

Annual Assurance Report on Integrated Digital Services controls

Date: 25/01/2022

Report of: Chief Digital and Information Officer

Report to: Corporate Governance and Audit Committee

Will the decision be open for call in? Yes No

Does the report contain confidential or exempt information? Yes No

What is this report about?

This report provides assurance in relation to the management and control mechanisms supporting the successful ongoing delivery of Integrated Digital Services (IDS) service provision.

IDS provide services across the Council, Leeds CCG, Leeds GP practices plus Aspire, WYJS, some schools and Leeds Grand Theatre. Under the CDIO, a single IDS team spanning both the Council and the CCG is in place.

Digital capabilities play a central role in supporting the Best Council Plan delivery through

- Promoting and investing in digital inclusion and skills
- Using data to better provide evidence and insights
- Strengthening digital and data 'Smart City' infrastructure and increasing digital inclusion
- Delivering against IDS specific KPIs
 - o Percentage of ICT service desk calls fixed at the first point of contact
 - o Percentage of information requests received responded to within statutory timescales (Freedom of Information, Subject Access Requests and Environmental Information Regulations)

Recommendations

Corporate Governance and Audit Committee are asked to:

- a) Consider and note the positive assurances provided in this report

Why is the proposal being put forward?

- 1 The purpose of this report is to provide assurance on the management and control mechanisms which support the successful ongoing delivery of Integrated Digital Services service provision
- 2 IDS provide services across the Council, Leeds CCG, Leeds GP Practices, Aspire, WYJS, some schools and Leeds Grand Theatre. The Chief Digital Information Officer has dual accountability and line management of staff across both the Council and the CCG with an integrated team now established.
- 3 IDS have responsibility for the provision of digital and IT solutions with several services provided:
 - 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 including remote connection to support home/mobile working
 - 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
- 4 There are several KPI measures in place across IDS to manage performance in relation to services. Our Service Centre performance and customer satisfaction plus system availability are tracked and reported monthly within IDS. Service level reports are produced monthly for those customers who are external/arms-length to the Council. A reduction in SLA performance regarding Service Centre call wait times was reported in 2021 and a recovery plan subsequently developed. This recovery plan is currently being implemented.
- 5 There are numerous 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.
- 6 Contracts for third party products are reviewed in line with procurement rules and IDS actively manage the timely renewal or re-procurement of contracts to ensure continuity of service. This activity is overseen by the IDS Sourcing team.
- 7 All procurements which involve technology require sign off by the Chief Digital and Information Officer.
- 8 At present there are some contracts and associated budgets for IT systems still held within Council directorates. CLT have now agreed the transfer of these budgets to IDS from 1/4/22.
- 9 Digital Roadmaps have been developed for all business areas and for our underpinning technologies. These cover the key business ambitions and changes required (such as those due to legislation or contract expiry) and the potential projects/changes to achieve this. Underpinning the business layer is a roadmap for shared business products (such as

Microsoft Office) and one for the underpinning technology components which also require ongoing maintenance, upgrade or replacement.

- 10 A Digital Board has been established to manage the overall portfolio of work and agree the relative priorities of each request. This board has representatives from each Council directorate and CCG members will be added in due course. The Terms of Reference are included at Appendix A.
- 11 Corporate Leadership receive regular updates regarding the portfolio of work and are the escalation point for any priority conflicts which cannot be resolved by Digital Board
- 12 IDS have established a technical Design Authority which reviews all proposed solutions to ensure compliance with our architectural strategy and design principles. The Terms of Reference for this board are currently being revised following establishment of the Digital Board.
- 13 In addition to traditional approaches to project delivery where requirements are gathered in full prior to solutions being designed or procured, IDS have developed capabilities to deliver change using more iterative development techniques enabling faster delivery of solutions. Working in this way requires different approaches to managing and tracking project delivery and these are being built into our revised IDS governance. This will ensure that resource and capacity is managed, progress can be tracked but that decisions can be made quickly and iteratively in relation to scope and outcomes.
- 14 Reporting against the portfolio of work is now well-established covering individual project and programme progress.
- 15 IDS 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. IDS staff also complete a weekly timesheet capturing effort expended against planned tasks. Investment is being made in new tools to better manage forecasting, time recording and overall portfolio management.
- 16 The Information Security Assurance and Compliance (ISAaC) Board has been established which focuses on ensuring we are actively managing compliance risks. This provides the key control and management of the corporate risk LCC 31. This includes remediating known security vulnerabilities highlighted through the annual IT healthcheck via planned programmes of work as well as responding to new threats and attacks. The board also provides oversight on all projects to ensure that security and compliance aspects are being duly considered. The ISAaC board has replaced the Compliance Board referred to in the report to this Committee last year.
- 17 IDS SLT, the senior leadership team for the service, meets weekly and is the escalation point for any concerns regarding compliance, security or digital delivery. The corporate risks are considered quarterly by senior leadership to provide robust assurance that risks are accurately identified and described and that appropriate arrangements are in place to control and mitigate.
- 18 It should be noted that there will always be residual risk, such as that caused by human error.
- 19 The Information Management Board (IMB) provides oversight to all Information Governance projects and activity. Appendix B covers the Terms of Reference for this board. Further information on the management and escalation of information management and governance risk is included in the Annual Information Governance report, elsewhere on this agenda.
- 20 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 2022. Regular updates have been provided to IDS SLT regarding the work programme and progress during 2021.

- 21 Work required from the Office of Data Analytics (ODA) is managed through a fortnightly prioritisation meeting and governed through a monthly ODA board.
- 22 IDS 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 for the past 2 years as other Councils and ourselves cut back on non-essential expenditure. IDS continue to measure customer satisfaction internally, the costs of contracts and service performance are tested through procurement exercises and ongoing direct conversation with other Local Government users of those services.
- 23 A number of internal audits are completed each year focussing on different aspects of IDS 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.
- 24 IDS are currently updating our own service Business Continuity Plan and also working with the Resilience team to support work being done with services across the Council to ensure their respective Business Continuity Plans cover how they would operate in the event of an IT outage or cyber attack.

What impact will this proposal have?

Wards Affected:

Have ward members been consulted? Yes No

- 25 There are no specific impacts to wards. Delivery of IDS robust services underpin all Council and CCG/GP services.
- 26 There are no specific Equality and diversity / cohesion and integration issues arising from this report

What consultation and engagement has taken place?

- 27 The information in this report is presented for information and comment by the Corporate Governance and Audit Committee.

What are the resource implications?

- 28 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.

What are the legal implications?

- 29 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.
- 30 This report is not subject to call in.

What are the key risks and how are they being managed?

- 31 Key Corporate risks in relation to the delivery of IDS services are actively managed, reported and escalated as set out above. These are:

LCC15 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 |

LCC31 Major Cyber Incident

| | |
|--------------------|---|
| Description | Risk to Citizens, Council and City as a result of digital crime, process failure or people's actions. |
| Status | Open |
| Probability | 4 - Probable |
| Impact | 4 - Major |
| Risk Score | Very High |

LCC26 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 and can be escalated through the same governance structure as described in the body of the report.

Does this proposal support the council's 3 Key Pillars?

Inclusive Growth Health and Wellbeing Climate Emergency

32 Digital capabilities play 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.

33 The Best Council plan ambitions include:

- Reference to promoting and investing in digital inclusion and skills
- Using data to better provide evidence and insights
- Strengthening digital and data 'Smart City' infrastructure and increasing digital inclusion
- IDS 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)
- 34 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.

Options, timescales and measuring success

- 35 Not applicable

Appendices

- 36 Appendix A – Digital Board Terms of Reference
- 37 Appendix B – Information Management Board Terms of Reference

Background papers

- 38 None

Digital Board Terms of Reference (TOR)

| | |
|-------------------------|--|
| <p>Purpose</p> | <p>To set the strategic direction for the Digital Board, ensuring Digital enablement is aligned to the City Vision and strategic outcomes, making Digital by Design a reality.</p> <p>To build Digital Roadmaps, in partnership with our stakeholders that represent the future direction of the Region, City Health Partnership and the council.</p> <p>To support the ethos that we make things easier / cheaper / faster for citizen to deal with us and for staff to provide services to citizens. The way in which we deliver this principle is by linking our work to the needs of customers and delivering services that are high impact and value-adding</p> <p>To ensure Digital Roadmaps are built and assessed</p> <p style="padding-left: 40px;">To promote digital efficiency and transformation through the exploitation of technology, innovation and rationalisation of our application estate.</p> <p style="padding-left: 40px;">Design and Delivery - Approve future development of Digital Road Maps, ensuring all approvals for new developments are progressed against robust Digital Principles</p> <p>To advocate the digital principles. Actively supporting this within directorates, and CCGs, demonstrating personal buy-in to the aims and direction of the board, supporting Prioritisation, Digital Efficiency and Rationalisation.</p> <ul style="list-style-type: none"> • To make decisions swiftly, supported by evidence, in order to maintain progress within the decision- making framework of the City Partners; <ul style="list-style-type: none"> ○ Board Members and Directorate/Service Area Leads will have voting rights on the Board ○ The Board will be able to take decisions commensurate with the decision making authority of the Chief Digital Information Officer ○ The Board will make recommendations to IDS Design Authority to approve developments to the next stage of the governance process. • To challenge Digital developments, digital dependencies and digital procurements, to remove duplication of systems, and processes, leading to the development robust 5 year long, organisational Digital Road Maps. • Ensure that all Digital Developments approved by the board, and are funded and prioritised • To ensure all board members are engaged appropriately at every stage of Digital Road Map development, actively encouraging engagement and seeking feedback from all stakeholders. |
| <p>Frequency</p> | <p>The board will meet on a monthly basis, although the chair has the ability to make recommendations to change the frequency or call extraordinary meetings where necessary</p> |

| | | | | | | |
|---|--|-----------------------|--|---|---|--|
| | | | | | | |
| Agenda | <p>Standard items for the agenda are as follows. Additional items based on the current status of the Digital Road Maps, may be tabled as required following approval by the chair.</p> <table border="1" data-bbox="347 367 1433 987"> <tr> <td data-bbox="347 367 1433 439">Welcome and apologies</td> </tr> <tr> <td data-bbox="347 443 1433 510"> Minutes of previous Meetings and Actions </td> </tr> <tr> <td data-bbox="347 515 1433 846"> <ul style="list-style-type: none"> • Submission of new service request • Feedback from Design Authority • Refresh of Directorate Digital Road Maps • Prioritisation of requests, and dependent projects • Communications and engagement • Benefits Realisation – Invest to save Projects and Digital Procurements </td> </tr> <tr> <td data-bbox="347 851 1433 918"> [Any additional papers approved by the Chair] </td> </tr> <tr> <td data-bbox="347 922 1433 987">AOB (Inc. Date and Time of Next Meeting)</td> </tr> </table> | Welcome and apologies | Minutes of previous Meetings and Actions | <ul style="list-style-type: none"> • Submission of new service request • Feedback from Design Authority • Refresh of Directorate Digital Road Maps • Prioritisation of requests, and dependent projects • Communications and engagement • Benefits Realisation – Invest to save Projects and Digital Procurements | [Any additional papers approved by the Chair] | AOB (Inc. Date and Time of Next Meeting) |
| Welcome and apologies | | | | | | |
| Minutes of previous Meetings and Actions | | | | | | |
| <ul style="list-style-type: none"> • Submission of new service request • Feedback from Design Authority • Refresh of Directorate Digital Road Maps • Prioritisation of requests, and dependent projects • Communications and engagement • Benefits Realisation – Invest to save Projects and Digital Procurements | | | | | | |
| [Any additional papers approved by the Chair] | | | | | | |
| AOB (Inc. Date and Time of Next Meeting) | | | | | | |
| Quorum | <p>The quorum is currently monthly, for all meetings and must include either the chair or Deputy Chair and at least three of the Service Area Leads.</p> | | | | | |
| Servicing the Meeting | <p>Meetings will be booked by Emma Paterson and minutes and actions taken by Charles Farnes</p> | | | | | |
| Escalation | <p>Any issues that cannot be resolved by Digital Board, can be escalated to CLT/EMT by the Chair</p> | | | | | |

Information Management Board

Terms of Reference

Purpose

The Information Management Board is responsible for:

- Providing leadership, oversight and an approval mechanism for Information Governance and Cyber strategy and policy, ensuring regular reviews through the appropriate subgroups
- Ensuring that an appropriate comprehensive Information Governance and Cyber framework and systems are in place throughout the Council.
- Monitoring a cycle of information and data management improvements in a way that is compliant with the law and in line with national standards
- Providing assurance to the Council's Senior Information Risk Officer (SIRO) and Data Protection Officer (DPO) in relation to the Council's arrangements for creating, collecting, storing, safeguarding, disseminating, sharing, using and disposing of information in accordance with its:
 - stated objectives / purposes;
 - legislative responsibilities
 - risk appetite
- Providing strategic leadership and direction on Information Governance and Cyber work prioritisation

The Board will:

- In respect of its assurance role, seek assurances that information governance arrangements are appropriately designed and operating effectively to ensure the safety, security, integrity and effective use of information to support the delivery of high quality services across the whole of the Council's activities.
- To achieve this, the Board's programme of work will be designed to ensure that, in relation to all aspects of information governance:
 - there is clear, consistent strategic direction, strong leadership and transparent lines of accountability;
 - the organisation, at all levels has a citizen centred approach, striking an appropriate balance between openness and confidentiality in the management and use of information;
 - the handling and use of information and information systems across the organisation is consistent, and based upon agreed standards;
 - the workforce is appropriately selected, trained, supported and responsive to requirements in relation to the effective handling and use of information
 - there is effective collaboration with partner organisations and other stakeholders in relation to the sharing of information in a controlled manner, to provide the best possible outcomes for its citizens
 - information risk is assessed, documented and risk treatment is agreed, actioned & monitored.
 - the integrity of data and information is protected, ensuring valid, accurate, complete and timely data and information is available to support decision making across the organisation;

| | | | |
|------------------------------------|--|--------------------------|--|
| | <ul style="list-style-type: none"> ○ there is continuous improvement in the handling, management and use of information across the whole organisation ○ the Council is meeting its legislative responsibilities as well as complying with national Information Governance standards and Information Commissioners Office guidance; ○ all reasonable steps are taken to prevent, detect and rectify irregularities or deficiencies in the safety, security and use of information, and in particular that: <ol style="list-style-type: none"> 1. Sources of internal assurance are reliable, and have the capacity and capability to deliver; 2. Recommendations made by internal and external reviewers are considered and acted upon on a timely basis; 3. Lessons are learned from information security incidents and breaches in the safe, secure and effective use of information, as identified for example through reported incidents, complaints and claims; and 4. Training needs are assessed and met ● The Board will agree on the adoption of a set of key indicators in relation to the quality and effectiveness of information systems against which the Council's performance will be regularly assessed. ● The Board will promote a culture where the management of information is regarded as everyone's' business. | | |
| <p>Composition</p> | <ul style="list-style-type: none"> ● Chief Digital and Information Officer (Deputy SIRO) – Chair / Decision maker ● Data Protection Officer – Member / Deputy Chair ● Caldicott Guardian or delegate – Member ● Head of Service, Legal Services – Member ● Head of Internal Audit - Member ● Head of Cloud and Platforms, IDS – Member ● Chief Analytical Officer, IDS – Member ● Chief Technology Officer, IDS – Member ● Head of Digital Change, IDS – Member ● Information Governance Manager – Attendee ● Cyber Assurance and Compliance Manager – Attendee ● Corporate Records Manager – Attendee ● Deputy Head of Office of CDIO – Optional ● Head of Portfolio Management Office - Optional <p>In order to fulfil its remit, the Information Management Board may obtain any professional advice it requires and invite, if necessary, external experts and relevant employee representatives to attend meetings.</p> | | |
| <p>Support to the Board</p> | <p>The Board will be supported in its delivery by a number of specific subgroups, including the following:</p> <table border="1" data-bbox="328 2007 1401 2123"> <tr> <td data-bbox="328 2007 555 2123">Records Management Group</td> <td data-bbox="555 2007 1401 2123"> Chaired by the Corporate Records Manager. The purpose of the group is to: <ul style="list-style-type: none"> ● Ensure that Leeds City Council Records Management policies, procedures and protocols are in place throughout the Council which helps the </td> </tr> </table> | Records Management Group | Chaired by the Corporate Records Manager. The purpose of the group is to: <ul style="list-style-type: none"> ● Ensure that Leeds City Council Records Management policies, procedures and protocols are in place throughout the Council which helps the |
| Records Management Group | Chaired by the Corporate Records Manager. The purpose of the group is to: <ul style="list-style-type: none"> ● Ensure that Leeds City Council Records Management policies, procedures and protocols are in place throughout the Council which helps the | | |

| | | |
|-------------------------|---|--|
| | | <p>Council deliver value from the use of information in a way that is compliant with the relevant legislation and regulations and are in line with national standards and best practice;</p> <ul style="list-style-type: none"> • Undertakes or commissions periodic assessments and audits of all Records Management policies, procedures, supporting documents and arrangements, and recording the rationale for any changes to any of the documentation. • Ensures policies, guidance, standards and supporting documentation are presented and published in a way that informs all staff about their responsibilities of managing information and technologies available to them. · • Develop a framework of protocols, procedures, guidance and tools to enable all staff to recognise the importance of good records management, ensure records are effectively managed throughout their lifecycle from creation to disposal and to understand their roles and responsibilities with respect to compliance with the council's records management policy; These will cover the following areas: - naming conventions - governance - roles and responsibilities - training and awareness - how and where to store records - records retention - records disposal. · • To develop measures to be put in place to mitigate risks to information. |
| | <p>IM&G Policy Review Group</p> | <p>Chaired by the Head of Information Governance and Cyber. The purpose of this Group is: ·</p> <ul style="list-style-type: none"> • Ensuring that an appropriate comprehensive Information Management and Governance framework is 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 · • Support the Information Management and Governance strategy and policy and ensuring regular reviews |
| | <p>Data Practitioners Group</p> | <p>Chaired by the Head of Service, Legal Services. The purpose of this Group is: ·</p> <ul style="list-style-type: none"> • looking at and responding to consultations; · • reviewing new ICO guidance / codes of practice; · • reviewing recent case law · • reviewing ICO decisions |
| | <p>Information Security Assurance and Compliance (ISAaC) Board</p> | <p>Chaired by the Head of Information Governance and Cyber. The purpose of this Board is: ·</p> <ul style="list-style-type: none"> • To make recommendations regarding operational oversight and direction for Leeds City Council (LCC) in all matters of Information Security and Assurance. · • To act as an escalation point for serious, non-emergency, security matters where improvements have been identified. · • To monitor the degree to which LCC complies with its own security policies, current national standards for compliance and best practice using statistics and descriptive narrative generated by Operational Services' Service Centre (to guide current and future development work). · • To agree key messages related to Information Security that need to be disseminated and/or escalation through the organisation, or any part thereof. · • To manage the implementation of the information security priorities, aligned to the council's vision and city's strategic outcomes. · • To manage and assign activities to the Cyber Team to ensure compliance to industry standards listed in the Objective section. · • To review and determine policy and process related to Information Security and Assurance. |
| <p>Frequency</p> | <p>The Board will meet every two months.</p> <p>Extra-ordinary meetings of the Board can be arranged at the request of the Chair.</p> | |

Authority

The following delegations, 21st July 2021, are directly relevant to the Information Management Board:

- *Where the SIRO is not available, to undertake the role of Senior Information Risk Owner – **Chief Digital and Information Officer has delegated decision making powers***
- *To approve Information Governance Policy – **Chief Digital and Information Officer has delegated decision making powers***
- ***Delegated decision making under the Council’s Constitution rests with individuals and not the Board***

Data Protection Officer (DPO)

Article 38 of the UK GDPR provides that the controller and the processor shall ensure that the DPO is ‘involved, properly and in a timely manner, in all issues which relate to the protection of personal data’. Article 39(1) (b) entrusts DPOs with the duty to monitor compliance with the ‘regulation, other domestic law relating to data protection and with the policies of the controller or processor in relation to the protection of personal data’. Recital 97 further specifies that DPO ‘should assist the controller or the processor to monitor internal compliance with this Regulation’.

As a member of Information Management Board the DPO will monitor compliance to data protection legislation, and in particular the following actions:

- Collect information to identify processing activities
- Analyse and check the compliance of processing activities
- Inform, advise and issue recommendations to the controller or processor

Caldicott Guardian

The Caldicott Guardian works as part of a broader Information Governance function within the Council and acts as a conscience in matters of information confidentiality and sharing for social care and health information; more specifically:

- To act as a champion for data confidentiality as part of the Information Management Board
- To ensure that confidentiality issues are appropriately reflected in Information related Council Strategies, policies and working procedures for employees
- To oversee all arrangements, protocols, procedures and adherences to the Caldicott Principles where confidential social care and health information may be shared with external bodies including disclosures to other public sector agencies and other outside interests.

Conduct of Meetings

- An agenda will be prepared by the CDIO and/ or Head of Information Governance and Cyber. All agenda and supporting papers will normally be sent out a minimum of five days prior to the meeting (except for extra-ordinary meetings). The minutes of the meeting will be approved by the Head of Information Governance and Cyber as an accurate record.

- A quorum of at least 4 Members of the Board including either the Chair or the Deputy Chair of the Board needs to be in attendance for a meeting to go ahead.