



Report of: Chief Digital and Information Officer

Report to: Corporate Governance and Audit Committee

Date: 8/2/2021

Subject: Assurance Report on Digital Information Systems controls

Are specific electoral wards affected? If yes, name(s) of ward(s):	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Has consultation been carried out?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are there implications for equality and diversity and cohesion and integration?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Will the decision be open for call-in?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Does the report contain confidential or exempt information? If relevant, access to information procedure rule number: Appendix number:	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Summary

1. Main issues

This report provides assurance in relation to the management and control mechanisms supporting the successful ongoing delivery of Digital and Information service provision.

DIS provide services across the Council, Leeds CCG, Leeds GP practices plus Aspire, WYJS, some schools and Leeds Grand Theatre. Under the newly appointed CDIO, a single DIS team spanning both the Council and the CCG will be established and as such there will be further changes to governance and control mechanisms.

This report covers the control mechanisms currently in place to manage:

- Operational performance including service performance indicators and risk management
- Project and Portfolio management including demand and resource management controls
- Information Governance and security compliance
- Digital Inclusion
- Value for Money

2. Best Council Plan Implications (click [here](#) for the latest version of the Best Council Plan)

The Best Council plan ambitions include:

- Reference to digital capabilities playing a central role in maximising the use of tools and technology to improve and transform the way the council works, provides services and engages with citizens.
- Reference to promoting and investing in digital inclusion and skills
- DIS specific KPI'S –
 - Percentage of ICT service desk calls fixed at the first point of contact
 - Percentage of information requests received responded to within statutory timescales (Freedom of Information, Subject Access Requests and Environmental Information Regulations)

3. Resource Implications

The systems and processes in place and described within this assurance report have been established to manage the allocation of resources and to manage resource conflicts.

Recommendations

Corporate Governance and Audit Committee are asked to:

- Consider and note the information provided
- Note the remit and accountabilities of DIS and the potential further changes to governance to reflect these
- Suggest areas where they would like to see further focus.

1. Purpose of this report

- 1.1 The purpose of this report is to provide assurance on the management and control mechanisms which support the successful ongoing delivery of Digital and Information service provision.

2. Background information

- 2.1 DIS provide services across the Council, Leeds CCG, Leeds GP Practices, Aspire, WYJS, some schools and Leeds Grand Theatre. The newly appointed CDIO has dual accountability and line management of both the Council and the CCG DIS teams with a remit to combine these into one single team. These planned changes will result in changes in our current Council controls. For the purposes of this report, assurance focuses on the current controls in place.

- 2.2 DIS have responsibility for the provision of digital and IT solutions across the Council. A number of services are provided including:

- Proactive maintenance and support across a broad range of systems
- Service Centre fault and request resolution
- Provision and support of IT equipment to individuals e.g. laptops, screens, Smartphones
- Provision and support of IT equipment in office workspaces e.g. conferencing room equipment, printers and shared desk facilities such as screens/mice/keyboards
- Provision and support of telephony solutions
- Provision and support of data network connections
- Management of user accounts and access to IT systems
- Provision and proactive maintenance of IT systems
- Storage and backup of data
- Management and proactive maintenance of IT security systems
- Management of information and compliance with data and security standards
- Management of business intelligence systems and production of data dashboards/reporting
- Development of business change proposals, business cases and the Project/Programme management of change

3. Main issues

- 3.1 There are a number of KPI measures in place across DIS to manage performance in relation to services. Our Service Centre performance and customer satisfaction plus system availability are tracked and reported on a monthly basis within DIS. SLA reports are produced on a monthly basis for those customers who are external/arms-length to the Council. Details of the SLA and KPI performance are contained in Appendix A.

- 3.2 There are a number of external suppliers who provide systems and services which underpin our IT delivery. Contract owners are in place to manage supplier performance, liaise with the business areas who use those products and to undertake regular supplier contract meetings with key suppliers.
- 3.3 Contracts for third party products are reviewed in line with procurement rules and DIS actively manage the timely renewal or re-procurement of contracts to ensure continuity of service. This activity is overseen by the DIS Sourcing team.
- 3.4 Work is underway as part of our Enterprise Architecture approach to develop overall roadmaps which set out the changes and improvements we expect to make at a business level and on our underpinning technologies.

Working with each business area, we will develop a Digital Roadmap which sets out for a 3 year period the key business ambitions and changes due to legislation, the potential projects and changes to achieve this alongside those changes which will be needed on business applications as contracts become due for renewal or replacement.

Underpinning the business layer will be a roadmap for shared business products (such as Microsoft Office) and one for the underpinning technology components which also require ongoing maintenance, upgrades or replacement.

Management and ownership of these Digital roadmaps requires appropriate governance arrangements within each business area and within DIS to agree priorities and commit appropriate DIS and business resource to both the development of opportunities into business case and then to the delivery and implementation of technical solutions and the associated business change. Work is being undertaken to review and strengthen the current governance arrangements.

It is expected that the first full view of our roadmaps will be developed and agreed and that revised governance arrangements will be in place for the start of the 21/22 financial year.

- 3.5 To ensure the ongoing proactive management of the roadmaps and the portfolio of work there will be a need for both business and DIS forums who will be expected to manage/agree new work being added to the portfolio as well as managing conflicts or issues arising.

Within each business area, a steering group will be required to undertake this function. Some Council directorates already have these forums established and work is being undertaken to review and strengthen these as needed in relation to steering group representatives and frequency.

To deal with cross business conflicts, it has been agreed that the current Financial Silver challenge group will receive escalations which require cross Council decisions on priorities.

- 3.6 The management and delivery of projects and programmes by DIS (both on behalf of the business and where the change is DIS led) are managed through a number of forums. DIS has recently reviewed and implemented revised governance arrangements.

Further details of these arrangements are contained in Appendix B.

- 3.7 In addition to traditional approaches to project delivery where requirements are gathered in full prior to solutions being designed or procured, DIS have developed capabilities to deliver change using techniques which focus on faster and more iterative development and delivery of solutions. Working in this way requires different approaches and governance arrangements which have been considered in

the new DIS governance to ensure that resource and capacity is managed, progress can be tracked however decisions can be made quickly and iteratively in relation to scope and outcomes.

- 3.8 Reporting against the portfolio of work has been established which covers individual project and programme progress and the information needed to manage resource demand and capacity.

DIS staff complete resource forecasts on a weekly basis giving a 12 week forward view of their capacity. These resource forecasts cover 'Lights on' planned support, management and development tasks, leave/absence and planned project work which has been assigned. DIS staff also complete a weekly timesheet capturing effort expended against planned tasks.

Decision about new projects or change requests within existing projects can then be assessed against the expected available resource capacity and conflicts managed.

These arrangements are relatively new within DIS and work continues to robustly embed these practices.

- 3.9 Information Governance and security compliance

A Compliance Board has been established which focuses on ensuring we are managing compliance risks, making progress against actions arising from the annual IT healthcheck and providing oversight on all projects to ensure that security and compliance aspects are being duly considered.

The Information Management Board (IMB) provides oversight to all Information Governance projects and activity.

Appendix C covers the Terms of Reference for these boards. The TOR for IMB are currently under review.

- 3.10 Digital Inclusion

Since 2015 the Infrastructure, Investment and Inclusive Growth Scrutiny Board has led an inquiry into digital inclusion with an annual report from the CDIO on progress. The next report is due in April 2021.

- 3.11 Value for Money/Benchmarking

DIS has historically taken part in external benchmarking exercises through SOCITM (Society of IT Managers) which provided a review against other Council IT functions on aspects such as service performance, costs and customer satisfaction. This has not been undertaken in the past 18 months as other Councils and ourselves cut back on non-essential expenditure. DIS continue to measure customer satisfaction internally, costs of contracts and service performance are tested through procurement exercises and ongoing direct conversation with other Local Government users of those services.

The current service does represent value for money however planned changes under the new CDIO including the establishment of a shared single DIS team across both the Council and CCG and a programme of work to move more services online, will necessitate a re-evaluation of this position as we move forward.

3.12 Audit reviews

A number of internal audits are completed each year focussing on different aspects of DIS service and performance. The areas of focus are discussed and agreed each year between the CDIO and Internal Audit. The output of these reviews are reported by the Head of Internal Audit to Corporate Governance and Audit Committee.

3.13 Risk Management

The following Corporate risks are managed in relation to DIS services:

Name LCC 15 - Major ICT Failure

Description Risk that council services are disrupted due to frequent and/or prolonged ICT failures.

Status Open

Probability 3 - Possible

Impact 3 - Moderate

Risk Score High

Name LCC 31 - Major Cyber Incident

Description Risk to Citizens, Council and City as a result of digital crime, process failure or peoples actions.

Status Open

Probability 4 - Probable

Impact 4 - Major

Risk Score Very High

Name LCC 26 - Information Management and Governance

Description

Risk of harm to individuals, partners, organisations, third parties and the council as a result of non-compliance with Information Governance legislation and industry standards.

Status Open

Probability 3 - Possible

Impact 3 - Moderate

Risk Score High

Individual projects and programmes have risk and issues logs which are maintained and managed through project and programme boards.

4. Corporate considerations

4.1 Consultation and engagement

This information is presented for information and comment.

4.2 Equality and diversity / cohesion and integration

There are no specific issues arising from this report

4.3 Council policies and the Best Council Plan

The Best Council plan ambitions include:

- Reference to digital capabilities playing a central role in maximising the use of tools and technology to improve and transform the way the council works, provides services and engages with citizens.
- Reference to promoting and investing in digital inclusion and skills
- DIS specific KPI'S - Percentage of ICT service desk calls fixed at the first point of contact and Percentage of information requests received responded to within statutory timescales (Freedom of Information, Subject Access Requests and Environmental Information Regulations)

4.4 Climate Emergency

Consideration of the climate emergency goals is integrated throughout the development, implementation and review or establishment of any key decisions, strategies, policies, services and functions.

4.5 Resources, procurement and value for money

Effective management of the DIS workforce, supplier contracts and IT assets is undertaken are managed through a combination of performance reporting, governance arrangements as set out within this report.

4.6 Legal implications, access to information, and call-in

Compliance to legal standards for managing information (GDPR), Public Sector network security infrastructure (PSN) and Payment Card Industry (PCI) standards are managed through our compliance boards and as part of individual project delivery.

This report is not subject to call in.

4.7 Risk management

Key Corporate risks are actively managed and reported namely:

LCC15 Major ICT failure

LCC31 Major Cyber Incident

LCC26 Information Management and Governance

Individual projects and programmes have risk and issues logs which are maintained and managed through project and programme boards.

5. Conclusions

- 5.1 This report provides assurance on the management and control mechanisms which support the successful ongoing delivery of Digital and Information service provision within the Council.

6. Recommendations

Corporate Governance and Audit Committee are asked to:

- Consider and note the information provided
- Note the remit and accountabilities of DIS and the potential further changes to governance to reflect these
- Suggest areas where they would like to see further focus.

7. Background documents¹

- 7.1 N/A

¹ The background documents listed in this section are available to download from the council's website, unless they contain confidential or exempt information. The list of background documents does not include published works.

Appendix A

DIS Service Operational performance KPIs

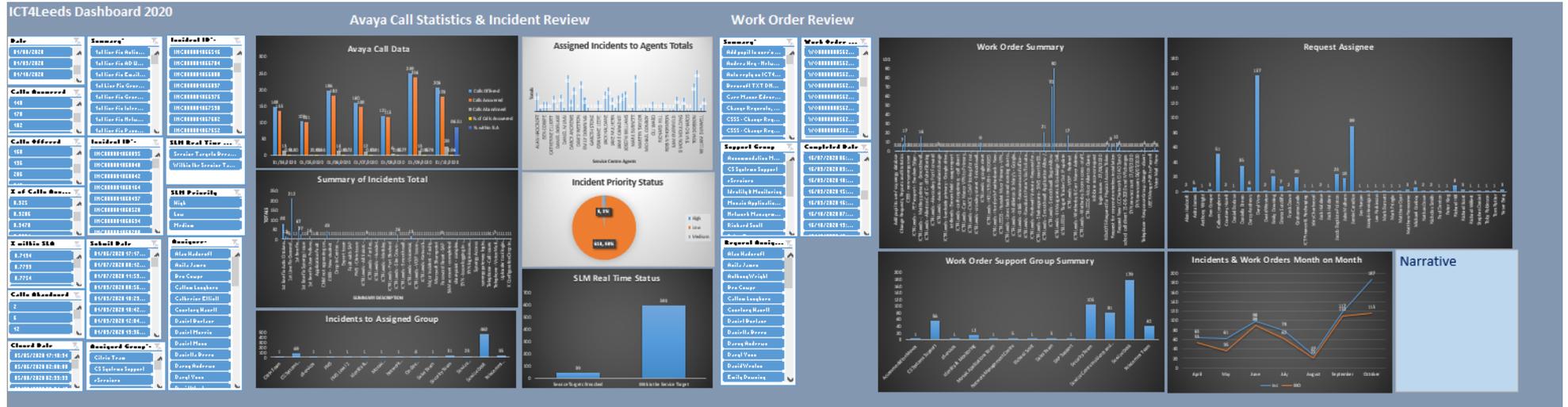
PI	Description	Target	Q1 2020/21	Q2 2020/21	Narrative
Code					
O1	Service / System Availability – SOCITM KPI 15 (%)	99%	100%	99.96%	Q1, and Q2 for availability is consistently high, the average for the year is 99.98%, which is an increase of 0.07. The figures are showing a consistent high availability of services and have not dropped below 99%. This is in part due to more staff on the service centre and a new rolling program of staff and training resources which has helped the service.
O2	Service Reliability - Mean Time Between Service Downtime (average per service)	300 hours	599	594.80	Q1-2 Reliability for the first half of the year, there have been instances of degradation and this is shown in the slight drop in reliability of 4.2.
O3	Service (KPI15) Maintainability - Average time taken to restore a service where downtime occurs	4 hours	0	0.03	Q1-2 for maintainability are excellent, These figures remain high due to the hard work of the DIS technical teams who work tirelessly to ensure that services are available for customers.
O4	% Service Desk calls met within Service Level Agreement target	80%	93.04%	92.78%	Service Centre call levels are above target for the first part of the year. There is a slight dip of 0.3%. Service Centre remains above the target of 80% due to their continuing hard work.
O5	% Service Desk calls fixed at first point of contact.	70%	81.15%	83.67%	Calls fixed at First Point of Contact (FPOC) are excellent so far this year. Q2 has seen a rise of 3.1%.
O6	% Service Desk calls answered within 30 seconds	70%	83.76%	86.2%	The calls answered within 30 seconds are well above average in Q1 and Q2 and again can be attributed to the new program of training and resources the service centre now has.
C1	Average Customer Satisfaction Score (annual survey – all users)	70%	70.78%	70.78%	The DIS Customer Satisfaction Survey results have improved our overall figures from last year's 70% to 70.78%. Customer perception remains high and in the upper quartile of national benchmarking. (The 2020 Customer Satisfaction Survey has been set aside due to COVID19.)
C2	Average satisfaction with overall service received for an incident SOCITM Question 3 (IM3.1) KPI2 (SDI2)	70%	95.30%	94.58%	The SOCITM survey question has improved steadily throughout the year and again this shows improvement through the service.
C3	% of Customer Complaints where the customer is satisfied with formal response and corrective action(s)	70%	100%	100%	The complaints KPI satisfaction levels remain very high. There is a recognised formal procedure in place and customer complaints are acted upon immediately.

CCG/GP – Service performance

Service Desk Telephony Stats		Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	
Number of Calls Offered	Number	437	428	739	637	588	680	607	540	
Percentage of Calls Answered	>=70%	95.65%	96.27%	93.91%	96.70%	93.03%	97.21%	94.07%	92.41%	
Number of Calls Abandoned	Number	19	16	45	21	41	19	36	41	
Service Desk Telephony KPI's		Target (per Month)	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20
SLA 01 - % of incoming calls answered within 30 seconds	>= 70%	89.23%	88.11%	78.53%	89.77%	83.91%	85.02%	71.80%	67.13%	
		373	386	545	553	459	562	410	335	
SLA 02 - % of calls queued to an operator but abandoned prior to pickup	<= 7%	4.35%	3.73%	6.09%	3.30%	6.97%	2.79%	5.93%	7.59%	
		19	16	45	21	41	19	36	41	
Incident Management		Target (per Month)	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20
Critical priority incidents resolved within 2 Working Hours	>=85%	100.00%	100.00%	100.00%	99%	100%	100%	100%	100%	
		0	0	0	1	0	0	0	0	
High priority incidents resolved within 4 Working Hours	>=80%	100.00%	100.00%	99.00%	100%	100%	99%	100%	99%	
		3	0	4	0	1	4	0	2	
Medium priority incidents resolved within 8 Working Hours	>=80%	100.00%	83.33%	97.50%	99%	99.01%	98.17%	98.48%	98.23%	
		2	5	10	5	4	8	6	7	
Low priority incidents resolved within 16 Working Hours	>=80%	95.26%	97.45%	96.50%	88.01%	98.77%	97.25%	98.48%	97.73%	
		258	235	386	323	401	424	389	387	
CCG - Total Number of incidents reported in reporting month			258	235	400	367	406	436	395	396
CCG - Total Number of Work Orders reported in reporting month			20	19	31	27	49	73	86	99
			278	254	431	394	455	509	481	495

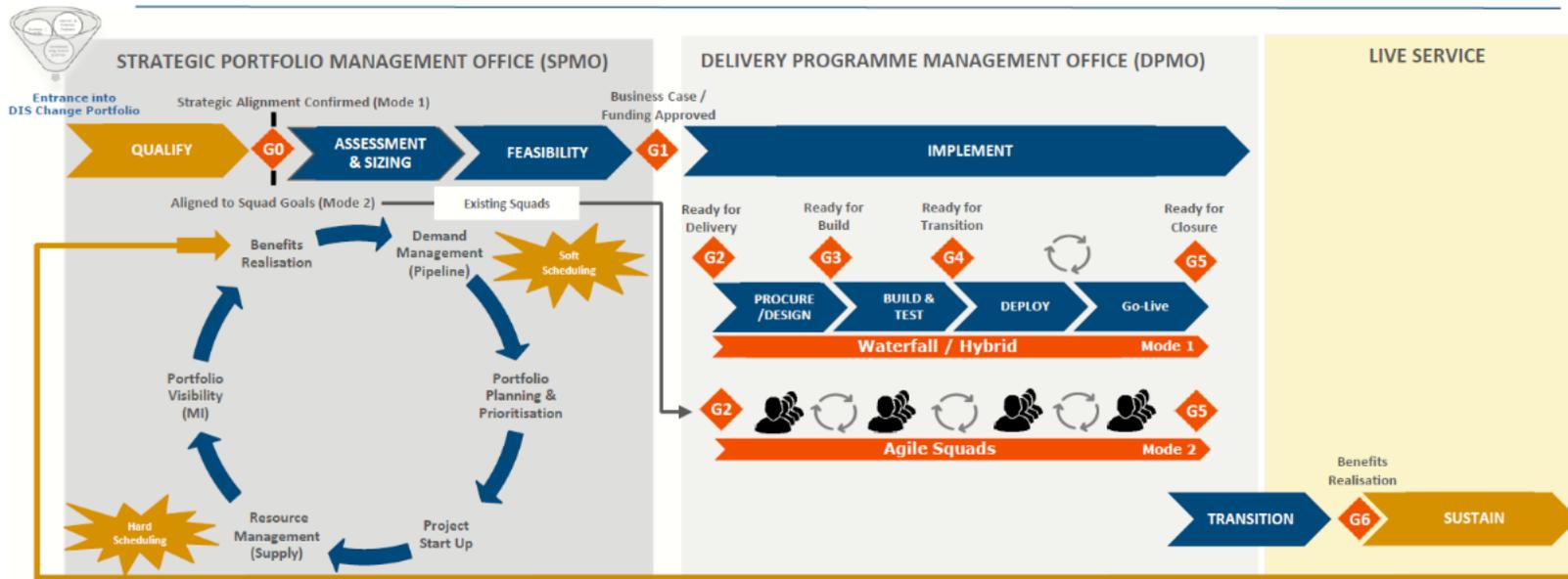
SLA Performance Dashboards

Live service dashboard reporting is in place – Examples views are shown below for illustration purpose. Detail of the current service levels can be provided separately as required.



Appendix B – Project and Portfolio forums

Summary Process



Portfolio

- Determine if the CR (Change Request) is aligned to the Leeds DIS Partnership strategic / business priorities or to that agile squad goals. Qualify 'in' or 'out' (1 page concept level). Minimal resource investment until the CR is qualified 'in' - Triage

Gate 0 Decision Point - Go / No Go to next stage

- Evaluate the requirements of the CR. Conduct formal operational / technical impact assessment with the relevant cross functional stakeholders. Confirm technical viability and alignment to architecture roadmap.
- Assess holistic impact against the current Digital portfolio / roadmaps - prioritise as appropriate.
- Confirm delivery resource available with start and end dates plus SRO / Project Sponsor confirmed.
- Overlay financial impact assessment to confirm viability. Cost benefit analysis.
- Provide a copy of the finalised impact assessment to the Change Originator.

Gate 1 Decision Point - Go / No Go to next stage

(depending on feedback / decision from the Change Originator)

Agile Squad

- Product Owner prioritise within current backlog

PM Community

- Deliver programmes and projects in line with DPMO Governance Stage GATES and Standards (variable by Mode 1/ Mode 2). Assurance of Time, Cost and Quality.
- Programme and project planning.
- Active project resource management.
- Project reporting.
- Customer experience.
- Acceptance into Service.
- Post Implementation review.
- Lessons Learned

Gate 5 Formal Project Close

Live Service

- Warranty period (resolution of go-live defects).
- Life Service - run and maintain.
- End of Life Plan.
- Change & Release Management - BAU

Gate 6 Monitoring of ROI / Benefits Realisation by the SPMO

Governance Forums

Portfolio Level:



Change Steering Group



Delivery Governance Forum



Digital Portfolio Board



Programme Delivery Board



Resource and Demand Review Forum

Programme Level:



Community Cloud



Compliance Board

Project Level:



Yeadon Decommissioning and Cloud Project Board



Microsoft 365 Project Board

Portfolio Governance forums purpose/frequency

Board Name	Brief Explanation
Change Steering Group (CSG)	This board will meet every week to review the status of the portfolio including portfolio change requests and impact assessments and provides a steer on the prioritisation and strategic alignment of new projects. This Group has replaced the Virtual Portfolio Forum.
Delivery Governance Forum (DGF)	This board will meet monthly to approve requests for projects to pass through the defined stage gates - these stage gates can be found on The Framework page. It'll escalate any projects requiring Senior Management intervention, provide support where projects don't obtain the necessary approvals and will discuss any critical project risks and issues, and any subsequent actions. This links in with the PDB as it acts as a place for the in-flight projects to come to, to gain acceptance to move to the next stage gate in The Framework.
Digital Portfolio Board (DPB)	This board will meet monthly to ensure the digital portfolio strategic direction and priorities are set and up to date, review expenditure against capital schemes, assess business case proposals including solution design recommendations, have visibility of all change requests against strategic priorities, ensure appropriate prioritisation of competing change requests is in place, and address any serious risk and issue escalations. This has replaced the DIS Commissioning Board.
Programme Delivery Board (PDB)	This board will meet monthly to review the whole delivery portfolio, make recommendations on project decisions or escalate to the DPB, review any projects going off track and try and remove any blockers that are preventing project progress, assess and manage resource allocation and forecasting, review the Portfolio / Programme risk register, and try to mitigate any risks that are impacting progression. This has replaced the ESP/APP Programmes Board.
Resource and Demand Review Forum (RDRF)	This board will have a weekly conference call to: capture resource allocation for all projects, validate the resource forecast data across projects, react and control conflicts across projects and BAU, highlight and support the mitigation of any risks and issues in regards to resources, improve visibility and communication of current allocation of resources and bandwidth to DIS business stakeholders, and plan future DIS resource requirements to support DIS business strategies. This links in with the CSG as it acts as a place for resources to be reviewed and scheduled in for any new or proposed change requests.

Appendix C – Compliance and Information Management Board

Compliance Board Terms of Reference

Meeting Title	Compliance Board
Meeting Chair	Head of Information Governance
Frequency, Duration & Location	Conference Call - 2 hours

<p>Meeting Objectives:</p> <ul style="list-style-type: none"> Review identified high priority Security & Compliance Projects – dashboard & key milestone plans. Ensure Success Criteria for projects are sufficiently defined for compliance purposes. Deep dive projects going off track. Remove blockers / constraints preventing project progress. Escalate Issues such as resource limitations to the Programme Delivery Board and provide recommendations. Retain visibility of the Compliance risk register & latest IT Health Check – act when necessary. Mitigate risks impacting progression towards sufficient compliance levels across the estate. Ensure Security & Compliance Projects are prioritised effectively. Agree compliance-related risk tolerance levels for projects and LCC estate 	<p>Standard Agenda</p> <ul style="list-style-type: none"> Review Previous Meeting Minutes & Actions Review Estate Compliance KPIs Project deviations to time, cost and quality Review identified projects requiring 'Health Check' Risk and issue escalation Review project dependencies Resource constraints Projects approaching closure Lessons Learnt AOB
<p>Logistics</p> <p>Frequency: Monthly, ideally face to face. Exception board called when necessary. Duration: 2 Hours</p> <p>Chair: Head of Information Governance Attendees: Head of Information Governance, Cyber Assurance & Compliance Manager, Solution Architect (Security), ICT Infrastructure Manager, Service Centre Team Leader, PMO Admin Support</p> <p>Guests (Deep Dives): Project Managers, Technical ICT staff, Heads of Digital Change, Business Managers</p>	<p>Authority</p> <ul style="list-style-type: none"> Approve mitigation plans to keep projects moving forward. Prioritise Compliance Projects Make decisions on acceptable levels of compliance related risk
<p>Approach</p> <ul style="list-style-type: none"> Ensure clarity & transparency to wider DIS and business communities. Stakeholder and partner engagement. Embed best practice project standards. 	
<p>Inputs</p> <ul style="list-style-type: none"> Previous minutes & actions Approved project business case. Estate Compliance KPI Reports Compliance Projects milestone plan Project risk registers and issue log Project plans and latest financial position Resource plans Known issues Known blockers / dependencies Deep Dive outcomes (when appropriate) Post Implementation Reviews 	<p>Outputs</p> <ul style="list-style-type: none"> Recommendations / update to the Programme Delivery board when necessary Feedback / update to other project boards when necessary Decisions to which compliance activity to prioritise Decisions regarding acceptable levels of compliance risk Updated Compliance dashboard & reports Shared Lessons Learned across the PM Community

The Information Management Board is responsible for

- Ensuring that an appropriate comprehensive Information Management and Governance framework and systems are in place throughout the Council which helps the Council deliver value from the use of information in a way that is compliant with the law and in line with national standards
- The development and oversight of Information Management and Governance across the Council
- Providing high level oversight and support to the Senior Information Risk Owner (SIRO)
- Determining Information Management and Governance strategy and policy and ensuring regular reviews
- Monitoring progress against strategy and policy and providing assurance on such to the SIRO and the Data Protection Officer (DPO)
- Providing strategic leadership and direction on Information Management and Governance and associated compliance issues for the Council and partners.
- Providing strategic leadership and direction on Information Management and Governance work prioritisation
- Demonstrating how the above is enabling the Council to deliver most value from information to effect better outcomes for people and business.