delivery:** N/A

[A] Budget Approved to Date	[B] New Financial Requests	[C] New Budget Total (Post approval)
£238,000	£105,000 – to be funded from the Transformation Budget	£343,000
[D] Previous Total Estimated Cost of Project	[E] New Total Estimated Cost of Project	[F] Variance in Total Estimated Cost of Project (since last report)
£238,000	£343,000	£105,000
[G] Spend to Date	[H] Anticipated future budget requests	
£323,027.92	None	

**Headline Financial changes:**

**Since 'Project Proposal' (G2) report:**

◀▶ £238,000

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

◀▶ £238,000

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

▼ £238,000, an additional £105,000 was sought to provide external support to meet the more detailed requirements around security and permissions, and to ensure that the Go Live deadline is met.

**Project Status:****Overall RAG rating:** Green**Previous RAG rating:** Amber**[4] Member Decisions and Delegated Authority**

N/A

**[5] Narrative and change****Date and type of last report:**

Issue Report – August 2018

**Key headline updates and change since last report.**

The Customer Relationship Project has successfully concluded with the complete replacement of the CRM 2011 software, which posed a key corporate risk due to the age of the software and the compliance of the data held. City Dynamics (known as SEEMS – Strategic Engagement and Events Management System) is now in use by 130 staff across Innovation and Growth, Remembrancers, Mansion House and Corporate Affairs with the primary functionality for managing strategic relationships and events.

An Issues Report was submitted to the Project Sub Committee in August 2018, requesting approval for an additional £105k, to provide additional external configuration support for City Dynamics due to a lack of internal resource capacity. The go live of the City Dynamics was the end of 2018. Since the initial go live of the platform, the IT Division, in partnership with the Business Intelligence Unit, have continued to provide new functionality and enhancements to derive further benefit from the organisation's investment. Most recently this includes an e-invitations module for City Corporation events.

City Services was made live in August 2018 and now provides the key software for the Contact Centre as well as around 100 online services for the City Corporation. It has managed over 32,000 submissions and taken £10.66M payments since the start of January 2020.

**Headline Scope/Design changes, reasons why, impact of change:****Since 'Project Proposal' (G2) report:**

N/A

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

N/A

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

An additional £105,000 was sought to provide additional external support to meet the more detailed requirements around security and permissions, and to ensure that the Go Live deadline is met.

**Timetable and Milestones:**

**Expected timeframe for the project delivery:** The initial timescale for Go Live was 8<sup>th</sup> August for Firmstep and early September 2018 for City Dynamics.

**Milestones:**

- |  |
|--|
| 1) Go Live of the City Services (Firmstep) solution for the Contact Centre – Weds 8 <sup>th</sup> August |
| 2) Go Live of the Strategic Engagement solution for Town Clerks, MH and Remembrancers – Sept 2018        |
| 3) Go Live of the Events Management solution for Town Clerks, MH and Remembrancers – Sept 2018           |

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

The project was delayed due to more detailed and additional requirements during the configuration of the new City Dynamics solution. The Project is now complete.

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

The Project is now complete.

**Risks and Issues****Top 3 risks:**

<i>Risk description</i>	<i>There is a risk that the solution will not be delivered within the revised timescales</i>
<i>Risk description</i>	<i>There is a risk that the delivered solutions will not meet requirements fully</i>
<i>Risk description</i>	<i>There is a risk that the organisation will be unable to decommission CRM 2011 infrastructure</i>

**Top 3 issues realised**

<i>Issue Description</i>	<i>Impact and action taken</i>	<i>Realised Cost</i>
Issue	<i>There is an issue that additional and more detailed requirements have emerged during the project. Additional funding to provide additional external support is being sought.</i>	£105,000
Issue	<i>There is an issue that the project has been delayed due to additional requirements and re-work. Additional funding to provide additional external support is being sought.</i>	As above
Issue	<i>There is an issue that that original project budget is now unlikely to be sufficient due to extended configuration periods. Additional funding to provide additional external support is being sought.</i>	As above

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

No.

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