



## Digital Services Sub (Finance) Committee

**Date:** FRIDAY, 28 JANUARY 2022  
**Time:** 11.00 am  
**Venue:** VIRTUAL PUBLIC MEETING (ACCESSIBLE REMOTELY)

**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:** Joseph Anstee  
[joseph.anstee@cityoflondon.gov.uk](mailto:joseph.anstee@cityoflondon.gov.uk)

### Accessing the virtual public meeting

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<https://youtu.be/LFeOTdrEHRw>

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. Please note: 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.

**Lunch will be served in the Guildhall Club at 1pm**

**John Barradell**  
Town Clerk and Chief Executive

# AGENDA

## Part 1 - Public Agenda

1. **APOLOGIES**
  
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
  
3. a) **Minutes** (Pages 5 - 12)  
To agree the public minutes and non-public summary of the meeting held on 4 November 2021.  
  
b) **Outstanding Actions** (Pages 13 - 14)  
Joint report of the Town Clerk and the Chief Operating Officer
  
4. **WORK PROGRAMME FOR FUTURE MEETINGS**  
Joint report of the Town Clerk and Chief Operating Officer  
  

**For Information**  
(Pages 15 - 16)
  
5. **IT PRIORITY PROGRAMMES AND CAPITAL BIDS 22/23 PRESENTATION**  
Report of the Chief Operating Officer  
  

**For Information**  
(Pages 17 - 24)
  
6. **SMART CITY PROGRESS AND PLAN PRESENTATION**  
Report of the Chief Operating Officer  
  

**For Information**  
(Pages 25 - 34)
  
7. **DATA STORAGE REVIEW AND CHALLENGES PRESENTATION**  
Report of the Chief Operating Officer  
  

**For Information**  
(Pages 35 - 40)
  
8. **SERVICE MANAGEMENT AUTOMATION PRESENTATION**  
Report of the Chief Operating Officer  
  

**For Information**  
(Pages 41 - 54)

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

Report of the Chief Operating Officer

**For Information**  
(Pages 55 - 64)

10. **IT DIVISION RISK UPDATE - JANUARY 2022**

Report of the Chief Operating Officer

**For Information**  
(Pages 65 - 78)

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

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

13. **EXCLUSION OF THE PUBLIC**

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

**For Decision**

**Part 2 - Non-Public Agenda**

14. **NON-PUBLIC MINUTES**

To agree the non-public minutes of the meeting held on 4 November 2021.

**For Decision**  
(Pages 79 - 82)

15. **CYBER SECURITY**

Report of the Chief Information Security Officer

**For Information**  
(Pages 83 - 112)

16. **GATEWAY REPORTS**

a) **Gateway 3-4 - Secure City Programme (SCP) - CCTV & Telecommunications Workstream GW3-4** (Pages 113 - 134)

Report of the Executive Director of Environment and the Commissioner of the City of London Police

- b) **Gateway 1-5 - CoLP PowerBI Phase 1** (Pages 135 - 156)  
Report of the City of London Police
- c) **Gateway 1-5 - End User Device Refresh** (Pages 157 - 172)  
Report of the Chamberlain
- d) **Red Report: Housing Management System Upgrade** (Pages 173 - 182)  
Report of the Director of Community & Children's Services

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

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

**Part 3 - Confidential Agenda**

19. **CONFIDENTIAL MINUTES**  
To agree the confidential minutes of the meeting held on 4 November 2021.

**For Decision**

20. **IT TARGET OPERATING MODEL FINAL REPORT - TO FOLLOW**  
Report of the Chief Operating Officer

**For Information**

## DIGITAL SERVICES SUB (FINANCE) COMMITTEE

Thursday, 4 November 2021

Minutes of the meeting of the Digital Services Sub (Finance) Committee held at Guildhall, EC2 on Thursday, 4 November 2021 at 3.00 pm

### Present

#### Members:

Randall Anderson (Chairman)  
Alderman Sir Peter Estlin (Deputy Chairman)  
Alderman Prem Goyal  
Deputy Jamie Ingham Clark  
Dawn Wright

#### Officers:

Emma Moore	- Chief Operating Officer
Sean Green	- Chief Operating Officer's Department
Gary Brailsford-Hart	- City of London Police
Kevin Mulcahy	- Chamberlain's Department
Lorraine Brook	- Town Clerk's Department
Simon Latham	- Town Clerk's Department
Joseph Anstee	- Town Clerk's Department
Sam Collins	- Chief Operating Officer's Department
Eugene O'Driscoll	- Chamberlain's Department
Ian Hughes	- Environment Department
Ruth Kocher	- Environment Department
Sonia Virdee	- Chamberlain's Department
Siobhan Flynn	- Chamberlain's Department
William Roberts	- Chamberlain's Department
Sheldon Hind	- Town Clerk's Department
Ellen Murphy	- Chief Operating Officer's Department

#### Also in attendance:

John Chapman

#### 1. APOLOGIES

Apologies for absence were received from Rehana Ameer, Jeremy Mayhew and James Tumbridge.

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

There were no declarations.

##### a) Minutes of the previous meeting

**RESOLVED:** That the public minutes and non-public summary of the meeting held on 3 September 2021 be approved as an accurate record.

b) **Outstanding actions from previous meetings**

The Sub-Committee considered a joint report of the Town Clerk and the Chamberlain which provided updates of outstanding actions from previous meetings. The report also provided information of the Sub-Committee's proposed work plan for forthcoming meetings. The Chief Operating Officer advised of outstanding actions to be moved on to the Sub Committee's Forward Plan and covered at future meetings.

The Chief Operating Officer further advised that IT officers would continue to support the Committee & Member Services team with the live streaming of meetings until March 2022, with TOM proposals in respect of the Town Clerk's Department expected to include provision for a dedicated officer to support this longer-term.

**RESOLVED** – That the outstanding actions be noted.

4. **FORWARD PLAN - NOVEMBER 2021**

The Sub Committee received a report of the Town Clerk setting out the Sub Committee' Forward Plan. The Chairman advised that the Sub Committee would also consider a report on GDPR ahead of the pre-election period in 2022.

**RESOLVED** – That the Forward Plan be noted.

5. **MEMBERS IT PROVISION 2021/22**

The Sub Committee considered a report of the Chief Operating Officer outlining 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 Chairman introduced the item before inviting comments from the Sub Committee.

Members commented that the policy could go further and that the Court of Common Council elections in March 2022 presented an opportunity to implement more ambitious change, including rollback of home broadband and print support. The Deputy Chairman proposed that there be a straightforward provision of desktop access at Guildhall, and personal devices, issued with proper explanation of their restrictions, for use elsewhere.

The Deputy Chairman requested that officers draft a one-sided graphic summary of Members IT Provision on this basis, including restriction explanations and IT support contact numbers, to be submitted to the January meeting of the Sub Committee for consideration. Members agreed that this would be beneficial, and the Chief Operating Officer advised that this could be provided. The Chief Operating Officer advised that the policy could be amended to strengthen to the rollback of home broadband and print support. Officers would seek to simplify the approach, and try to be more robust on personal devices, including focussing on Surface Pros at the expense of iPads.

The Deputy Chairman commented that IT provision policy should be combined with mobile device management policy, with devices and data owned by the

City of London Corporation. The Chairman noted that wider Member Support policy had changed to include grant funding, which could be used to subsidise home broadband for City of London Corporation business.

A Member commented that there should be greater promotion of paperless working, as the mod.gov app had now been rolled out to Member devices, adding that the app should be updated as much as possible. The Member further stressed the importance of 2-phase authentication for security, noting that some Members found this more difficult to use. The Chairman noted that there would be further discussion of mod.gov later on the agenda.

The Town Clerk advised that Member induction arrangements were in development, part of which included putting information together for candidates ahead of the election, and officers would seek to collate information on IT Provision and policy for providing to candidates as part of this offer.

**RESOLVED** – That the Digital Services Sub Committee approve the revised Members IT Provision Policy, as amended, with a one-sided graphic summary to be produced for the January meeting of the Sub Committee for consideration.

#### 6. **MOBILE DEVICE MANAGEMENT**

The Sub Committee considered a report of the Chief Operating Officer proposing an enhancement to the management of corporate mobile devices (Apple iPhones and Apple iPads) to introduce corporately managed Apple IDs. The Chairman introduced the item and advised that he was inclined to support the City of London Corporation having more control of corporate devices.

A Member commented that the consequences for private data on corporate devices should be assessed and made clear. The Chief Operating Officer advised that such a change wouldn't require a change to current device set-up, but would assist with managing devices in the future.

The Deputy Chairman commented that the device should be owned by the City of London Corporation, with the Member effectively the lessee. Data would ultimately be manageable by the City of London Corporation, but with awareness that there would be both business and personal data on the device. Clarity should be provided on appropriate use of the device with this set out in a simple way. The Chairman stressed that this would have to be as clear as possible and asked officers to produce this in tandem with the graphic summary of IT Provision.

The Sub Committee noted the implications for use of storage, as personal iCloud accounts could not be used and data migrated to corporate iCloud accounts, which would have limitations in terms of available capacity. The Chief Operating Officer advised that officers would work with Members to make this transition as smooth as possible.

**RESOLVED** – That the Digital Services Sub Committee:

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
2. Agree that these changes should be implemented for all City Corporation device owners.

7. **ERP PROGRAMME UPDATE PRESENTATION**

The Sub Committee received a presentation updating Members on the Energy Reduction Programme (ERP). The Chamberlain presented the update, outlining the background of the programme and the process along with work undertaken so far, before setting out next steps.

The Chairman thanked the Chamberlain for the update and advised that there would likely be more discussion at the next phase of the programme. The Chamberlain responded that lessons would be taken from similar previous projects such as Oracle, and that soft market testing had helped. A Member asked whether Payroll should be insourced or outsourced. The Chairman responded that whilst he didn't expect this to be a significant issue, it should be agreed as part of this process. The Chamberlain advised that this had been given some consideration, with both options on the table.

**RESOLVED** – That the report be noted.

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

The Sub Committee received a report of the Chief Operating Officer providing a summary of IT Service Delivery.

**RESOLVED** – That the report be noted.

9. **IT DIVISION RISK UPDATE - NOVEMBER 2021**

The Sub Committee received a report of the Chief Operating Officer updating on Risk within the IT Division.

A Member commented that risk CR16 – Information Security was rated as high impact and asked whether resource was in place to bring this score down. The Chief Operating Officer advised that the upgrade from E3 to E5 Microsoft licensing was a significant step forward in this regard, with other mitigations also in train. The Member stressed the importance of testing and training in this area, and the Chief Operating Officer advised there was mandatory training for officers with an annual refresher, and that the importance of reinforcing the required messages was appreciated. The Sub Committee noted that as the risk had increased to Red, the matter should be referred to the Audit & Risk Management Committee, although it should decrease following the upgrade to E5 licensing.

A Member commented that more commentary on the risks would be beneficial, with routine actions included as well as urgent or emergency action. The Chief Operating Officer responded that this could be taken as an action and brought back to the January meeting, and in response to a question from the Member



on the E5 licensing, advised the Sub Committee that planning work on the E5 rollout was underway and an action to update the Sub Committee at the next meeting would be taken away.

**RESOLVED** – That the report be noted.

10. **INFORMATION MANAGEMENT PROGRAMME PROGRESS UPDATE AND DEEP DIVE**

The Sub Committee received a report of the Chief Operating Officer providing 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 Chief Operating Officer introduced the report and drew Members' attention to the key points.

The Deputy Chairman commented that he felt the programme could go further and that progress could be faster, with more emphasis on the digitisation of resources needed and the right people in place to analyse data. The Deputy Chairman proposed that a note be put to the Finance Committee and Resource Allocation Sub Committee requesting more resources be allocated to this area. The Chairman added that there were two key areas of concern in shared drives and emails, particularly with regards to confidential documents. Members noted the significant lack of use of protective markings on documents and felt this may be a training matter. Whilst a Member commented that regular training would be beneficial for Members given the constant evolution of IT and technology requirements the Sub Committee noted that security issues were not exclusive to Members.

A Member suggested that compulsory training be considered, although Members noted that this had been a contentious issue when raised in other contexts. The Deputy Chairman added that there were measures that could be taken to influence culture and mindset at the organisation. The City of London Police commented that increasing use of protective markings on documents should be prioritised.

The Chief Operating Officer added that protective marking would not prevent someone who was inclined to leak a confidential document from doing so, but would facilitate sanctions in that event. The Chief Operating Officer added that a mindset change was required and a raft of measures relating to behaviour and culture were possible. Whilst there was a good level of capability at the organisation, this was without commensurate knowledge and confidence, which could be mitigated with training. The Chairman added that the annual training budget per person across the organisation was possibly inadequate, and should be reviewed when possible.

**RESOLVED** – That the Digital Services Sub Committee note the progress update and continue to support delivery of the programme in principle, standing ready to intervene practically when requested.

## 11. GATEWAY REPORTS

### a) **Library Management System**

The Sub Committee considered a report of the Director of Community and Children's Services regarding the Library Management System. The Chairman introduced the item and commented that the issue with the project so far had been procurement. A new system would be required if the current provider could not provide what was required.

**RESOLVED** – That the report be noted.

### b) **Gateway 6: Committee Rooms Audio Visual Equipment**

The Sub Committee considered a report of the Chief Operating Officer presenting the Gateway 6 report of the project to install Audio Visual Equipment to the Guildhall Committee Rooms to facilitate hybrid meetings.

**RESOLVED** – That the Digital Services Sub Committee note the content of the report and approve the closure of this project.

### c) **Gateway 6: Customer Relationship Management**

The Sub Committee considered a report of the Chief Operating Officer presenting the Gateway 6 report for the Customer Relationship Management (CRM) project. The Chairman introduced the item and drew the Sub Committee's attention to the lessons learned. The Chief Operating Officer added that the project could have been bigger considering CRM was required for the electoral database and could also be used by market tenants.

The Chair commented a more consistent application of the software would be beneficial, and that the IT department should explore further uses of the software available to increase efficiency. The Chamberlain responded by assuring Members that officers were always looking for opportunities to maximise usage, although implementation was not always straightforward. The Chamberlain added that officers would look into the inconsistent application of the software. The Chair suggested that these issues be taken forward into the relevant TOM work.

**RESOLVED** – That the Digital Services Sub Committee note the content of the report and approve the closure of this project.

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

There were no questions.

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

There were no items of urgent business.

## 14. **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 No.</b>	<b>Paragraph(s) in Schedule 12A</b>
15 - 18	3
19	7
20 - 21	-
22	3

15. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING RESOLVED** – That the non-public minutes of the meeting held on 3 September 2021 be approved as an accurate record.
16. **CYBER SECURITY MITIGATIONS**  
The Sub Committee received a report of the Chief Operating Officer.
17. **BACKUP RETENTION**  
The Sub Committee received a report of the Chief Operating Officer.
18. **CITY OF LONDON CORPORATION AND CITY OF LONDON POLICE: IT BUDGET & SAVINGS PRESENTATION**  
The Sub Committee received a presentation from the Chief Operating Officer.
19. **GATEWAY REPORTS**
  - a) **Gateway 5 Secure City Programme (SCP) – Video Management System (VMS)**  
The Sub Committee considered a report of the Executive Director of Environment and the Commissioner of the City of London Police.
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 no other non-public business.
22. **MODERN.GOV PAPERLESS COMMITTEE MEETINGS**  
The Sub Committee considered a report of the Chief Operating Officer.
23. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE SUB COMMITTEE AGREE SHOULD BE CONSIDERED IN CONFIDENTIAL SESSION**  
There was one item of other business.

**The meeting ended at 5.11 pm**

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Chairman

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

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

Item	Meeting Date	Action and target for completion	Officer responsible	To be completed/ Next stage	Progress update
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>	Lorraine Brook  Lorraine Brook	Complete  Complete	<p>Meeting in September with Assistant Town Clerk/Head of Committee Services booked The IT Team will continue to stream until a New TOM has been agreed for the Deputy Chief Executive's team when this should be covered. Action closed</p> <p>Committee Clerk emailed with the question for the Committee Chair Action closed</p>
2.	3 September 2021	That regular updates on GDPR audits/compliance and how this risk is managed are considered by this Sub Committee.	Nick Senior	April 2022	Due for presentation to the Committee in April 2022
3.	3 September 2021	That Officers develop a digital engagement dashboard and add this item to outstanding actions and add to the forward plan.	Sean Green	April 2022	Due for presentation to the Committee in April 2022

**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.	Sean Green	April 2022	Due for presentation to the Committee in April 2022
5.	3 September 2021	That an update on IT budget savings be presented to the next meeting.	Sean Green	Complete	Update on agenda for 4 <sup>th</sup> November – Action Closed
	4 November 2021	IT Provision Policy – One-sided graphic summary to be produced for January meeting for consideration	Sean Green	January 2022	Agenda Item Data Storage Review and Challenges
	4 November 2021	Risk Register – more commentary on risks to be included, with routine actions included as well as urgent or emergency action	Sean Green	January 2022	Agenda Item IT Risks to be reviewed by Members
	4 November 2021	E5 Licensing Rollout – officers to update the Sub Committee on progress	Sean Green	January 2022	The capability to use Power BI and Teams audio conferencing rolled out across the Corporation. The implementation of the essential aspects of E5 security provisioning has started and further work continues over the next 8 weeks.

## Forward Plan – January 2022 Update

<b>Report Title</b>	<b>Report Month</b>	<b>Category</b>
New IT TOM and IT Core Offer and OLA's	April 2022	Strategic
Data Protection Review and Deep Dive (Considering Risk Mitigation)	April 2022	Operational
Deep Dive IT User Experience (Different Stakeholders)	April 2022	Strategic
Digital Roadmap Presentation – AF	April 2022	Strategic
Digital Maturity and Engagement Dashboard	April 2022	Strategic
Costs vs Benefits of Digitisation and Cloud Services	April 2022	Strategic
IT Business Plan and Balanced Scorecard	June 2022	Strategic
Developing the right organisational skills and culture for the Digital Age	June 2022	Strategic
ERP Programme Deep Dive	June 2022	Strategic
New IT Service Model Post 2023	June 2022	Strategic
Deep Dive Police DEMS and DAMS	June 2022	Strategic
IT Proposed Capital Bids 2023/24	June 2022	Strategic
Digital and Technology Corporate Risks Deep Dive	September 2022	Operational
IT Security Deep Dive	September 2022	Operational
Police Accommodation Technology Review	September 2022	Strategic
IT Digital Services Strategic Roadmap Deep Dive	September 2022	Strategic
Information Management Roadmap Deep Dive	September 2022	Strategic
Review of Next Generation Fraud Programme	November 2022	Strategic
IT Zero Based Budget Review	November 2022	Strategic
Digital and Smart City Deep Dive	November 2022	Strategic

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# Programmes 2021-23 DSSC 28<sup>th</sup> January 2022

Kevin Mulcahy  
Assistant Director-IT



Agenda Item 5

# Core Programme Themes 2021-23

## End User Experience

*Empower everyone to achieve more through our products, expertise and services.*

## Connectivity & Resilience

*Deliver a core platform across the City to connect and empower citizens & partners.*



## Security & Compliance

*Manage threats & risk while securely enabling access to information for those who need it.*

## Service Transformation

*Driving better value out of our processes, partners & performance.*

## Applications & Data

*Support the organisation to optimise business decisions made at the strategic, tactical, and operational levels.*

# CoL IT Capital Bids 2022-23

*Subject to Capital Programme Approval by Court Feb 2022*

Item	Description	Requested Sum £	Programme Work Stream
1) Server upgrades	Microsoft have announced the end of support date for SQL Server 2012 as July 2022. Without doing so the services that operate on these servers will not be able to be recovered or supported should the hardware or operating system fail. This could result in a loss of data an access to critical records and business processes, with consequential business impact and reputational damage.	100,000	End User Experience
2) IT Managed Service re-provisioning	The current IT managed service contact will expire in 2023. While there remains the option for a 1+1 extension, the current trajectory would suggest that the contract in it's current form will end. Consequently there will be a need to establish a programme of work to design and implement a new operating model, manage any duel running, transition and any TUPE implications.	500,000	Service Transformation
3 )Public Services Network replacement	Effort required to move to new national solution staff/consultancy costs ,plus any required system upgrade. Unavoidable, as a national deadline for the end of the current service. Consequences of not doing would be loss of access to central govt systems.	100,000	Connectivity & Resilience
4) Members IT refresh	New IT kit & refresh for Members in line with elections to CoCO. This will maintain parity with officers and ensure Members IT kit remains supportable and fit for purpose. - Part of the normal refresh cycle. Cyclical cost every 4-5 years.	300,000	End User Experience
5) IT Security	CoL remains a high profile target for cyber attack from threat actors. The nature and vector of these attacks evolve and change all the time. It is virtual that we maintain and adapt our management of these risks. The organisation requires sufficient tools prevent, detect, and respond to such threats. Our current defences continue to be tested and challenged and have been breached. We continue to work with the National Cyber Security Centre, COL and other agencies to remediate. It is therefore essential that we recognise the threats and invest in the tools and processes that we have been advised to adopt.	200,000	Security & Compliance

Item	Description	Requested Sum £	Programme Work Stream
6) Building management system (BMS), - CoL Wired Segmentation	Increase Network Security, reduce operational costs for BMS systems to meet Climate Action plan.	130,000	Connectivity & Resilience
7) Critical End of Life replacement - Corporate Managed Print Services contract	The corporate print managed service will need to be re-procured in 2022. Funding will be required to manage the transition and device/software upgrade across 120+ sites	50,000	Service Transformation
8) Application rationalisation	Application rationalisation is the process of cataloguing and eliminating duplicate software applications used across an organisation. This will enable the IT departments to improve efficiency, simplify portfolio complexity, and lower the total cost of ownership (TCO) for the application portfolio, currently circa 300 applications.	250,000	Applications & Data
9) Robotic automation (initial scoping)	To deliver some initial capacity to drive process design to support Robotics and automation. The use of such technologies will free up officer time for more value related tasks.	50,000	Applications & Data
10) CRM development for Markets (initial scoping)	Business need by whole markets to manage stakeholder/customer contacts, with the potential to generate income from the product with other wholesale markets in the UK	50,000	Applications & Data
11) GDPR Compliance Project Unstructured data	The organisation is currently carrying significant risk and financial costs due to absence of any meaningful information management of unstructured data within the laaS file shares . We currently hold 14 million files on the unstructured file share, totally 13TB of data.	150,000	Security & Compliance
12) LAN Support to Replace Freedom Contract	To rescope the LAN support model in line with lessons learned and the Technology Roadmap and go to market to source a replacement contract.	150,000	Service Transformation
13) Libraries IT Refresh	Business need by whole markets to manage stakeholder/customer contacts, with the potential to generate income from the product with other wholesale markets in the UK	280,000	End User Experience
14) HR System Service Portal	New solution to drive improved performance, data, insight and user satisfaction within the HR function. Enabling more efficient working practices.	250,000	Applications & Data
15) Data Repository/Warehouse (initial scoping)	The organisation needs infrastructure to clean and contain data that can be easily accessed and used to make better decisions and may offer opportunities to commercialise data	30,000	Applications & Data

# PORTFOLIO BREAKDOWN DIAGRAM

<b>DOCUMENT NAME</b>	C OL - CORPORATE IT PORTFOLIO 2021-23
<b>AUTHOR / VERSION</b>	KEVIN MULCAHY/0.1

<b>ORGANISATION</b>	City of London Corporation
<b>DATE</b>	Jan-22

City of London Corporation
Jan-22



<b>PORTFOLIO</b>	CORPORATE IT PORTFOLIO 2021-23				
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<b>PROGRAMME STREAM</b>	<b>END USER EXPERIENCE P1</b>	<b>SECURITY &amp; COMPLIANCE P2</b>	<b>SERVICE TRANSFORMATION P3</b>	<b>CONNECTIVITY &amp; RESILIENCE P4</b>	<b>APPLICATIONS &amp; DATA P5</b>
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PROJECT	CORPORATE IT PORTFOLIO 2021-23				
	END USER EXPERIENCE P1	SECURITY & COMPLIANCE P2	SERVICE TRANSFORMATION P3	CONNECTIVITY & RESILIENCE P4	APPLICATIONS & DATA P5
1.1 Device Refresh & Modern Management	2.1 Cloud App Security (E5)	3.1 Future Operating Model - Design	4.1 Medium Term LAN Model/Contract	5.1 Applications Rationalisation	
1.2 Web filtering solution (E5)	2.2 Advanced Threat Protection (E5)	3.2 Future Operating Model - Commercial/Procurement	4.2 Medium Term WAN Model/Contract	5.2 ERP Programme Engagement/Support	
1.3 Telephony/Phone System Voice replacement (E5)	2.3 Azure Information Protection (E5)	3.3 Future Operating Model - Finance	4.3 SD WAN Discovery	5.3 Property System Programme Engagement/Support	
1.4 Direct Routing/Calling Plans	2.4 Advanced Threat Analytics (E5)	3.4 Future Operating Model - People, change & engagement	4.4 SD WAN roll-out/migration	5.4 SharePoint Unstructured Data rationalisation/migration	
1.5 Device Refresh & Modern Management(Members)	2.5 Conditional Access Policies (E5)	3.5 Future operating Model - Governance	4.5 Wireless controllers migration to Cloud	5.5 Power Bi Pro Licence deployment (E5)	
1.6 Microsoft Managed Desktop Discovery	2.6 Azure Identity & Access Management (Zero Trust policies) (E5)	3.6 Future operating Model - Transition/implementation	4.6 PSN Replacement	5.6 Define & deploy data capabilities to support organisational insight (TBD) (E5)	
1.7 Microsoft Managed Desktop roll-out/migration	2.7 M365 Advanced Data Governance & e-Discovery (E5)	3.7 Target Enterprise Architecture model	4.7 BMS Segmentation	5.7 HR Self-Service Portal	
	2.8 Implement Security Information and Event Management (SIEM) Solution (Sentinel)	3.8 Print Contract review		5.8 CRM for Markets Scoping	
	2.9 Implement Privilege Identity Mgt			5.9 Data Warehouse Scoping	
	2.10 Corporate Social Media Security enhancements				

Key

In progress

Awaiting funding release

Funded, not started

# Core IT Programme Streams Activities - 2022

01 End User Experience

02 Security & Compliance

03 Service Transformation

04 Connectivity & Resilience

05 Applications & Data



- Device refresh
- Modern Device Administration
- Voice/Telephony refresh

- SIEM Implementation & Privilege Access Management PIM
- Zero trust
- Cloud App Security
- External gateways – VPN, PSN,PSNP

- Optimise Cloud Management
- Future Operating Model
- Financial Model

- Future WAN –SD WAN
- LAN Service model/contract
- UPS upgrades
- Wireless controllers migration to Cloud

- Applications strategy
- ERP & Property Management
- SharePoint Development – Unstructured Data
- Data and insight capability definition

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# Smart City Programme

Prepared by Adam Fielder, Janet Laban and Brendan Crowley

For DSSC 28<sup>th</sup> January 2022

# Agenda

- Climate Action Strategy – Cool Streets and Greening (Outside)
- Corporation Premises (Inside)
- Intelligent Edge Technology and Data Strategy
- QA & Feedback

# Climate Action Strategy – Cool Streets and Greening (Outside)

- The City of London Corporation's Climate Action Strategy – **Cool Streets and Greening** programme aims to pilot a range of measures aimed at maintaining the Square Mile's resilience to climate change impacts.
- The objective is to install an **IOT sensor network** that will monitor trends over the next 20 years across the City to identify whether interventions, such as sustainable drainage systems (SuDS) and urban greening, are helping to avoid disruptive temperatures and flooding of the City's streets.



## Climate Action Strategy – Cool Streets and Greening (Outside)

- **Proof of Concept** schedule of works x2
  - **Gully sensor** specification written and sent to multiple suppliers.
  - **Temperature, humidity and soil moisture** sensor specification sent to Urban Controls who also manage the WI-SUN street lighting mesh IOT network.



Activity	Timescale
Award of contract	January 2022
Task 1 Choose sensors	January 2022
Task 2 Identify locations	January 2022
Task 3 Supply and installation	Feb / March 2022
Task 4 Software development and reporting	Feb/ March 2022

# Corporation Premises (Inside)

- The objective is to enhance monitoring of the internal environment at Corporation premises.
- Focus is initially on temp/humidity and air quality, with onward intention to better measure consumption (e.g. energy) and thoroughfare (e.g. space utilisation).

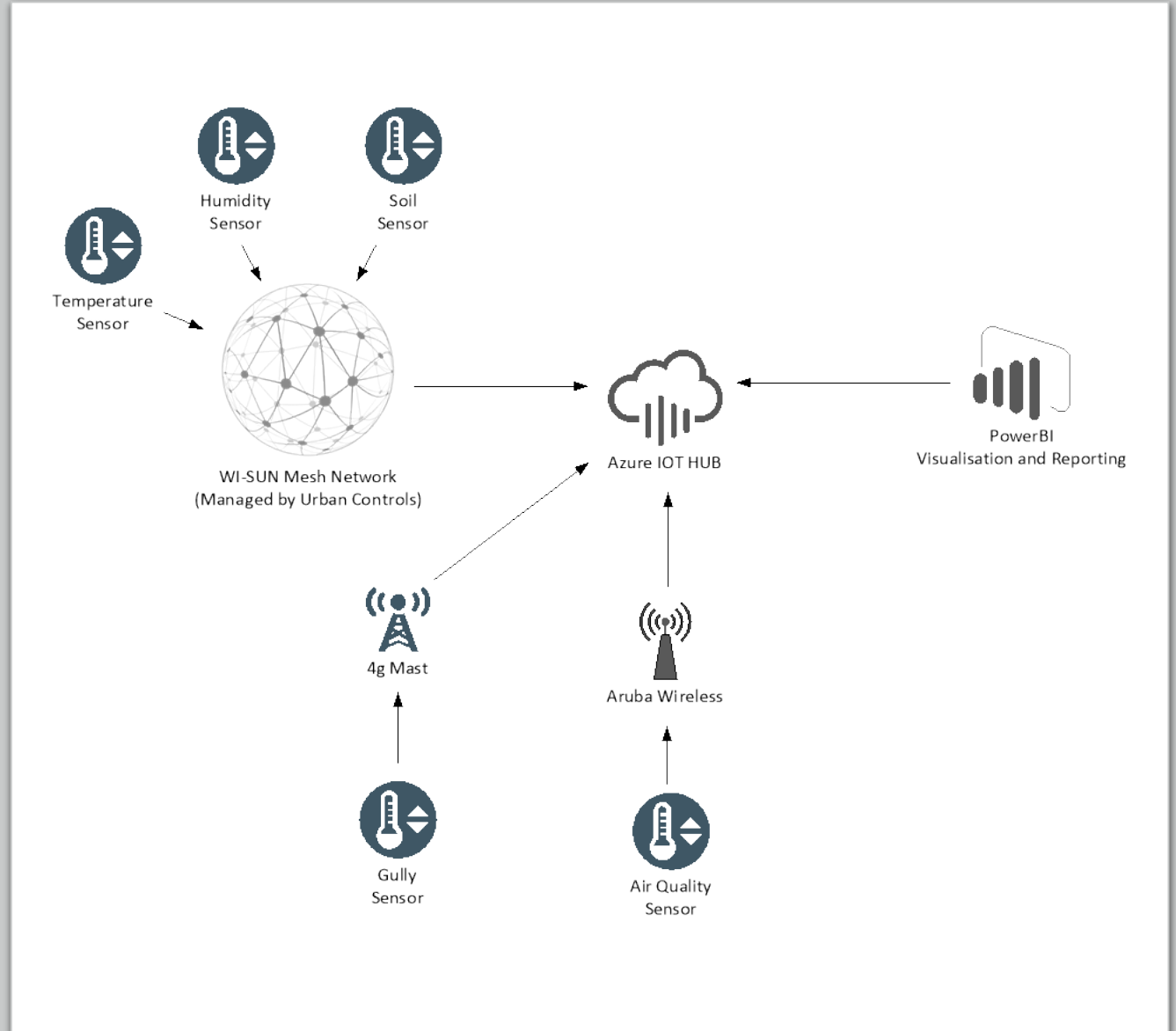


# Corporation Premises (Inside)

- Technical investigation underway. Business case being drafted. Aiming to start with a small contingent of air quality sensors as a POC.
- Aiming to connect IOT devices to Aruba Wireless Access Points. To maximise re-use and reduce unnecessary additional infrastructure.



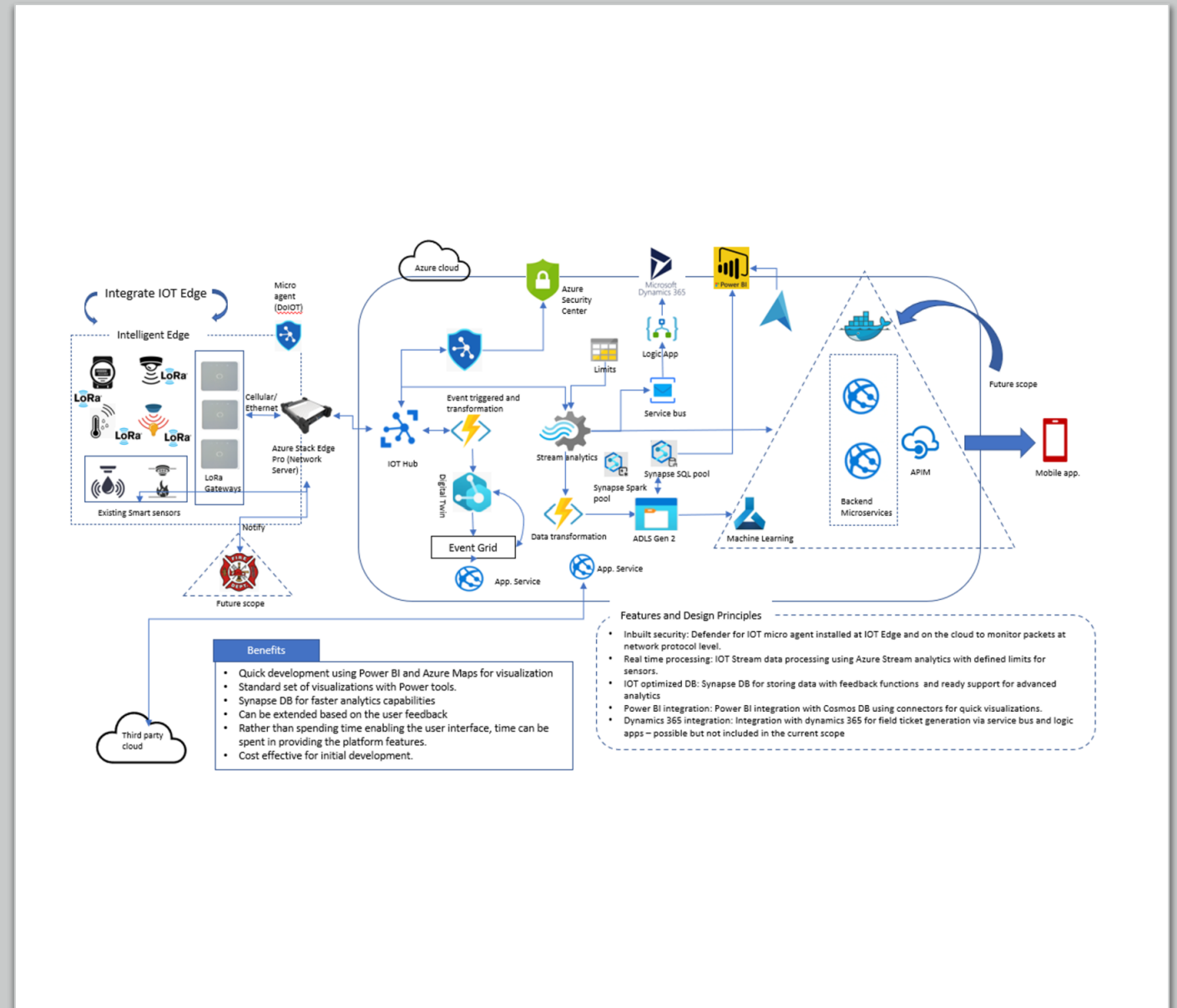
# Intelligent Edge Technology and Data Strategy (Phase One)



# Intelligent Edge Technology and Data Strategy (Phase Two)

- Wider sensor deployment (variety and volume)\*
- Mapping / Digital twin\*
- Automated decision making\*
- Integration with City Data Platform (Theo Blackwell)\*
  - Data Sharing Publicly
  - Data Sharing Lake
  - Data Sharing Library

(\*Subject to onward assessment and approval).





# QA and Feedback

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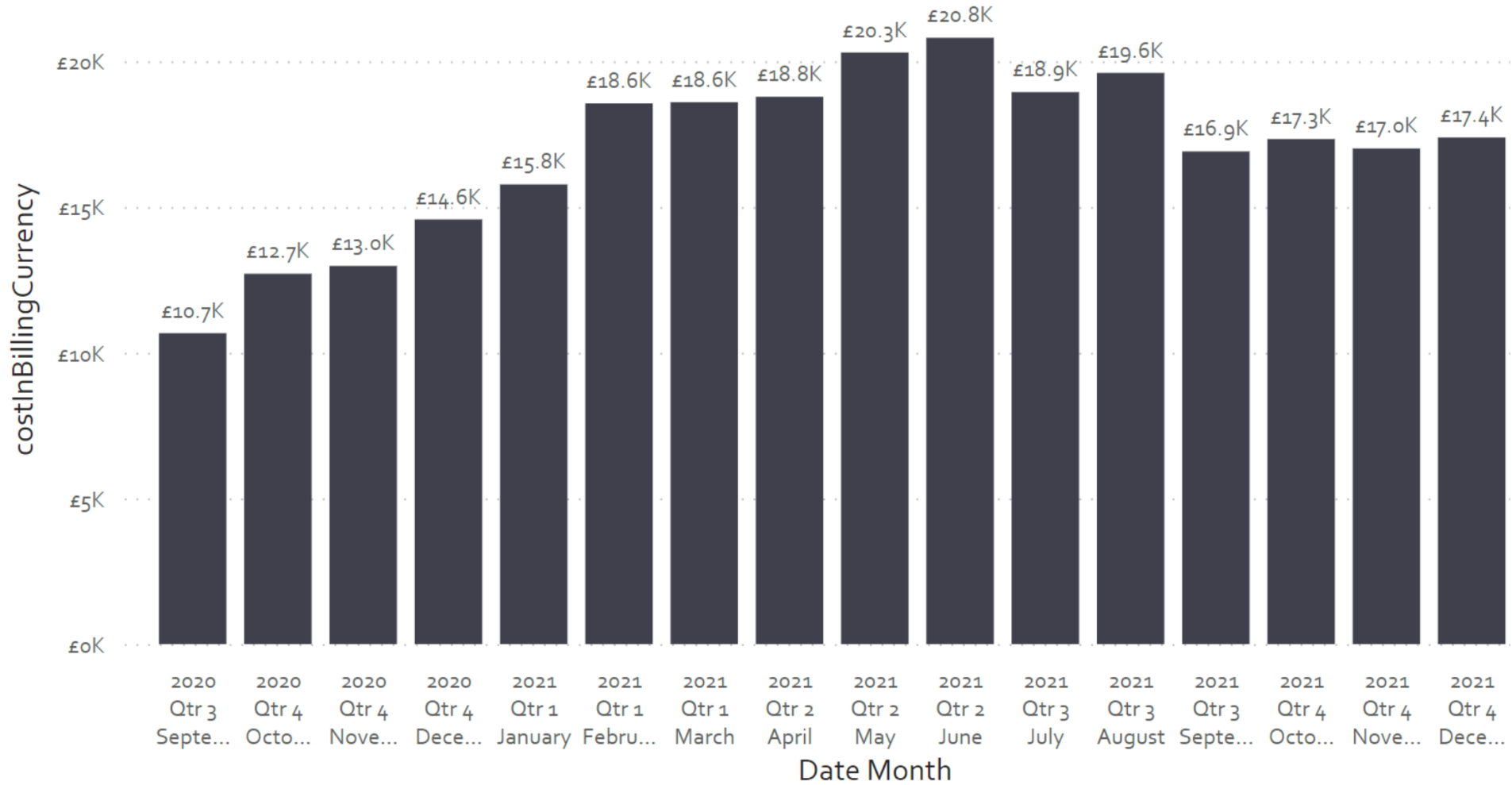
# IT Division Storage Presentation

Prepared by Adam Fielder  
For DSSC 28<sup>th</sup> January 2022

# CoL Azure Storage

- As is 85.2TiB total Azure storage. Production, non-production, security logging, backups, etc (e.g., everything).
- Key dates
  - Main Azure migration completed Q3 2020
  - Spatial Migration Q4 2020
  - CBIS Migration Q1 2021
- Migrate then optimise approach taken (demonstrated on next slide).

# CoL Storage / Cost Graph



# CoL Storage Projects / Programmes

- Migrate from file servers to Sharepoint will reduce storage.
- Most applications now purchased as SaaS. I.e. not hosted within CoL Azure instance.
- Assuming able to collapse CBIS / Itrent infrastructure as part of ERP will further reduce storage.

# CoLP Azure Storage

(note: more detail on the CoLP Storage Strategy to be presented in April 22)

- Total as-is Azure storage is 157.5TiB. This includes production, non-production, backups, etc (e.g., everything).
- Azure storage at CoLP will increase dramatically over the next year due to the following projects;
  - Acesso + 18TiB Q1 2022
  - Digital Forensics + 520TiB Q3 2022
  - Secure cities + 1.2PiB ramping throughout 2022
  - CCTV on-premises streamed to Azure + 9TiB
- Total forecast storage at CoLP at end of 2022 = circa 1904 TiB / 1.9PiB
- Future projects (Vehicle / Body CCTV, etc) may also impact CoLP Azure storage requirements.

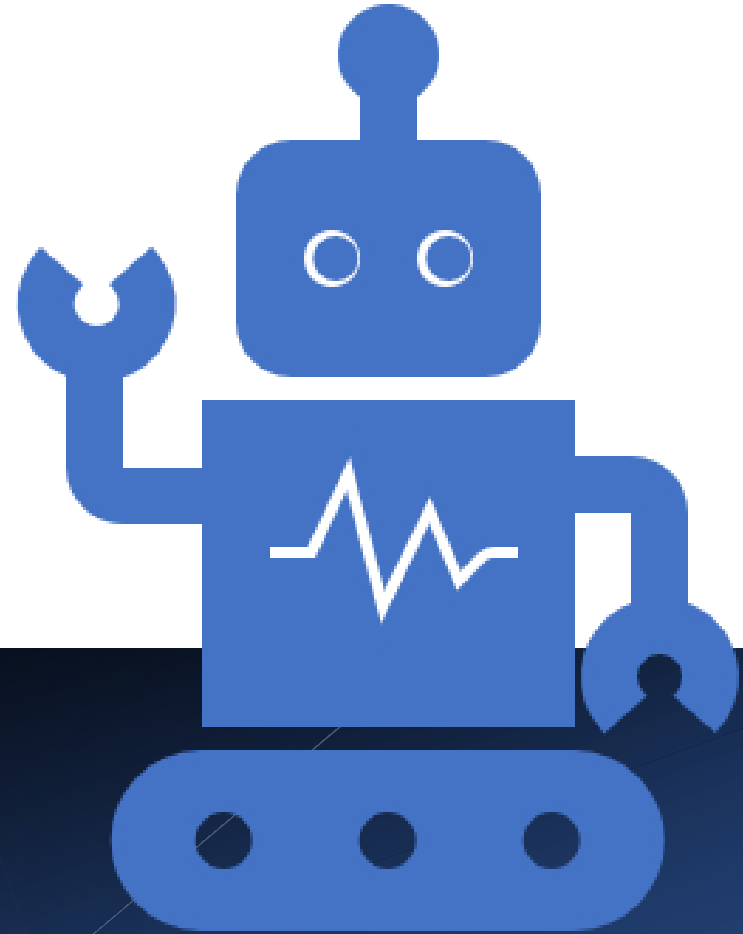
# Comments / Recommendations

- Capacity management attention should be weighted towards CoLP for storage.
- Strong recharge mechanisms / governance to ensure that project based consumption is not taken from IT budget.
- Continue to pursue SaaS hosted applications wherever possible.
- Review the CoLP Storage Strategy in April 22
- Where CoLP must host within Azure, seek serverless solutions (which reduces total storage needs and simplifies backup / recovery mechanisms).



# Service Automation

Presentation to Digital Services Sub  
Committee



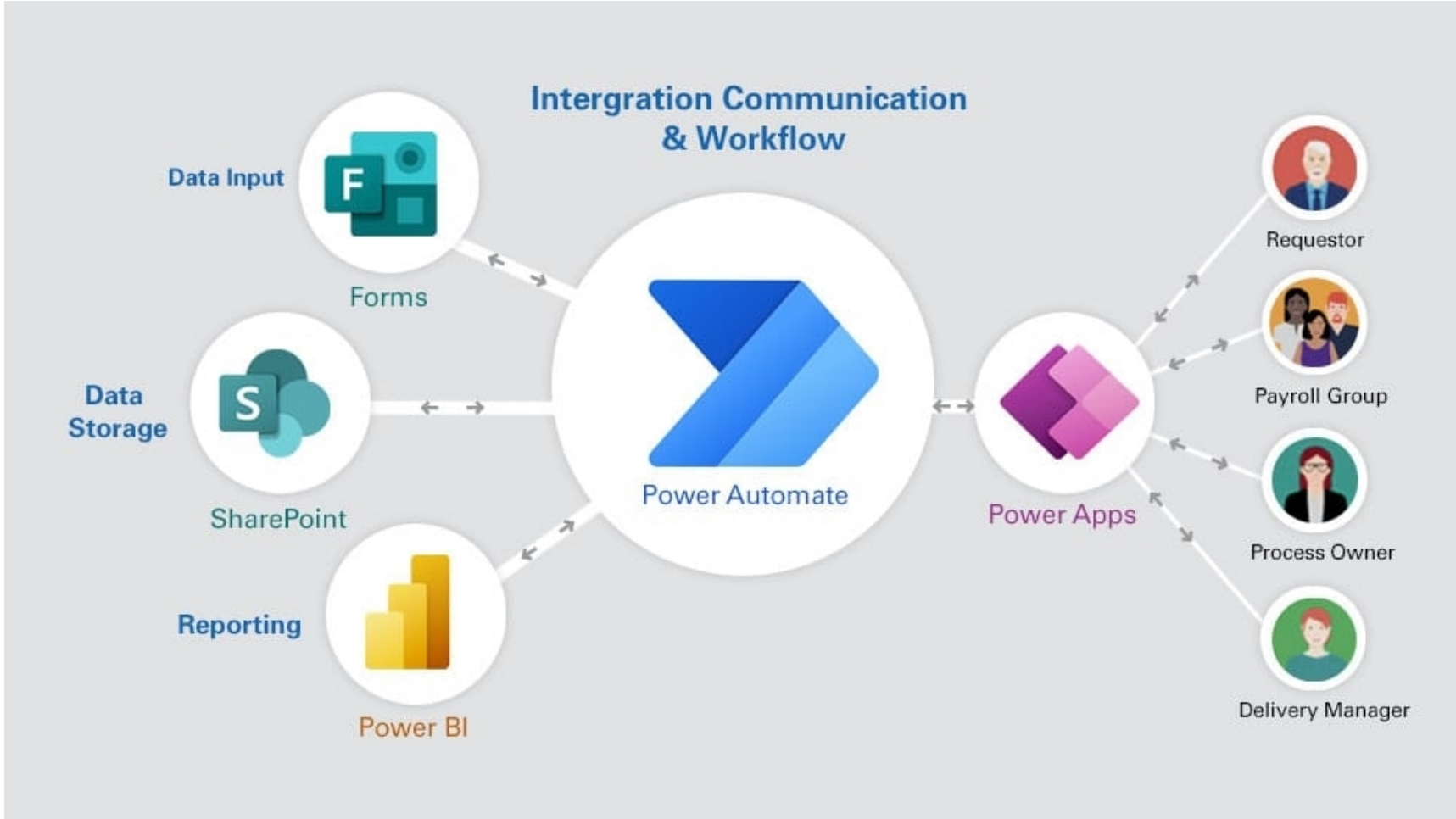
# Defining Automation

- IBM define 4 types of automation;
  - **Basic automation:** Basic automation takes simple, manual tasks and automates them e.g. online payments or an online application form
  - **Process automation:** Process automation manages business processes for uniformity and transparency e.g. the use of workflow for approvals.
  - **Advanced automation:** Advanced automation brings together humans and machines to integrate multiple systems across the organization e.g end to end process management.
  - **Intelligent automation:** Driven by AI, intelligent automation means that machines can “learn” and make decisions based on situations they have encountered and analysed e.g. machine learning

# Automation Tools

- Microsoft
  - Power Platform
  - Microsoft Graph / PowerShell
  - End Point Manager / Intune
  - AutoPilot
- ServiceNow
  - IT Service Management Tool
- Granicus GovService (Firmstep)
- Line of Business Applications

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# Automation Tools – Granicus GovService (formerly Firmstep)

- Online E-Forms (around 100)
  - Payments, Applications, Reports
  - Main public facing forms include Council Tax Payments, Voter Registration, Swimming Season Ticket Applications, and Fault Reporting
  - Online Customer Portal (Report, Pay, Apply)
  - Case Management Tool
  - Application Programme Interfaces (APIs)
- 
- 15.5k form submissions in 2021
  - £5.26m payments in 2021

# Pan London Hazardous Waste Collection - Granicus

- Granicus has been used to replace the legacy HAZCOL system – used for managing the pan-London Hazardous Waste Service
- All the application forms and payments are online
- Applications are received electronically and reviewed in the Granicus Case Management tool
- Granicus integrates with the BIFFA back office system, so that all requests are automatically sent to BIFFA, and Granicus is updated once the collection is recorded in the BIFFA system
- Granicus now manages the end to end process for Hazardous Waste Collections, saving significant staff time and replacing previous paper based processes

# Occupational Health – Office 365



PRE EMPLOYMENT CHECKS AND REFERRALS WERE PAPER BASED – EVERY SUBMISSION NECESSITATED THE CREATION OF A NEW PAPER FILE



SUBMISSIONS ARE NOW ELECTRONIC (MICROSOFT FORM)



RECORDS ARE STORED ELECTRONICALLY (SHAREPOINT)



PLANS TO DIGITISE EXISTING PAPER-BASED RECORDS



FURTHER WORK ONGOING TO DIGITISE THE END-TO-END OCCUPATIONAL HEALTH PROCESS

# City Gardens - PowerApps

- The City Gardens Team are required to audit City parks, gardens and pay areas. Previously carried out using paper based processes and spreadsheets.
- Mobile PowerApp developed in partnership with third party – electronic auditing of sites, with automated update to back office database (SharePoint list).
- Further enhancements and support now provided by in house Content and Collaboration team.

# City of London Police - PowerApps

- IT Modernisation Programme and National Enabling Programme (NEP) have now delivered Office 365 and Power Platform capability to COLP.
- COLP are now utilising PowerApps to deliver service efficiencies.
- NEP Application Catalogue
  - MYCJ App
  - Op Hampshire
  - Car Pool Bookings
- Community of Citizen Developers (25) to develop own PowerApps
- Technical support provided by the Content and Collaboration Team



# City of London Events – Dynamics 365 / PowerApps



City of London Events (Guildhall and Mansion House) are now managed through Dynamics 365 and PowerApps.



Automated event invitations and responses now replace e-mails and manual updates.



Mobile PowerApp developed for Event Check Ins, with automatic updates to Dynamics 365

# Markets Stock Management - Pirana

Page 50

- 3 Markets historically managed stock differently – use of paper based processes, access databases, legacy applications and spreadsheets
- Move to a shared and dedicated stock management solution (Pirana)
- Automated deliveries using barcode scanning
- Automated stock take and annual audits
- Reporting, auditing and visibility across all Market stock
- Removal of paper based processes and manual data entry

# Use of Automation in IT Services

**Digital Services Portal** – self service catalogue items include automated request allocation and approval workflows (ServiceNow)

**New SharePoint and Teams requests** – utilise Power Automate for approval workflow and automated creation

**Device Refresh Programme** – use of Autopilot for automated configuration of devices – shipped directly from supplier to user addresses

**Microsoft Azure Automation** – trialling use of Azure automation to make servers available only when required.

**Microsoft Intune** – Mobile Device compliance, notifications.

# Challenges

- Automation best suited to high volume transactions – large number of COL services and typically low volume.
- Limited business change capability / capacity across COL Services
- Need for strong sponsorship and a clear mandate for automation
- Risk of automating poor or flawed processes – not providing an end to end solution (sub optimal) or using the wrong or response e.g. providing additional tools rather than addressing shortfalls in line of business applications
- Limited IT capacity e.g. 1 x BA resource, vacant Digital Programme Lead role and absence of other GDS capabilities (user experience, service design)

# Opportunities

- Significant potential for further automation across COL services – not just online functionality, but delivery of end to end process efficiencies.
- Need for investment in Delivery, Technical, User Design, Business Analysis and Process Improvement capabilities to re-engineer processes and track benefits.
- Tracking and calculation of efficiencies delivered – cashable and non cashable – used to inform prioritisation and benefit realisation.
- Further Azure capabilities – Power Virtual Agents (chat bots), Robotic Process Automation.

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# Agenda Item 9

<b>Committee(s)</b>	<b>Dated:</b>
Digital Services Sub-Committee – For Information	<b>28<sup>th</sup> January 2022</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> Matt Gosden – Deputy IT Director Eugene O’Driscoll, Client Director	

## Summary

There was a total of 8 P1 and 4 P2 incidents for the City of London Corporation and City of London Police in December 2021. 11 of the incidents were caused by external factors such as supplier works 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 P1 incident and no P2 incidents for the City of London Corporation
- There were 7 x P1 incidents and 4 x P2 incidents for City of London Police.
- **95.78%** of users reported a satisfactory or very satisfactory experience of the City of London Service Desk and **98.04%** of users reported the same for the City of London Police Service Desk.

Preparation is beginning for the CoLP Penetration testing on 24<sup>th</sup> Jan.

Corporate IT and Agilisys are working on several service improvements.

## **Recommendations**

*Members are asked to note this report*

## Main Report

### Service levels and exceptions

#### 1. City of London Police P1 incidents

There were 7 P1 incidents

Affected Service	Duration	Reason	Resolution	Problem Management plan
ANPR	03:26	To be advised by 3rd party supplier Jenoptik	Resolved by 3rd party supplier Jenoptik	Supplier Management
Niche/Pronto	01:39	The DC time was not syncing correctly	The time was synced on the DC servers and local devices	MIR Action
Internet	01:39	Certificate issue	Roc used a workaround to overcome the certificate issue	Supplier Management
PNC	03:10	To be advised by 3rd party PNC Hendon	Resolved by 3rd party PNC Hendon	Problem Management
Telephony	04:55	To be advised by 3rd party Daisy	Resolved by 3rd party Daisy	Supplier Management
PNC	02:56	To be advised by 3rd party PNC Hendon	Resolved by 3rd party PNC Hendon	Problem Management
PNC	04:06	To be advised by 3rd party PNC Hendon	Resolved by 3rd party PNC Hendon	Problem Management

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

There were 4 P2 incidents

Affected Service	Duration	Reason	Resolution	Problem Management plan
Evidence.com	05:06	Failure of one of the backend database nodes	3rd party Axon restored the service by reprocessing the database backlog to make records accessible	Supplier Management
Niche	03:51	The devices had returned to an 'out of the box' state	A reg fix batch file was run on the devices	Supplier Management
Network	03:09	A Microsoft Windows feature release caused too much traffic on the network	Patching was suspended	Replanning
Telephony	02:19	To be advised by 3rd party Daisy	Resolved by 3rd party Daisy	Supplier Management



### 3. City of London Corporation P1 incidents

There was 1 P1 incident in December.

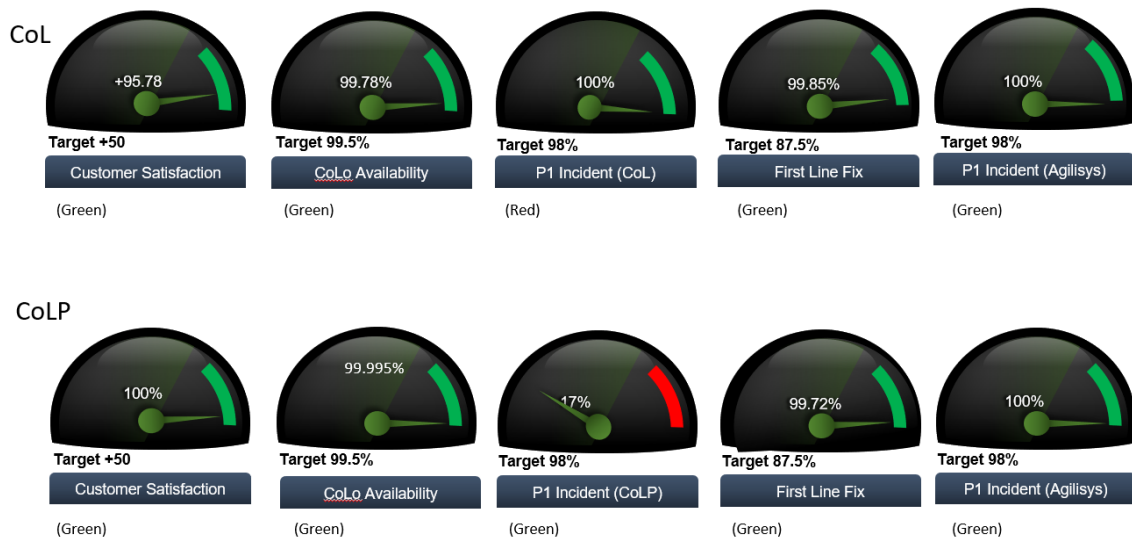
Affected Service	Duration	Reason	Resolution	Problem Management plan
Contact Centre Telephony	01:33	To be advised by 3rd party supplier Daisy	Daisy restarted config and server monitor process	Supplier Management

### 4. City of London Corporation P2 Incidents

There were no P2 incidents in December.

Service performance summary is detailed in the dashboard below:

#### Gauges to monitor performance – December 2021

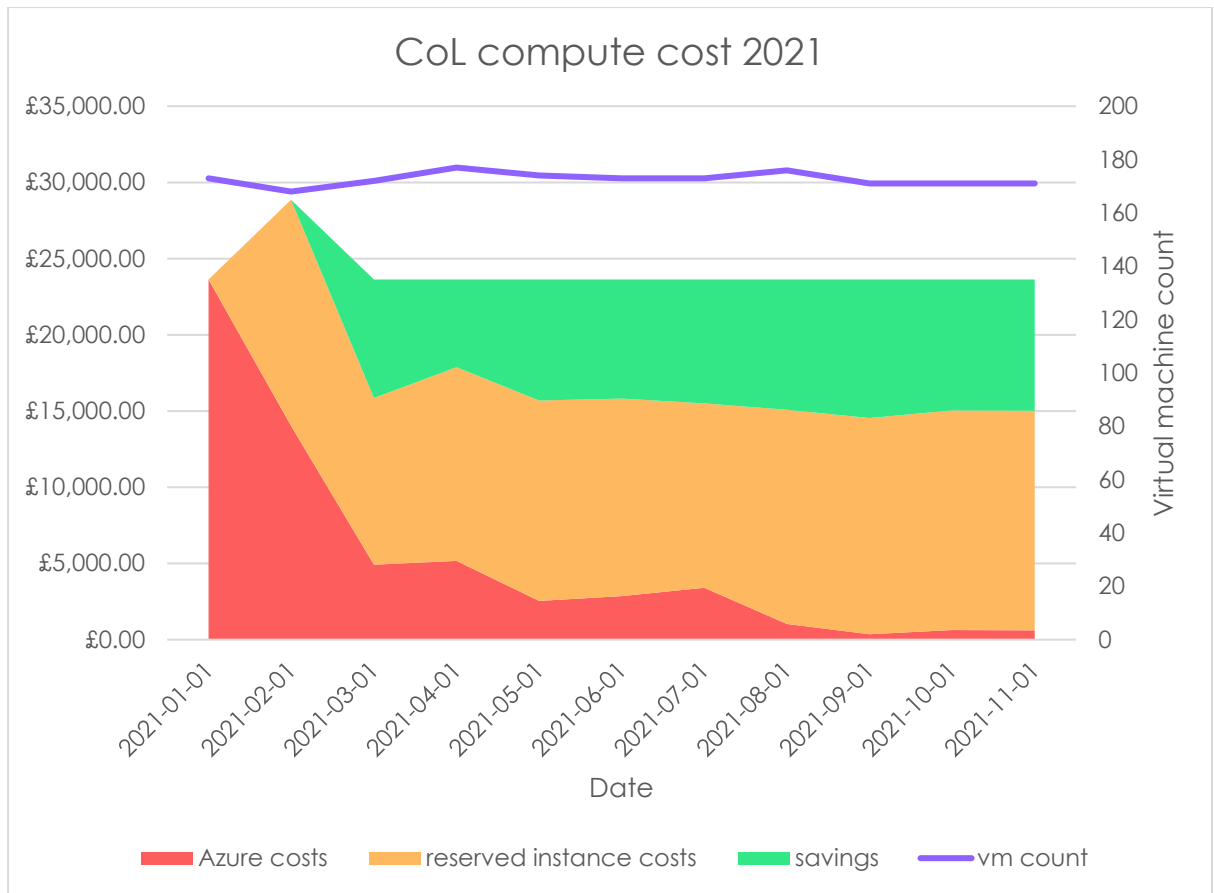


## 5. Service improvements and highlights

- The Agilisys and in-house services are stable and reliable:
  - In the last 6 months there have been 5 P1 incidents in the City of London Corporation and 5 P2 incidents, none of which were for Agilisys.
  - In the last 6 months there have been 34 P1 and P2 incidents in City of London Police, almost all of which were caused by external issues managed by 3<sup>rd</sup> parties.
- Self-service portal improvements were completed and following a successful communications campaign in support of removal of the email facility at the Service Desk, users in the Corporation are now raising 63% of incidents and requests via the self-service portal, taking advantage of built-in automated workflows to speed up resolution. City of London Police colleagues are raising 27% of incidents and requests via the portal.
- Preparation work in progress for the CoLP IT Health Check (PSN) to take place in January 2022.
- Agilisys are reviewing possible contract scope changes

## 6. City of London Corporation Azure cost saving 2021

- The introduction of Reserved Instances (RI's) in the early part of 2021 has seen substantial tangible saving to the COL Azure cost for the period 2021.
- As the graph below shows, the virtual machine count (purple line) across the CoL subscriptions has remain consistent throughout the year
- The introduction of RI's in February has seen the native Azure bill (red) reducing and even with the inclusion of the RI costs (orange) it is still well below what would have been the expect run rate without any action (green)
- This change equates to over **£70,000** saving during this period.



**Authors**

Matt Gosden  
 Deputy IT Director  
[Matt.Gosden@cityoflondon.gov.uk](mailto:Matt.Gosden@cityoflondon.gov.uk)

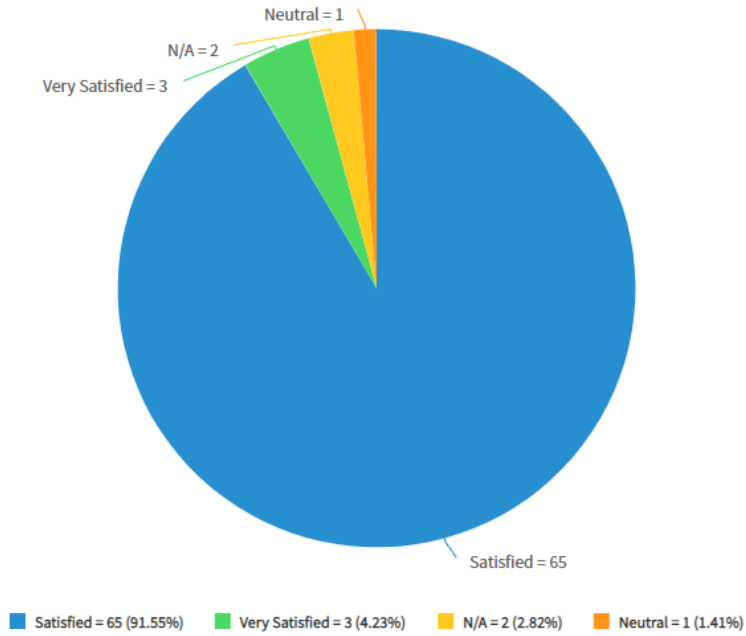
Eugene O’Driscoll  
 Client Director  
[Euegen.O’driscoll@cityoflondon.gov.uk](mailto:Euegen.O’driscoll@cityoflondon.gov.uk)

**Appendices**

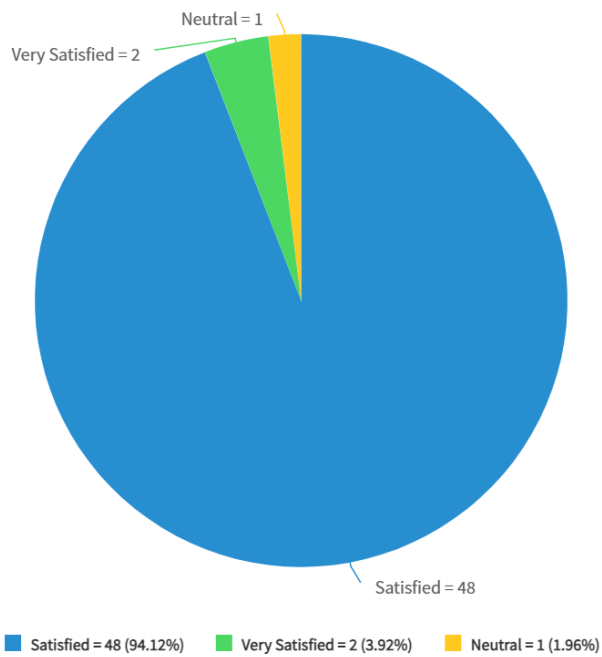
Appendix 1 – Trend Graphs

Appendix 1 – Trend Graphs

## City of London Corporation Customer Satisfaction

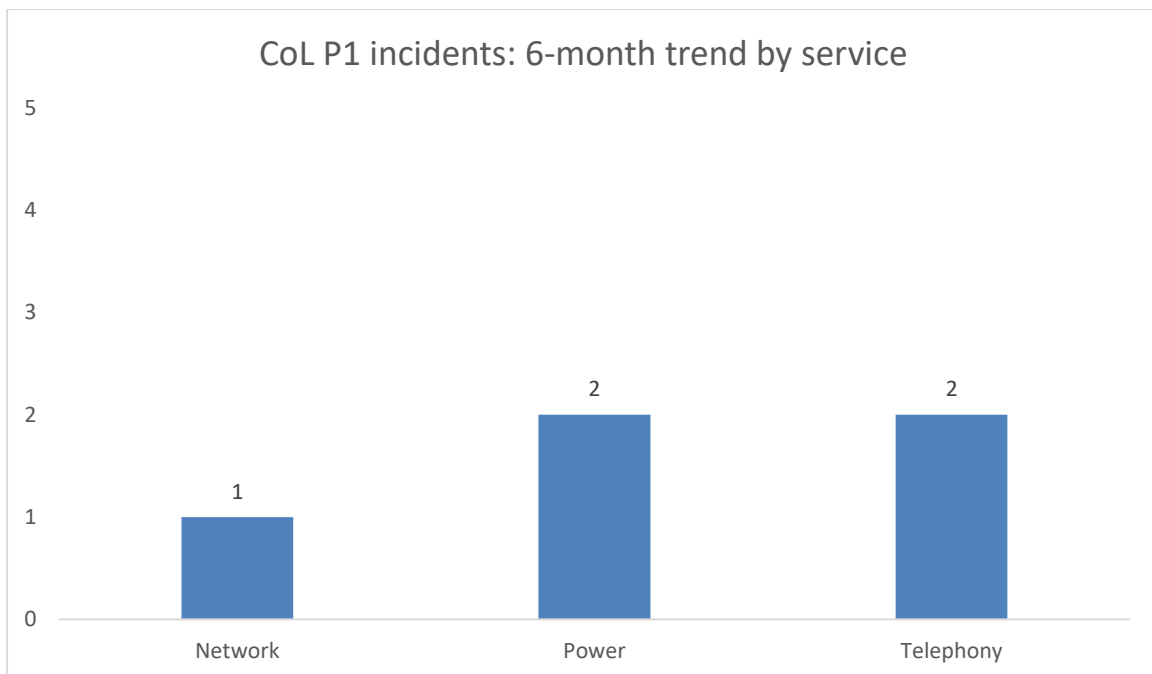
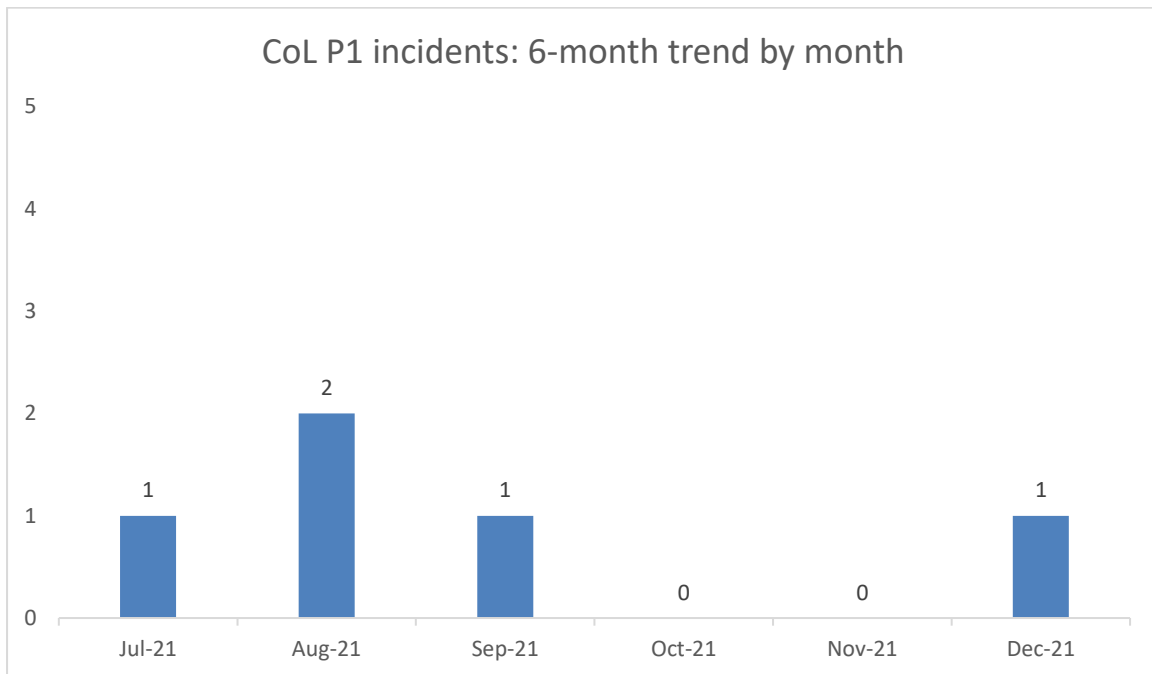


## City of London Police Customer Satisfaction

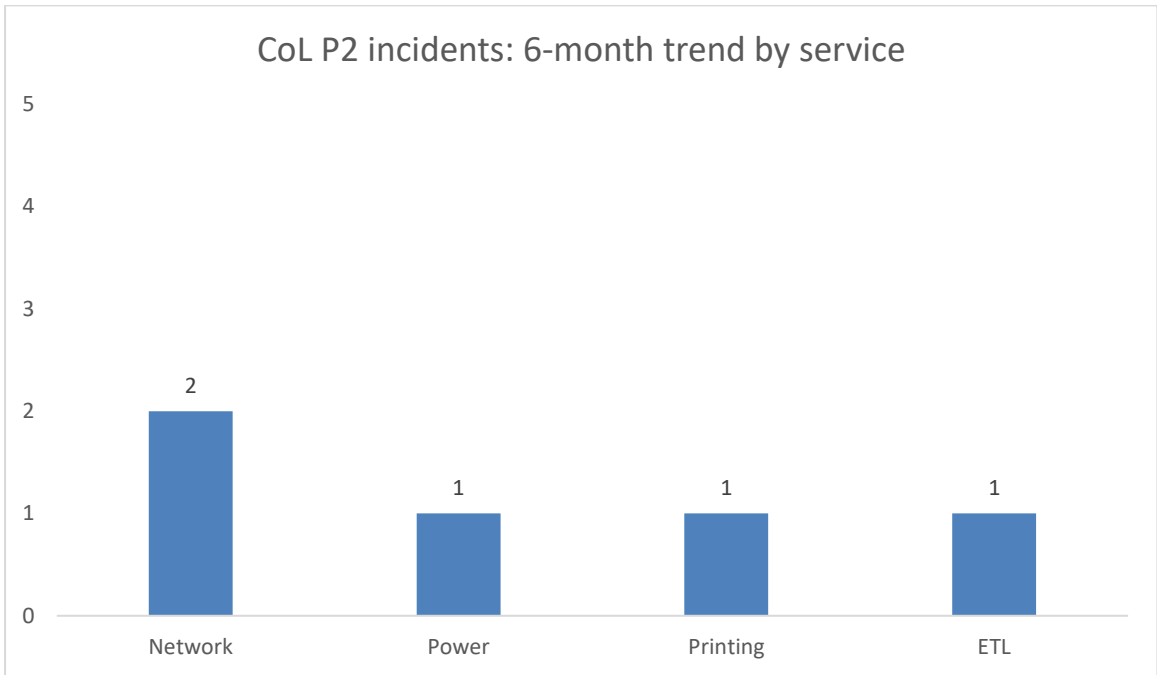
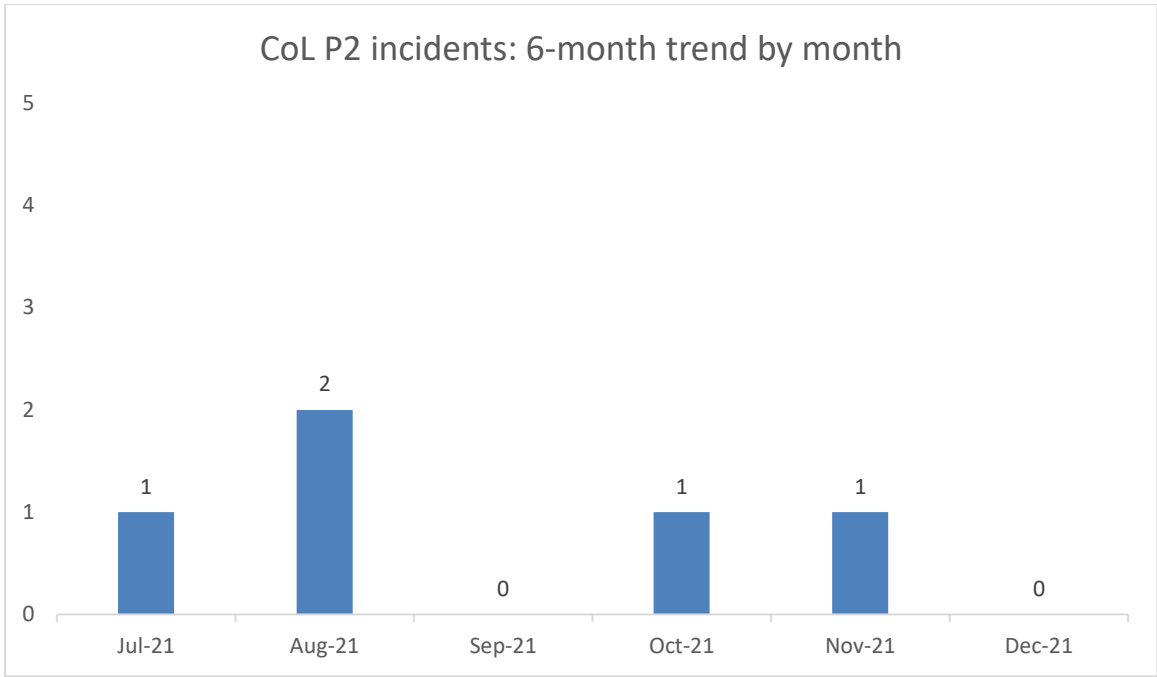


## City of London Corporation (CoL) Priority Incident trending – 6-month view

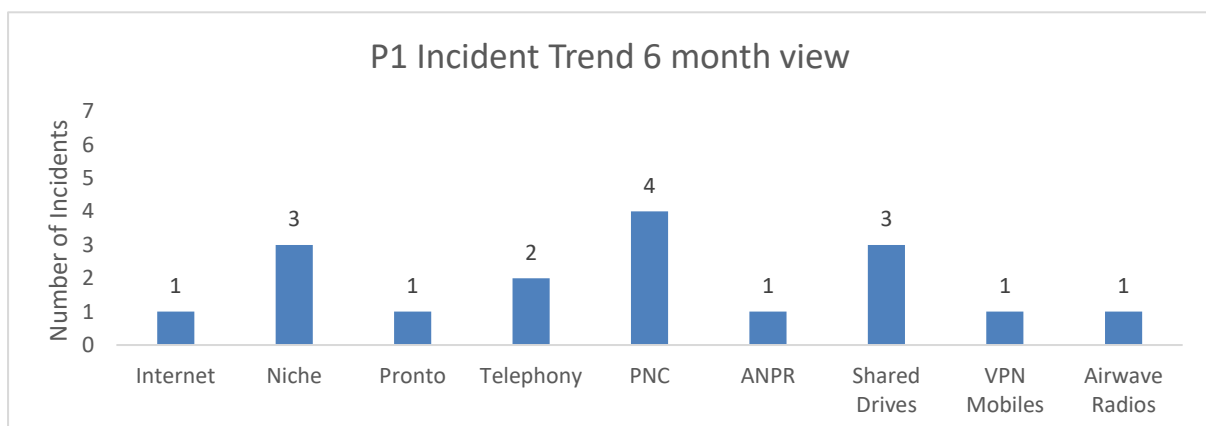
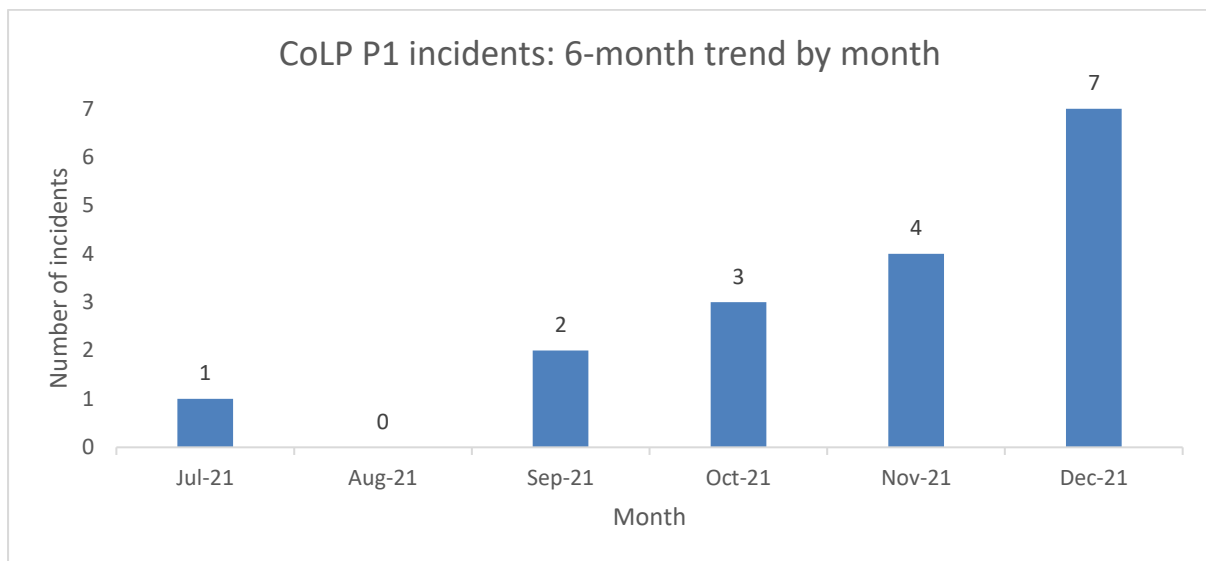
There were 4 P1 incidents in the last 6 months.

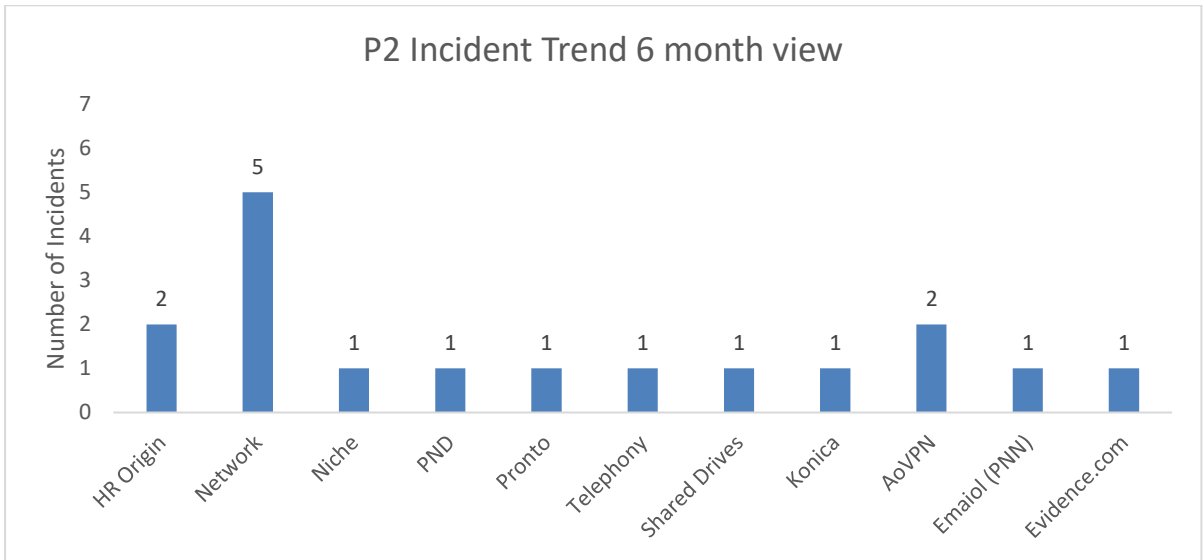
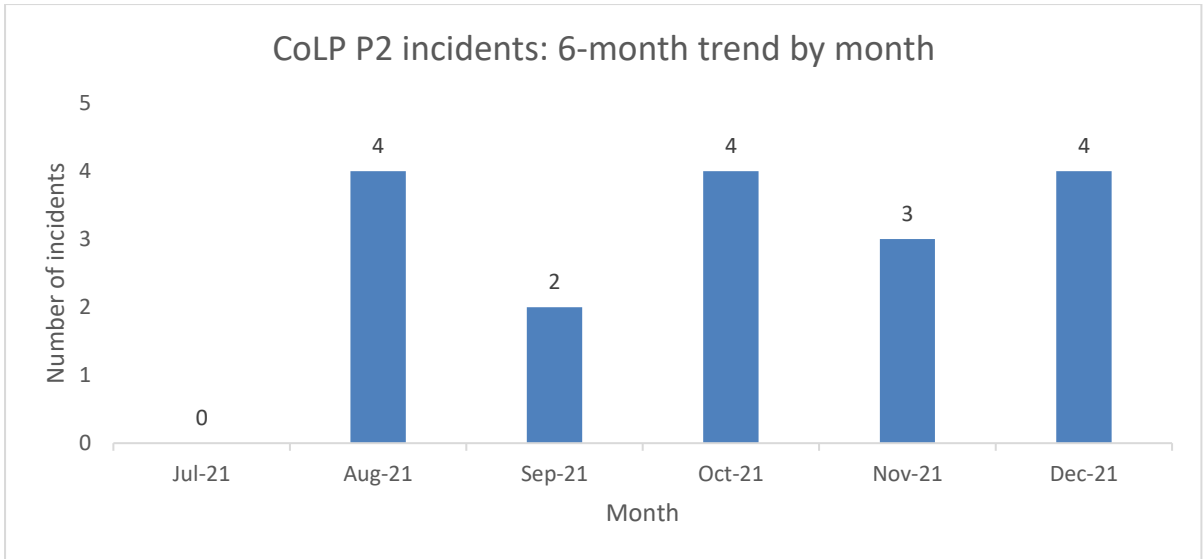


There were 5 P2 incidents in the last 6 months.



## City of London Police (CoLP) Priority Incident trending – 6-month view







<b>Committee(s)</b>	<b>Dated:</b>
Digital Services Sub Committee – For Information	28 <sup>th</sup> January 2022
<b>Subject:</b> IT Division Risk Update	<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 upgraded our MS licences from E3 to E5 which will help mitigate this.
- We are currently working on mitigating a vulnerability recognised worldwide called Logi4j. So far, the major risks of this are contained as we work through the remediation and patching plan.
- Other mitigations include promoting security training and on-going and regular security communications to all staff and Members.
- 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 February 2022.
- Further, IT Security training offered to staff and Members and regular communication on security issues on the intranet and via email

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 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
- The Executive Board has agreed to allow one member of staff to represent each department up to 1 day a week to support IM Projects.

### **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**

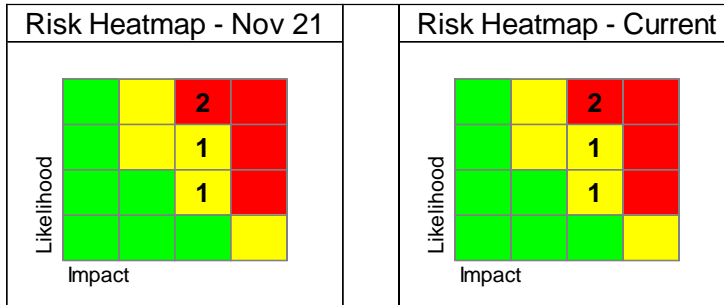
2. The IT Division currently holds 2 Departmental risks, one of which is scored as Red. All risks have owners, clear actions, with target dates to enable focussed management, tracking and regular and consistent reviews.
3. These risks are as follows:
  - CHB IT 004 Business Continuity – Amber – there is a draft BCDR plan which should be finalised by the date of the next DSSC meeting.
  - CHB IT 031 IT Revenue Budget – Red – the IT operating budget is forecast to be overspent at the end of the current financial year.

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**

- There has been no movement of the risk scores since the last report.

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

			Trend
<b>Extreme Impact:</b>			
Risks with "likely" likelihood and "extreme" impact:	0	0	↔
Risks with "unlikely" likelihood and "extreme" impact:	0	0	↔
Risks with "rare" likelihood and "extreme" impact:	0	0	↔
<b>Major Impact:</b>			
Risks with "likely" likelihood and "major" impact:	2	2	↔
Risks with "possible" likelihood and "major" impact:	1	1	↔
Risks with "Unlikely" likelihood and "major" impact:	1	1	↔

↑ Increase in No.  
 ↓ Decrease in No.  
 ↔ Static No.

**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

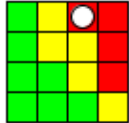
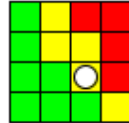

E: [samantha.kay@cityoflondon.gov.uk](mailto:samantha.kay@cityoflondon.gov.uk)

T: 07817 411176

# APPENDIX A - CHB IT All CORPORATE & DEPARTMENTAL risks



Page 69

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>CR16</b> <b>Information Security</b> <b>(formerly CHB IT 030)</b>	<p><b>Cause:</b> Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information.</p> <p><b>Event:</b> The City Corporation does not adequately prepare, maintain robust (and where appropriate improve) effective IT security systems and procedures.</p> <p><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.</p>	<div style="display: flex; flex-direction: column; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small;">Likelihood</div>  <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small;">Impact</div> </div>	<p style="text-align: center; font-weight: bold;">16</p> <p>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.</p> <p>We are currently working on mitigating a vulnerability recognised worldwide called Logi4j. So far, the major risks of this are contained as we work through the remediation and patching plan.</p>	<div style="display: flex; flex-direction: column; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small;">Likelihood</div>  <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small;">Impact</div> </div>	<p style="text-align: center; font-weight: bold;">8</p>	<p>31-Mar-2022</p>	

Page 70 - May-2019 Emma Moore			<p>Other mitigations include promoting security training and on-going and regular security communications to all staff and Members.</p> <p>The Results of the IT Health Check have been received and a Remediation Action Plan (RAP) has been developed. Remediation activities have commenced.</p> <p>Work on a simulated cyber attack is being planned with the IT Security Team for completion by the end February 2022.</p> <p>Further, IT Security training offered to staff and Members and regular communication on security issues on the intranet and via email</p> <p><b>12 Jan 2022</b></p>					
							Reduce	Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR16k	Final stages of completing information security projects which will mean that we can assure Members that the City of London Corporation has implemented all the national government recommended security practices and technology achieving a maturity level of 4.	With the agreement of the E5 business case by Members the improvements to our security stance can now begin with resources procured to support implementation	Gary Brailsford-Hart	12-Jan-2022	31-Mar-2022
CR16m	Work on a simulated cyber attack is being planned with the IT Security Team	<p>The COLP IMS Team are developing and will implement two activities toward the end of the calendar year:</p> <p>A Red Play activity – A scenario-based exercise which simulates a Ransomware attack and tests our response to a similar incident. Scheduled for January 2022, with follow up by the end of the month.</p>	Matt Gosden	12-Jan-2022	28-Feb-2022

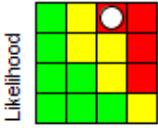
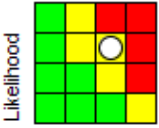

CR16n	Work on a simulated cyber attack is being planned with the IT Security Team	A White Hat activity – this is where we employ an Ethical Hacker to try to gain access to COL systems using typical hacking tools and techniques.	Gary Brailsford-Hart	12-Jan-2022	31-Mar-2022
CR16o	Remediation of PSN outstanding issues	PSN submission signed by the town Clerk and document set submitted to the Cabinet Office PSN Assessment Team on Tuesday 11th Jan 2022.	Matt Gosden	12-Jan-2022	30-Mar-2022

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 Impact	12	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  The Executive Board has agreed to allow one member of staff to represent each department up to 1 day a week to support IM Projects.  There is no Capital investment to improve our IM infrastructure and uncertainty where data analysis responsibilities are to be established in the new TOM.	 Likelihood Impact	6	30-Jun-2022	 Constant
							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	New Information Management Campaign being deployed in January. Work on the role of IM in the new TOM has begun recommended along with a funding bid.	Sean Green	12-Jan-2022	31-Jan-2022
CR29f	Ensure officers can implement the data retention policy and data discovery requirements from GDPR	Reviewing Azure tools that can assist in the analysis of SQL databases	Adam Fielder	12-Jan-2022	31-Jan-2022



CR29g	IM Audit Actions to be implemented	Several audit actions now need to be considered and planned for implementation up to the end of June. Dependent on a resource uplift bid within the IT TOM proposal.	Sean Green	12-Jan-2022	30-Jun-2022
CR29h	W Drive moved to SharePoint	Work to begin on migrating the W Shared Drive to SharePoint following sign off from Executive Leadership team		12-Jan-2022	30-Apr-2022
CR29i	Local SIRO training for the Chief Officer Team	Training to be sourced and provided to all Chief Officers on the responsibilities of a SIRO	Nick Senior	12-Jan-2022	30-Apr-2022
CR29j	IM Maturity Plan	More detailed mitigation actions for cultural, infrastructure and information tooling to be developed – this is resource dependent and will not start till after the new TOM is implemented in April 2022	Sean Green	12-Jan-2022	30-Jun-2022

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 74 10-May-2021 Sean Green	<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. <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 <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.	 Likelihood  Impact	<b>16</b>	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 the timing of the TOM, IT has been unable to make any savings in this area. Contract negotiations are ongoing with key suppliers where appropriate. Further savings could have an impact on the provision of the IT service.  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.  <b>12 Jan 2022</b>	 Likelihood  Impact	<b>12</b>	31-Mar-2022	  Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CHB IT 031a	Complete review to quantify savings	£400k of savings have been identified, with £800k full year impact for the next FY if the savings are achieved. There are several savings that are awaiting negotiation and review both internally and with suppliers. Given the cost pressures on the IT budget in particular with Compute and Storage the savings have been consumed in the financial year and the net in year saving is only £100k. There are some areas of one-off savings that we are now exploring with Finance colleagues.	Kevin Mulcahy	12-Jan-2022	31-Mar-2022

CHB IT 031b	Prepare and execute the IT savings plan for 21/22 with agreement from relevant stakeholders in the organisation	<p>An interim new dedicated Project Manager and Capacity Manager is being employed to develop and drive forward the IT savings for the Corporation. This is profiled and is being discussed at monthly meetings with the Chamberlain.</p> <p>Ongoing- review process as part of bi-lateral</p>	Sean Green	12-Jan-2022	31-Mar-2022
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Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date/Risk Approach	Current Risk score change indicator
<b>CHB IT 004 Business Continuity</b>  30-Mar-2017 Sean Green  Page 76	<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	The draft BCDR plan has been produced but requires further input relating to Critical Apps and Services and the Recovery Point Objective (RPO) and Recovery Time Objective (RTO) to complete.  <b>12 Jan 2022</b>	<p>Likelihood</p> <p>Impact</p>	4	31-Mar-2022	Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CHB IT 004k	RPO and RTO of Critical Apps	Find out the RPO/RTOs for all critical applications in Azure and marry back to Critical Apps and Services list	Adam Fielder	12-Jan-2022	31-Mar-2022
CHB IT 004n	Produce IT-wide BC/DR Plan	The first draft of the BCDR Plan has been received but requires further input relating to Critical Apps and Services and the Recovery Point Objective (RPO) and Recovery Time Objective (RTO) to complete.  Production is underway and is scheduled for completion by 17th Jan 2022	Matt Gosden	12-Jan-2022	30-Jan-2022
CHB IT 004O	UPS Project Delivery	Following a scheduling delay, the first of three comms rooms will be upgraded on Saturday the 22 <sup>nd</sup> of January, with the remaining two Comms rooms due for completion by the end of February 2022.	Matt Gosden	12-Jan-2022	28-Feb-2022





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