

**Report of the Data Protection Officer**

**Report to Corporate Governance and Audit Committee**

**Date: 8<sup>th</sup> February 2021**

**Subject: PSN Certification – Update Report**

Are specific electoral wards affected? If yes, name(s) of ward(s):	<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
Is the decision eligible 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

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**Summary of main issues**

To provide Corporate Governance and Audit Committee with an update on Leeds City Council's readiness for Public Services Network (PSN) compliance submission.

**Recommendations**

Corporate Governance and Audit Committee are asked to

- receive the PSN Certification Update Report covering the period from December 2020 to February 2021 and note the updates with regards to the PSN remediation work currently undertaken by the Digital and Information Service
- consider this report in conjunction with the report of the Chief Digital and Information Officer which provides assurance on the management and control mechanisms which support the successful ongoing delivery of Digital and Information service provision.

## 1. Purpose of this report

1.1 To provide Corporate Governance and Audit Committee with an update on progress on the Council's PSN submission.

## 2. Background information

2.1 The 2020 PSN submission was deferred with Cabinet Office due to COVID-19 pressures.

2.2 An action plan, documenting all the outstanding work to be completed and a firm submission date of July 2021, was submitted to the Cabinet Office on 31<sup>st</sup> December 2020. This action plan was signed off by the Chief Digital and Information Officer and shared with the Director for Resources and Housing and with the Chair of this Committee.

## 3. Main issues

### 3.1. Actions to date

At the last meeting, Committee were informed of the formation of the Cyber Team, with the remit of working to resolve vulnerabilities on the estate that are understood to be 'Business as Usual' (BAU) work; work outside funded projects for example, desktop and server patching. Committee were also informed of this Team's successes.

3.2 This Cyber Team was approved to continue until the new Chief Digital and Information Officer (CDIO) came into post (on 23<sup>rd</sup> December). The Data Protection Officer had recommended that this Cyber Team and its agile approach to working continues.

3.3 The CDIO is tasked with developing a new Target Operating Model for DIS and will address this as part of that work. The new structure will be ready for implementation by end March 2021. The Cyber Team will continue in its current ways of working until this time.

### 3.4 Projects with an impact on a compliant PSN submission

These projects have been coloured coded to indicate the level of risk and subsequently a negative impact on the Council's submission (Red = high, Amber = Medium, Green = Low)

A summary outline of each project was delivered to Committee at the last meeting.

Project Name	Rating	Comments
Access Replacement Project	Green	Significant progress has been made. Cabinet Office has agreed future approach <b>No further update – project still on track with appropriate governance in place.</b>
Avaya / Sabio Platform Upgrade	Red	Project was due to complete in December, however due to issues with the supplier the project has slipped to March 2021. This was raised as a significant risk with the Interim CDIO and with the Director for Resources and Housing (SIRO). <b>Since last reporting to Committee, the newly appointed CDIO has now been alerted to this risk. The Director Resources and Housing has agreed to a contract review.</b>

		<b>The servers were delivered in December, however the installation was delayed until w/c 18/01/2021. The CDIO and DPO have been assured by the Project that the new target end date will still be achieved. The Project is reporting weekly to DIS SLT to ensure that any risks/issues can be escalated quickly.</b>
ESP Windows Server / SQL 2008 Upgrade		Extended support gives a compliant position for this years PSN submission. Servers will fall out of extended support next year. The upgrade project will need to be tracked otherwise this will become an issue for the 2021 PSN submission.
Active Directory Raised Privilege Management		<b>Project Manager has reported that a plan is in place to complete the work by August 2021. We have since committed to completion by end July 2021 in line with our proposed PSN submission date.</b> <b>This project has 2 streams:</b> <ol style="list-style-type: none"> <li>1. ratifying the permissions and groups to ensure that raised privilege is correctly delegated.</li> <li>2. To implement time group membership to ensure that raise privilege is only afford for a specified period</li> </ol>
Network Access Control (NAC) Phase 2		<b>Phase 1 complete; this provides whitelisting of devices.</b> <b>Phase 2 to be agreed to roll out from April 2021 when funding decision is made. The move to the cloud, which will bring MS Intune, may supercede the need for NAC when endpoint management &amp; conditional access can be provided with MS technology. This project was awaiting Full fibre and the shift from Virgin to BT to allow new network circuit.</b>
CMDB/Asset Register Development		Produce design High level design complete. Resource to be allocated for the next phase.  This will not impact on this year's submission, but has been raised as a 'security gap' in the action plan submission to the Cabinet Office.
Information Asset Register Correlation		Produce design – awaiting resource contingent on the above.

3.5 At the previous Committee, it was agreed that the newly appointed CDIO would be invited to present a paper to this meeting to articulate the governance arrangements in place within DIS. This would give assurance to Committee and the Data Protection Officer that appropriate mechanisms are in place to ensure a compliant PSN submission can be submitted to the Cabinet Office by the end of July 2021.

3.6 The annual scheduled IT Healthcheck (ITHC) was carried out in January 2021. At the writing of this report, the output from the ITHC was not yet available.

## 4 Corporate considerations

### 4.1 Consultation and engagement

4.1.1 Significant consultation and engagement has taken place with all service areas, information management professionals, representatives from all directorates via representatives of DIS Hubs and Information Management Board members.

## **4.2 Equality and diversity / cohesion and integration**

4.2.1 There are no issues in relation to Equality and Diversity or Cohesion and Integration.

## **4.3 Council policies and best council plan**

4.3.1 The Council has a wide range of compliance programmes for General Data Protection Regulations, Public Services Network Information Assurance, Payment Card Industry Data Security Standards and Data Security and Protection Toolkit.

4.3.2 Non-compliance may affect the achievement of Best Council Plan objectives and the aims of council policies.

## **4.4 Resources and value for money**

4.4.1 All DIS projects undergo a rigorous evaluation and impact assessment process to ensure value for money.

## **4.5 Legal implications, access to information, and call-in**

4.5.1 Delegated authority sits with the Director of Resources and Housing and Senior Information Risk Owner and has been sub-delegated to the Chief Digital and Information Officer under the heading "Knowledge and information management" in the Director of Resources and Housing Sub-Delegation Scheme.

4.5.2 There are no restrictions on access to information contained in this report.

## **4.6 Risk management**

4.6.1 There is a risk that Leeds City Council will not be in a position to make a compliant PSN submission by July 2021.

- The risk of not getting the right technical resource allocated onto the work required
- Mitigation – The Cyber Team remains in place and 'business as usual' activities are monitored by the the Information Security Assurance and Compliance Board (ISAAc). ISAAc plans work in advance in 8 week tranches, prior to which resources for each tranche are approved by DIS Senior Leadership Team. With regards to projects, resources are allocated by the DIS Resourcing Team. Resourcing issues are escalated by the Project Managers to the Digital Portfolio Board for resolution.
- The risk that compliance projects are not given the appropriate prioritisation
- Mitigation – The CDIO has been tasked in his first month to develop a prioritisation matrix for digital projects to present to CLT for approval. At the writing of this report, the matrix has still to be approved, however the draft

version states that compliance projects are priority one. The DIS Compliance Board monitors all DIS projects which have a compliance outcome. The DPO is the Chair of this board, reporting and escalating into the Digital Portfolio Board.

The Council may be put into remediation measures by the Cabinet Office should compliance not be met.

## **5. Conclusions**

5.1 The Cyber Team is approved to continue until the revised DIS restructure is in place and continues to work well

5.2 Monitoring of projects which have a compliance outcome continue.

## **6. Recommendations**

6.1 Corporate Governance and Audit Committee are asked to

- receive the PSN Certification Update Report covering the period from December 2020 to February 2021 and note the updates with regards to the PSN remediation work currently undertaken by the Digital and Information Service
- consider this report in conjunction with the report of the Chief Digital and Information Officer which provides assurance on the management and control mechanisms which support the successful ongoing delivery of Digital and Information service provision.

## **7. Background documents<sup>1</sup>**

N/A

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<sup>1</sup> 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.