



ICT SERVICE PLAN

2009 - 2012

Draft Version 1.1 – Joint Committee – 17 December 2008

Shared Services Programme

CONTENTS

Section	Item	Page
1	Key Purpose of the Service	
1.1	Scope of the Service	1
1.2	Contribution to Shared Services Objectives	3
1.3	Contribution to the Councils' Strategic Objectives	4
1.4	The Future of the Service	8
2	Inputs	
2.1	People	9
2.2	Workforce Planning	12
2.3	Partnerships & Contracts	14
2.4	Assets and Technology	15
2.5	Shared services Operating Costs and Recharges	17
2.6	Implementation Costs	17
3	Outputs and Outcomes	
3.1	Stakeholder Consultation	18
3.2	Service Level Agreements	20
3.3	Performance Indicators	21
3.4	Benchmarking information	26
3.5	Outstanding Recommendations of External Inspections	28
3.6	Projects	29
3.7	Equalities	30
3.8	Risk Management	31
	Version Control	45

SECTION 1: KEY PURPOSE OF THE SERVICE

1.1 Scope of the Service

The overall objective of the ICT shared service will be to provide high quality and reliable Information Technology and Telephony services to its users. The service will be broadly split into two areas; Technology support services (to include infrastructure support and management of the current outsourced contract at Three Rivers) and Business Support (to include elements of business application support and service enhancements). It is anticipated that there will be a high level of communication between the ICT service and customers to ensure that the ICT staff understand the business requirements and that the ICT team can propose development opportunities to make the best use of technology within each service area.

The key responsibilities of the Shared IT Service are as follows:

- Manage the Councils' hardware and software assets
- Develop of a common Information Strategy to manage the development of the Shared ICT Service
- Provide input into individual IT Strategies at each of the partner Councils
- Provide effective IT and Telephony network / Infrastructure management including maintenance
- Provide application support to all of the Councils' business applications within scope of Shared Services
- Provide a business development function to help improve other services' business processes
- Provide effective project management for corporate ICT related projects
- Centralise the procurement of all ICT equipment and systems to ensure standardisation and connectivity
- Enable effective use of IT security systems to ensure data integrity and Councils' reputation
- Manage the appropriate licenses for ICT systems
- Develop, seek approval and advise on corporate information security policies
- Provide stakeholder briefing sessions on the subject of information security and best practice use of ICT
- Manage external supply contracts
- Managing disaster recovery services for the ICT facilities
- Provide effective website management (excluding devolved content management)
- Effectively manage the ICT capital and revenue budgets
- Assist in the future development of the Councils' Shared Services Programme

The ICT service will provide ICT facilities to all Council staff at both Councils and to the public via web services. The elements of service included in the new structure will include business development, application support, infrastructure support, web development, and the overall management of the service. The infrastructure support element of the service will work closely with Steria Ltd to provide IT services to Three Rivers until the contract expires in March 2010.

The staff working in the ICT service will be based at Three Rivers House, although an on-site presence will remain at Watford to deal with any local issues.

There are no statutory services directly responsible to ICT, although the section does support many other service areas in achieving their own statutory targets.

Both of the individual ICT teams at Watford and Three Rivers has achieved a number of successes over the past three years. These include:

Three Rivers

- Achievement of the Charter Mark standard at Three Rivers
- Establishment of a new outsourced IT contract, which provides improved service levels at a reduced cost
- Conclusion of a Best Value Review of ICT
- Consistently high levels of customer satisfaction identified in customer satisfaction surveys
- Successful transfer of Housing function to Thrive Homes
- Successful transfer of Leisure function to Hertsmere Leisure
- Implementation of Remote Access Services to assist with flexible working patterns and to provide disaster recovery arrangements
- Improved processes to manage information security
- Upgrade of the corporate network operating environment

Watford

- Total Land Charges implementation in Uniform and upgrade to version 7.4
- Lagan upgrade to Version 7
- Deployment of Thin client to all 90% of our seats
- Implement new 'look and feel' for Watford Website
- New Intranet directory with job description, photograph and peer related information
- Facilitate the split of the Housing department including the decommissioning of hardware
- Completing the Implementation of wireless link to Radius House
- Further standardisation of hardware and software
- Relocation of staff throughout campus to facilitate refurbishment of Town Hall after the flooding
- Supported the development of an overarching information security policy based on BS7999/ISO27001
- Introduced business analyst function to provide business process reengineering
- Implemented document management for revs and bens following PRINCE II principles

1.2 Contribution to Shared Services Objectives	
Savings	This section will be completed with figures to be taken from the detailed business case.
Resilience	<p>By bringing the services from the two Councils together, there will be a greater number of staff within the team. It is the expressed aim of the service that, wherever possible, staff members will cross train each other to remove any single points of failure within the team. To this end, the Application Analyst team will be much more generic and will be able to assist services on a number of different systems, not just the one that they have traditionally been a specialist in. From the point of bringing the two IT teams together, resilience will be guaranteed for the shared services in scope systems. For full resilience to be provided across all supported applications, there will be training requirements and it should be recognised that this will not be achieved instantly. Prioritisation of systems and key tasks will be required.</p> <p>Both Authorities will be connected on a triangulated network to ensure availability and resilience in data traffic</p> <p>Network connectivity also allows either of the two Council locations to be used for front line staff in the case of a disaster.</p> <p>The shared ICT service will benefit from accumulated learning and experience from previous projects, applications and infrastructure from the two Authorities.</p> <p>Continued alignment and harmonisation of systems and processes will bring further benefits and resilience to both Councils</p> <p>Until 2010, the existing support contract with Steria will run in parallel to the existing technical support team at Watford to ensure resilience is in place during the heavy period of implementing other Shared Services related implementations.</p>
Improved Services	In the short term, we will aspire to maintain the existing levels during the implementation of Shared Services and while systems are being consolidated. After this time, the ICT Shared Service will strive to achieve the performance of the best performing Council, or the SOCITM upper quartile figure, whichever is the best.

1.3	Contribution to the Councils' Strategic Objectives
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Three Rivers District Council	
The ICT service helps to meet several of the strategic objectives identified within the Three Rivers Strategic Plan. The majority of the objectives fall within the area of 'Towards Excellence' in the plan.	
Safer Communities	
Sustainable Communities <i>2.1.2 Improve access to benefits</i>	The Three Rivers website contains information on the Benefits service provided by the Council. The site also contains a direct link to a benefits calculator service.
Towards Excellence <i>3.1.1 We will develop, publish and monitor service standards for all services</i> <i>3.1.2 We will respond to complaints by learning and improving our services</i> <i>3.1.3 We will improve customer satisfaction</i> <i>3.2.1 We will ensure our service provide value for money</i>	<p>The ICT service has a formal service level agreement in place with Steria which commits them to achieving acceptable performance standards. A document reporting performance against these standards is published on a monthly basis</p> <p>The ICT service follows the Council's corporate complaints procedure. To date, the service has received no formal complaints.</p> <p>Customer satisfaction surveys are completed annually to assess the current levels of satisfaction with the IT service and asks specific service related questions to help identify areas of improvement in the service. The results of the customer satisfaction survey are submitted to SOCITM for inclusion in a national benchmarking exercise.</p> <p>All procurements follow relevant guidelines to ensure that value for money is being achieved. This will be either by seeking multiple quotations for low value items or by following a formal tender process for higher value items. In April 2008, the service was the subject of a Value for Money study presented to the Resources Policy Panel.</p>

Three Rivers District Council

Towards Excellence (continued)

3.3.1 *We will manage and reduce risk*

Service risks are included in the ICT service plan and monitored on a regular basis. The risk management section of this plan includes a categorisation of the risk and an action plan for its management. Any project initiation documents completed by the service will include a risk register for the project.

3.3.2 *We will ensure internal processes produce accurate outputs*

The service standards within the Steria SLA determine the times customers can expect to wait for problems to be resolved. Performance against these targets is reported on a monthly basis.

3.3.4 *We will continue to improve the Council's performance*

The ICT service participates in the annual SOCITM benchmarking study to help identify areas of under performance in areas of either cost or quality. The IT service has also achieved Charter Mark status and has annual health checks to ensure the quality of service is being maintained and that areas of non-compliance are improved.

3.4.1 *We will ensure employees are properly trained, developed and motivated'*

The ICT service has included a provision of 50 IT training days within the Steria contract to ensure that all staff have to opportunity to be trained on the software packages used by the Council. These days can also be used to provide more specialist training to the ICT staff within the Shared Service.

Watford Borough Council

An Efficient, Effective, Value for Money Council

Putting our customers at the heart of the Council

Service priority within this plan:
Embedding Equalities Level 3 / Equalities Action Plan (Business Manager)

CSC development (Business Manager)
Continue upgrade Lagan/Uniform
Further develop self service

Develop more interactive / transactional website (Business Manager)

Delivering Value for Money

Service priority within this plan:
Integration into Shared Services (Head of Service)

Watford Borough Council

An Efficient, Effective, Value for Money Council
(continued)

Focusing on performance to drive a culture of service excellence

Service priority within this plan:

Develop and implement programme to strengthen and modernise infrastructure (ICT Manager)

- Connecting outposts (ensuring cost / benefit achieved)
- Prepare network for Shared Service Integration (ICT Manager)

Service priority within this plan:

Information management (ICT Manager)

- Email and data archiving
- Data warehousing / G drive

Service priority within this plan:

Develop customer relations (All)

- Two way dialogue with customers
- Role definition
- Setting and communicating priorities

Service priority within this plan:

Residual Leisure & Housing (Business Manager)

- Outpost (Museum, etc)
- Reverse SLA with WCHT

Service priority within this plan:

Plan for Civica upgrade if no Shared Services (AP)

Service priority within this plan:

PKI (ICT Manager)

Service priority within this plan:

Information Security Policy (Head of Service)

Service priority within this plan:

Review policies (All)

- Information security
- Printing
- Internet / email
- Desktop

Watford Borough Council

An Efficient, Effective, Value for Money Council
(continued)

Focusing on performance to drive a culture of service excellence (continued)

Service priority within this plan:
Review & improve the helpdesk function (ICT Manager)

Service priority within this plan:
Support delivery of Customer Access Strategy

- SMS
- Other areas to be identified

A Town with a High Quality Environment

A Safer Town

A Healthy Town

A Good Town for Business, Skills & Learning

A Well-informed Community where everyone can contribute

A Town to be Proud of

1.4

The Future of the Service

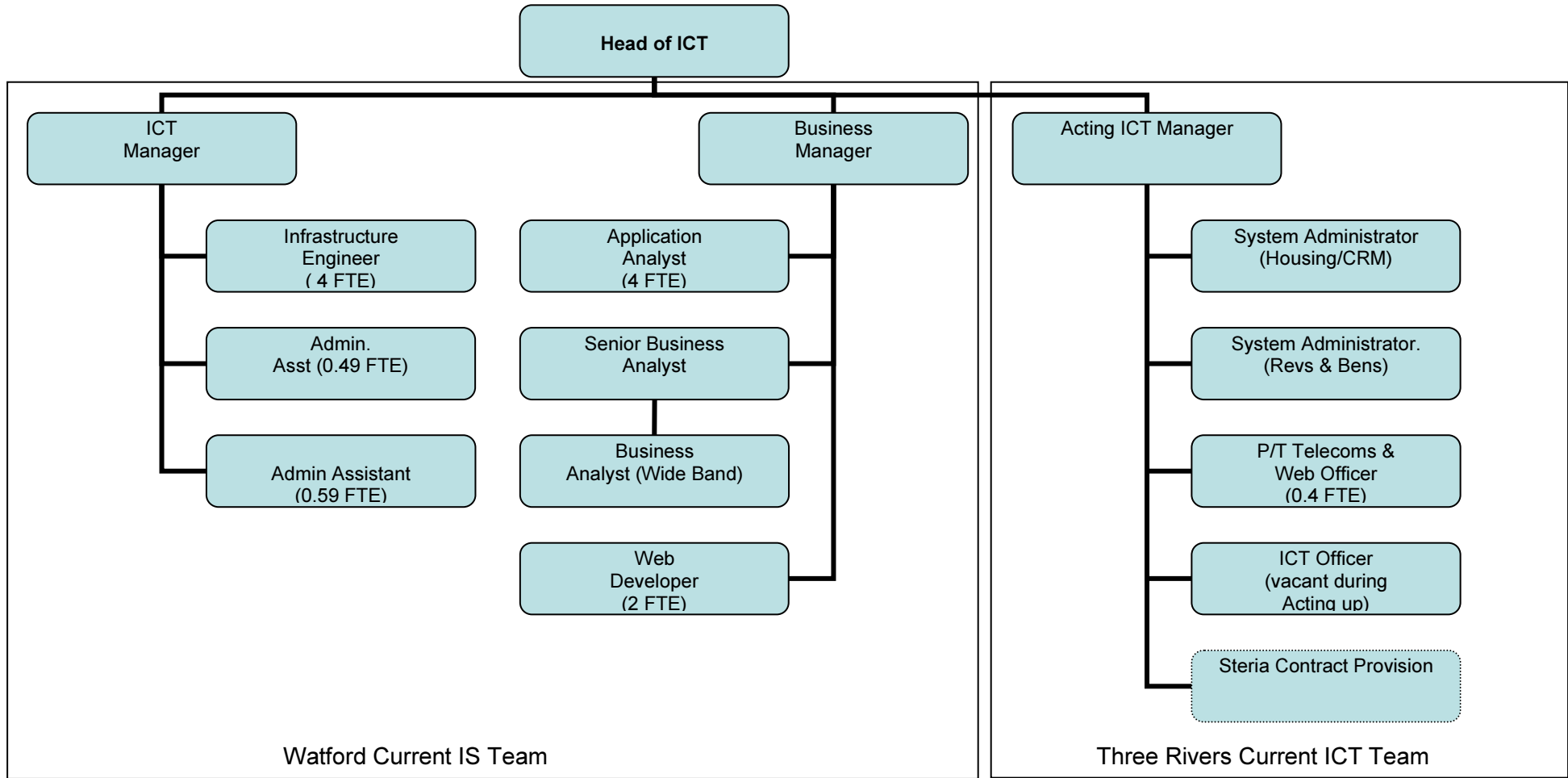
There are a number of potential opportunities facing the shared ICT service over the coming years. These will be considered as the first stage of shared services implementation is completed. These developments could include:

- Consider the business case and where necessary implement new technologies such as, server virtualisation and IP based telephony
- Plan for the harmonisation of software used within the out of scope services to help achieve greater savings for the partner Councils
- Consider the possibility of achieving Service Excellence standards for the ICT Shared Service and potentially help the Shared Service in general achieve the standard
- Market and subsequently expand the ICT shared service to other Authorities

SECTION 2: INPUTS

2.1 People

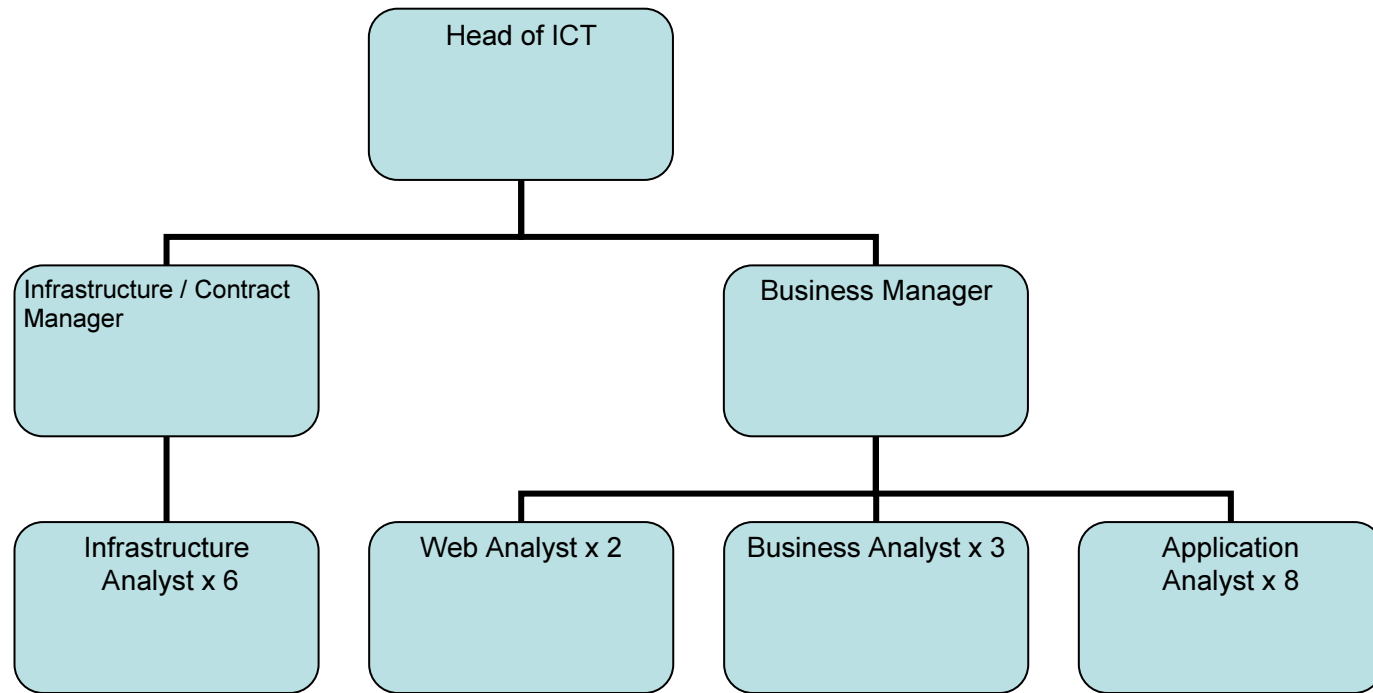
ICT Shared Services: Organisation Chart on appointment of Head of Service



The above diagram represents the current ICT Staffing structure at both councils.

Job Title	No.	FTEs	'Vacant'
Head of ICT	1	1	
Business Manager	1	1	
ICT Manager	1	1	
Acting ICT Manager	1	1	
ICT Officer	1	1	1
Infrastructure Engineer	4	4	
Admin Assistant	2	1.08	
Application Analyst	4	4	
System Administrator	2	2	
Web Developer	2	2	
Telecoms and Web Officer	1	0.4	1
Senior Business Analyst	1	1	
Business Analyst	1	1	

Shared Services Organisation Chart - April 2010: following expiry of the existing Steria contract



Job Title	Grade	No.	FTEs
Head of ICT	TBA	1	1
Business Manager	TBA	1	1
Infrastructure / Contract Manager	TBA	1	1
Infrastructure Analyst	TBA	6	6
Application Analyst	TBA	8	8
Web Analyst	TBA	2	2
Business Analyst	TBA	3	3

2.2 Workforce Planning

Overview

The ICT Shared Service will be providing a service which will meet the demands of the service departments and will strive to maintain and improve upon existing service levels. It is recognised however that the developments within the service departments will have a significant demand on the ICT team, particularly when the work is unplanned or scheduled at short notice. In order to alleviate this problem, it is expected that the ICT team should be involved in the service planning process at each council in order to fully understand the requirements of the services and to be able to plan the required resources. Despite having added resilience from the larger team, resources are still likely to be stretched. This will be less of a concern while the Steria contract is still in place, but may become more of a problem if a decision is made to end this contract.

In instances where resources are not available for project implementations, external resources may need to be brought in on a short term basis.

Prior to the end of the Steria contract, an analysis of the skills required to cover the loss of Steria resources will be required. It may be that additional training will be required for the Infrastructure Analysts if adequate skills do not exist in the Shared Service by that time.

Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service
Ending of the Steria contract would result in an increase of Infrastructure Analyst posts to cover the increased workload of the service taking on the technical element of IT services for Three Rivers formerly provided by Steria	An increase of establishment by two posts	A full options appraisal will be required to ascertain the best course of action at the end of the Steria contract. The options will be presented to Members of the Joint Committee and both Councils for a decision to be made. Options could include a full in-house service, specific elements provided by a supplier, a fully managed service, partnership with County Council, etc. The Shared Services Business Case currently assumes that the services currently provided by Steria will transfer to the shared services at the end of the contract.	The financial implications of ending the Steria contract would be a saving of approximately £460,000 per annum. There would be an increase of 2 full time posts, which will be quantified financially following the evaluation of posts in the Shared Service structure. Expertise currently provided by Steria would need to be incorporated into the Shared Services structure – a skills gap analysis would therefore be required and any necessary training given.

Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service
<p>The reorganisation of other in scope services, namely Revenues and Benefits and Finance, would result in two posts being included in the ICT structure. These posts would be Application Analysts, who would be responsible for the application support role moved away from the service departments</p>	<p>An increase of establishment by two posts</p>	<p>An alternative option would be to retain the system admin role within the service departments rather than ICT. However, this would result in single points of failure within the service departments, rather than generic Application Analysts within ICT team who would be able to provide a more resilient service.</p> <p>A fully managed service would be an option, where the supplier could manage both the technology used within the service and the service itself. This would mean the System Admin functions would be the responsibility of the supplier</p>	<p>The increased resilience of the Application support / system admin role within ICT would provide a better service to the users. It is also expected that these people could provide a better service as their skills level could increase as they would be working and sharing knowledge with other application analysts. This would represent 2 full time posts within ICT, which will be quantified financially following the evaluation of posts in the Shared Service structure.</p>
<p>Service software implementations within Shared Services are likely to draw upon the staff resources within ICT. The requirements could be based upon technical input, project management or business analysis expertise.</p>	<p>All staff within the Shared Services structure could potentially be affected by the other service implementations. External assistance could potentially be required if resourcing for several projects is required at one time.</p>	<p>Careful planning of the other system implementations is required to ensure that necessary resources from ICT are available to assist. An alternative option would be to rely more heavily on external expertise being brought in on a project by project basis, although this would mean skills would not be retained following the completion of the project and the Councils could therefore be in a more vulnerable position.</p>	<p>It may prove difficult to maintain service standards in the event of there being a particularly high demand on the skills of the ICT team during major implementations.</p>

2.3 Partnerships & Contracts	
Partner / Partnership	Expected Outcomes
Steria ICT Facilities Management Contract	Contract to provide technical expertise to the Three Rivers component of the ICT service. This contract runs for five years until its expiry on 31 March 2010.
ICM Disaster Recovery	This contract provides disaster recovery (DR) facilities to Three Rivers District Council. The contract covers the DR arrangements for all critical IT applications and provides for 85 workstations at the DR recovery centre in Uxbridge.
Adam Disaster Recovery	This contract provides disaster recovery (DR) facilities to Watford Borough Council. The contract covers the DR arrangements for all critical IT applications.
Various software supply and maintenance contracts	Both IT services at the two Councils have contracts with software suppliers to provide software applications to the service departments. Over time, it is expected that contracts of this type will be harmonised wherever possible.
Hardware maintenance contracts	Maintenance contracts exist within both ICT teams to cover the breakdown of essential computer hardware which is no longer under manufacturer warranty. It is expected that these contracts could also be harmonised to bring potential savings.

2.4

Assets & Technology

The ICT service will own all ICT assets used within the two Councils. They include:

- Networking equipment and servers
- Desktop PCs / terminals
- Handheld PDAs
- Notebook computers
- Data Projectors
- Desktop telephones
- Departmental printers

The service is responsible for managing the corporate ICT infrastructure comprising of application servers and networking hardware. A full inventory of the equipment used with the Council buildings is available if required

Systems used within the Councils are as follows:

ICT Service

- Touchpaper (helpdesk system)
- Adobe Acrobat Pro, Dreamweaver, Fireworks & Flash
- MS Visual Studio, Visio
- Ebase Technology (e-forms)
- Hyena
- Imaging software [Acronis & Ghost]

Corporate Services

- Telephony: Avaya Definity telephone switches
- Network & Servers
 - T-Scale
 - MS Terminal Servers
 - Solarwinds
 - Remote Control [PC Duo & VLC]
 - Backup Software [Veritas Backup Exec & ArcServ]
 - File Monitoring [Treesize Professional]

- Security
 - VPN (Appgate & Netilla)
 - Websense and Webtrends website management software
 - Trend Neatsuite virus control
 - Surf Control – e-mail content filter
- Disaster Recovery
- Website
- Microsoft Office Professional

Three Rivers Specific

- DM Anite@work for Revs & Bens, Creditors, Building Control

Watford specific

- DM Anite@work for Revs & Bens + IDOX for Planning

Applications / Projects

- Uniform: Planning, DC, BC, LLPG - Watford only EH, ES,
- Northgate M3
- Geographical Information System [GIS]
- Finance System [PowerSolve & Aptos] [ICON Cash Receipting & ACR Cash Receipting and REMIT Income Distribution] [ALBACS IP Payments System & XXXXXXXXXXXXXXXXXXXX]
- CRM System [LAGAN & PRO ACTIVE]
- Electoral Services [Halarose & Pickwick]
- Revenues & Benefits [Civica & Academy]
- Housing [Academy & Orchard]
- Legal & Democratic [SOLCASE & OMS Pericom]
- Human Resources [Intellect & Chris]
- Profit Centre [Housing & Alace]

2.5 Shared Services Operating Costs and Recharges					
Code	To be extracted from Detailed Business Case	2008/09 Revised £	2009/10 Original £	2010/11 Forecast £	2011/12 Forecast £
	Shared Services Operating Costs				
	Employees				
	Premises				
	Transport				
	Supplies & Services				
	Contracted & Agency Services				
	Income				
	Sub-Total				
	Recharge to Councils				
	Three Rivers District Council				
	Watford Borough Council				
	Sub-Total				
	Total	0	0	0	0

2.6 Implementation Costs					
		2009/10 £	2010/11 £	2011/12 £	
1	Revenue Implementation Costs				
	List here items of cost from Detailed Business Case	0	0	0	
	Total	0	0	0	
2	Capital Implementation Costs				
	List here items of cost from Detailed Business Case	0	0	0	
	Total	0	0	0	

SECTION 3: OUTPUTS AND OUTCOMES

3.1 Stakeholder Consultation			
<p>Stakeholder consultation is an important part of the ICT service as the needs of the customer are important in establishing the direction of the service and shaping future strategy. There are a number of stakeholder groups who have a say on the direction of the ICT service, each of whom are listed below:</p> <p>All Office based workers</p>			
Who / types	Approximate numbers	Location	Consultation
All office based workers	750	Office locations within the boundaries of the two authorities	User group meetings, staff satisfaction surveys, all staff e-mail, intranet, post call survey, Telematics steering group
Remote workers	120	Any location within the immediate geographic location of the two Authorities	As above
Public	All residents and businesses within the two authority areas plus other members of the public living outside of the area	Customers living / working within the area covered by the two Authorities. Less commonly, residents elsewhere in the country who may be future users of the Authorities' services	No direct consultation unless specific input is required on public facing IT developments (i.e. redesign of website)
Councillors	84	Predominantly at home or work, within close proximity of the Councils' offices	Communication via democratic services and party secretaries, regular meetings with portfolio holders the quarterly meeting plus and update reports to joint committee and other committee where called in.
Suppliers / profit centre	100		Quarterly meetings with account managers, split into ICT meeting to discuss financials and ICT specific issues and a session involving representatives of the

			user community to inform about future product improvements. Monthly Account Managers meeting with Steria.
Trade Union / staff representation	5+	Council Offices	Ad hoc consultation re staffing issues and organisational change issues

This service plan has been developed jointly by the ICT management at Watford and Three Rivers Councils. In planning the document, consultation has taken place with the staff within the IT service and the Heads of the other Shared Services.

In earlier stages of the planning of Shared Services, customer workshops were conducted to ascertain the thoughts of service users from both Councils. The findings from these workshops were used to shape the initial operating model for the service.

As separate services, both Watford and Three Rivers have mechanisms in place to consult with staff. These consultation methods help shape the direction of the service by ensuring that the management are aware of service users' needs.

3.2 Service Level Agreements

SLAs between shared services and the councils

As part of the development of the operating model for the ICT service, internal customers were consulted and draft output specifications produced. The shared services team will use this as a starting point to develop and establish formal Service Level Agreements (SLA) between the ICT service and its customers at both councils. As part of the Service Level Agreements, performance standards will be identified as well as performance indicators that will be used internally by the shared service, some of which have been included in this service plan. The process for monitoring performance against SLAs is being developed and will be agreed with the Joint Committee. It is expected that SLAs will be established by March/April 2009.

SLAs between shared service and other organisations

There is an ICT service level agreement between Three Rivers Council and Steria. This SLA has details of all the different aspects of service provision in place at the Council. The performance of Steria against this SLA is monitored on a monthly basis and any failures reported to the Three Rivers ICT management. If performance drops below an acceptable level, then penalty costs may be incurred by Steria. The SLA between Steria and Three Rivers will remain in place until the contract ends on 31 March 2010.

There is also a Service Level agreement between the existing Three Rivers ICT service and Thrive Homes, who provide the Housing function to Three Rivers. This agreement has been in place since March 2008 and will run until notice is given by either party to end the contract.

3.3 Performance Indicators

Reference KP11	User Satisfaction															
Indicator Definition	To measure the extent to which users are satisfied with the ICT services they receive															
Target	2008/09				2009/10				2010/11				2011/12			
TRDC	N/A	N/A	N/A	5.65	N/A	N/A	N/A	5.65	N/A	N/A	N/A	5.65	N/A	N/A	N/A	5.65
Watford	N/A	N/A	N/A	5.65	N/A	N/A	N/A	5.65	N/A	N/A	N/A	5.65	N/A	N/A	N/A	5.65
Outcome	2008/09				2009/10				2010/11				2011/12			
TRDC																
Watford																
Comments on Performance:																
Score is calculated annually and reported during quarter 4 of any given year. This target is based upon existing performance levels, although it should be recognised that services during the Shared Services implementation may be stretched and performance consequently affected.																

Reference KP12	Resolution of reported incidents															
Indicator Definition	To measure the efficiency of the ICT unit in restoring the service within an agreed timescale after an operational incident has been reported by a user															
Target	2008/09				2009/10				2010/11				2011/12			
TRDC	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%
Watford	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%
Outcome	2008/09				2009/10				2010/11				2011/12			
TRDC																
Watford																
Comments on Performance:																
Score is calculated annually and reported during quarter 4 of any given year. This target is based upon existing performance levels, although it should be recognised that services during the Shared Services implementation may be stretched and performance consequently affected.																

Reference KP14	Acquisition cost of workstation															
Indicator Definition	To measure the total procurement cost of a workstation															
Target	2008/09				2009/10				2010/11				2011/12			
TRDC	N/A	N/A	N/A	665	N/A	N/A	N/A	600	N/A	N/A	N/A	550	N/A	N/A	N/A	525
Watford	N/A	N/A	N/A	665	N/A	N/A	N/A	600	N/A	N/A	N/A	550	N/A	N/A	N/A	525
Outcome	2008/09				2009/10				2010/11				2011/12			
TRDC																
Watford																
Comments on Performance: Score is calculated annually and reported during quarter 4 of any given year. This target is based upon existing performance levels, although it should be recognised that services during the Shared Services implementation may be stretched and performance consequently affected.																

Reference KP15	Cost per connection to voice network															
Indicator Definition	To measure the total life cycle costs of a connection to the corporate voice network															
Target	2008/09				2009/10				2010/11				2011/12			
TRDC	N/A	N/A	N/A	190	N/A	N/A	N/A	160	N/A	N/A	N/A	140	N/A	N/A	N/A	125
Watford	N/A	N/A	N/A	190	N/A	N/A	N/A	160	N/A	N/A	N/A	140	N/A	N/A	N/A	125
Outcome	2008/09				2009/10				2010/11				2011/12			
TRDC																
Watford																
Comments on Performance: Score is calculated annually and reported during quarter 4 of any given year. This target is based upon existing performance levels, although it should be recognised that services during the Shared Services implementation may be stretched and performance consequently affected.																

Reference KP16	Cost per connection to data network															
Indicator Definition	To measure the cost efficiency of providing the connection of a device to the corporate data network															
Target	2008/09				2009/10				2010/11				2011/12			
TRDC	N/A	N/A	N/A	170	N/A	N/A	N/A	150	N/A	N/A	N/A	120	N/A	N/A	N/A	100
Watford	N/A	N/A	N/A	170	N/A	N/A	N/A	150	N/A	N/A	N/A	120	N/A	N/A	N/A	100
Outcome	2008/09				2009/10				2010/11				2011/12			
TRDC																
Watford																
Comments on Performance: Score is calculated annually and reported during quarter 4 of any given year. This target is based upon existing performance levels, although it should be recognised that services during the Shared Services implementation may be stretched and performance consequently affected.																

Reference KP17	Support costs per workstation															
Indicator Definition	To measure the cost efficiency of providing support for users of workstations															
Target	2008/09				2009/10				2010/11				2011/12			
TRDC	N/A	N/A	N/A	190	N/A	N/A	N/A	190	N/A	N/A	N/A	190	N/A	N/A	N/A	190
Watford	N/A	N/A	N/A	190	N/A	N/A	N/A	190	N/A	N/A	N/A	190	N/A	N/A	N/A	190
Outcome	2008/09				2009/10				2010/11				2011/12			
TRDC																
Watford																
Comments on Performance: Score is calculated annually and reported during quarter 4 of any given year. This target is based upon existing performance levels, although it should be recognised that services during the Shared Services implementation may be stretched and performance consequently affected.																

Reference KP18	Workstations supported per support specialist															
Indicator Definition	To measure the efficiency of the technical infrastructure and the productivity of support specialists															
Target	2008/09				2009/10				2010/11				2011/12			
TRDC	N/A	N/A	N/A	189	N/A	N/A	N/A	179	N/A	N/A	N/A	169	N/A	N/A	N/A	159
Watford	N/A	N/A	N/A	189	N/A	N/A	N/A	179	N/A	N/A	N/A	169	N/A	N/A	N/A	159
Outcome	2008/09				2009/10				2010/11				2011/12			
TRDC																
Watford																
Comments on Performance: Score is calculated annually and reported during quarter 4 of any given year. This target is based upon existing performance levels, although it should be recognised that services during the Shared Services implementation may be stretched and performance consequently affected.																

Reference KPI 10	ICT competence of employees															
Indicator Definition	To measure the competence of employees who use ICT facilities and training provided to ICT specialists employed in the central ICT unit															
Target	2008/09				2009/10				2010/11				2011/12			
TRDC	N/A	N/A	N/A	5.06	N/A	N/A	N/A	5.10	N/A	N/A	N/A	5.15	N/A	N/A	N/A	5.21
Watford	N/A	N/A	N/A	5.06	N/A	N/A	N/A	5.10	N/A	N/A	N/A	5.15	N/A	N/A	N/A	5.21
Outcome	2008/09				2009/10				2010/11				2011/12			
TRDC																
Watford																
Comments on Performance: Score is calculated annually and reported during quarter 4 of any given year. This target is based upon existing performance levels, although it should be recognised that services during the Shared Services implementation may be stretched and performance consequently affected.																

Reference KPI 15	Service Availability															
Indicator Definition	To measure the availability of the ICT service to users during core working hours															
Target	2008/09				2009/10				2010/11				2011/12			
TRDC	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%
Watford	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%	N/A	N/A	N/A	99%
Outcome	2008/09				2009/10				2010/11				2011/12			
TRDC																
Watford																
Comments on Performance:																
Score is calculated annually and reported during quarter 4 of any given year. This target is based upon existing performance levels, although it should be recognised that services during the Shared Services implementation may be stretched and performance consequently affected.																

3.4 Benchmarking Information

Data from the Performance Indicators section has been shown on the table below against national benchmarking data provided by the Society of IT Management (SOCITM).

Measure: Cost					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
Cost per data connection					
Three Rivers	SOCITM Benchmarking Group	£188	18 out of 25	Jan 2007	
Watford	SOCITM Benchmarking Group	£172		Jan 2007	
Cost per voice connection					
Three Rivers	SOCITM Benchmarking Group	£94	3 out of 25	Jan 2007	
Watford	SOCITM Benchmarking Group	£196		Jan 2007	
Acquisition cost of a PC					
Three Rivers	SOCITM Benchmarking Group	£684	18 out of 26	Jan 2007	
Watford	SOCITM Benchmarking Group	£665		Jan 2007	
Support cost per workstation					
Three Rivers	SOCITM Benchmarking Group	£239	19 out of 26	Jan 2007	
Watford	SOCITM Benchmarking Group	£192		Jan 2007	

Measure: Quality					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
User Satisfaction					
Three Rivers	SOCITM Benchmarking Group	5.64 out of 7	2 out of 22	Jan 2007	Note: In all cases the lower the ranking score the better is the result.
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities
Operation Incidents resolved within agreed service level					
Three Rivers	SOCITM Benchmarking Group	99%	1 out of 14	Jan 2007	
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities
Operational incidents resolved within 4 hours					
Three Rivers	SOCITM Benchmarking Group	87%	1 out of 21	Jan 2007	
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities
Operational incidents resolved within 8 hours					
Three Rivers	SOCITM Benchmarking Group	93%	2 out of 21	Jan 2007	
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities
Employee perception of the adequacy of IT training					
Three Rivers	SOCITM Benchmarking Group	5.06 out of 7	1 out of 19	Jan 2007	
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities

3.5 Outstanding Recommendations of External Inspections					
Three Rivers – Deloitte – Internal Audit – Data Security July 2008					
<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
The current ICT guidelines document should be developed into a formal IT Security Policy.	High	ICT Manager – Three Rivers	The Security Policy document is in the process of being prepared in accordance with audit and national (Government Connect) guidelines.	x	October 2008
Data residing on hard drives of all hardware disposed of or given to third parties should be made irrecoverable. e.g. shredding the hard disk or degaussing the hard disk.	High	ICT Manager – Three Rivers	Recommendation agreed. This recommendation will be followed whenever any equipment is returned to the hardware supplier for disposal.	x	
Watford – Grant Thornton – External Audit Report 2008/09					
<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
<p>Establish appropriate personnel to sit on an IT Steering Committee.</p> <p>Produce clear terms of reference.</p> <p>Schedule regular meetings.</p> <p>Communicate ongoing opportunities and risks regularly to the Heads of Service.</p>	Medium	HoS	<p>HoS will forward a recommendation to CMB seeking guidance whether our Corporate Management Board [CMB] wants a Steering Committee (Note: Shared Services will have an impact on this). Depending on CMB's decision it will be implemented</p> <p>General Service Risks are already logged in the Corporate Service logs</p>	Open	Depends on CMB's – Shared Service's guidance

3.6 Projects

Shared service priority items:

- Establishment of a single IT service across the two Councils and the consolidation of IT related hardware wherever possible.
- Harmonised software applications across the services considered in-scope of Shared Services
- Relocation of WBC server environment
- Arrangements for end of Steria contract April 2010

Shared Services 'extended' Items:

- Consider the business case for new technologies such as, server virtualisation and IP based telephony
- Plan for the harmonisation of software used within the out of scope services
- Customer Services Excellence (new Charter mark). The Shared Services management team want to achieve the new Customer Service Excellence standard for all their services within 12 months.
- Market and subsequently expand the ICT shared service to other Authorities

Items from TRDC service planning:

- Government Connect compliant and connected to the Government Secure Intranet
- Options for the facilities Management contract considered and agreed arrangements in place from April 2010
- Consider the environmental impact of services and produce a strategy to reduce the carbon footprint of the ICT service
- Renewal of Microsoft Software Assurance
- Management of PC replacement programme
- Consider business case for server virtualisation
- Implement Thin Client computing

Items from WBC service planning:

- Government Connect compliant and connected to the Government Secure Intranet
- Making website interactive / transactional Phase 1
- Making website interactive / transactional Phase 2
- CSC continued development
- Voice over IP
- SMS / Digital TV / Video conferencing
- Continued GIS Development
- BIS Help Desk
- Residual Housing
- EDRM / Warehousing / Archiving
- Continued Uniform development
- DMS & Workflow
- Continued Business Process Review
- TLC
- Data Class G drive
- Mobile Working Phase1
- Mobile working Phase2

Project Initiation documents for all of these projects will be prepared in accordance with project management best practice. The involvement of the ICT team will vary depending upon the project. They will either lead the project or act in an advisory capacity.

3.7 Equalities

To be completed.

3.8

Risk Management

RISK REGISTER

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 1	Loss of Accommodation	Service Disruption	III	D	The loss of accommodation would result in all IT services being unavailable for a period of 36 hours. Following this time, the Disaster Recovery arrangements would be operational and IT services for critical systems would be available to key staff at separate accommodation	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	Nov 08
		Reputation	III			Next Milestone Date	May 09
		Legal Implications	III			Next Review Date	May 09
		People	III			Date Closed	N/A
ICT 2	Insufficient staff	Service Disruption	III	D	Staff being unavailable for support technical services would have the most direct impact. Arrangements would need to be made to bring in temporary cover for the period of absence. The impact of this risk is expected to be reduced as improved resilience is brought to the service through cross training and better documentation of standard services.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	Nov 08
		Reputation	III			Next Milestone Date	May 09
		Legal Implications	III			Next Review Date	May 09
		People	I			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 3	Contractor or system failure – main ICT systems suppliers and FM contractor	Service Disruption	II	D	All major contractors used within the Shared Service are checked for financial standing and reputation prior to the contract being signed. In the event of contractor failure, other suppliers would be sought to provide similar services.	Requires Treatment	No
		Financial Loss	II			Last Review Date	Nov 08
		Reputation	II			Next Milestone Date	April 09
		Legal Implications	II			Next Review Date	April 09
		People	II			Date Closed	N/A
ICT 4	Non-compliance with Data Protection Act and Freedom of Information Act	Service Disruption	II	D	All staff within the team will be trained to understand the implications of the Data Protection Act and Freedom of Information Act. The corporate responsibility for these Acts will not be the responsibility of the ICT Shared Service.	Requires Treatment	No
		Financial Loss	II			Last Review Date	Nov 08
		Reputation	II			Next Milestone Date	April 09
		Legal Implications	II			Next Review Date	April 09
		People	II			Date Closed	N/A
ICT 5	Failure to deliver the ICT Capital Programme	Service Disruption	III	C	If the ICT Capital programme is not delivered, then the most significant impact would be on the reputation of the service with the Councillors who would be less likely to approve capital funds in future years. There could also be a disruption to services if essential projects were not implemented on time or to quality standards.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	Nov 08
		Reputation	III			Next Milestone Date	April 09
		Legal Implications	II			Next Review Date	April 09
		People	II			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 6	Loss of portable storage device containing sensitive data	Service Disruption	II	D	The loss of portable storage devices could potentially have legal implications through a breach of the Data Protection Act. It is also likely that the loss of data in this way would be reported in the press and therefore result in a damaged reputation for the Councils	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	Nov 08
		Reputation	III			Next Milestone Date	May 09
		Legal Implications	III			Next Review Date	May 09
		People	II			Date Closed	N/A
ICT 7	Virus introduced to the network via storage device	Service Disruption	II	F	The shared ICT service will have comprehensive security processes in place to ensure that the best protection is given against the threat of software viruses. If a virus was introduced, it is expected that services would be interrupted while the virus was isolated and the network cleaned.	Requires Treatment	No
		Financial Loss	I			Last Review Date	Nov 08
		Reputation	II			Next Milestone Date	May 09
		Legal Implications	I			Next Review Date	May 09
		People	I			Date Closed	N/A
ICT 8	Software being removed from the corporate network	Service Disruption	I	E	Software licensing could be compromised by staff illegally removing software owned by the Council. Both of the individual councils have processes in place to reduce this risk and a combined solution will be put in place when the new shared service is operational.	Requires Treatment	No
		Financial Loss	I			Last Review Date	Nov 08
		Reputation	I			Next Milestone Date	May 09
		Legal Implications	II			Next Review Date	May 09
		People	I			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 9	Sensitive e-mail being lost in e-mail / post system	Service Disruption	II	E	As with the loss of portable storage devices, there is a potential for mail (electronic or hard copy) being intercepted or misdirected. Information security procedure in place for shared services will specify that sensitive data should be treated with care and adequate security measures used when the information is being sent.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	Nov 08
		Reputation	III			Next Milestone Date	May 09
		Legal Implications	III			Next Review Date	May 09
		People	II			Date Closed	N/A
ICT 10	Disaster in Computer Centre	Service Disruption	V	E	The impact of this risk affects all services and the people affected would be customers and staff. E given because of past experiences which have been infrequent.	Requires Treatment	Yes
		Financial Loss	lii			Last Review Date	Nov 08
		Reputation	lii			Next Milestone Date	Feb 09
		Legal Implications	I			Next Review Date	Feb 09
		People	iV			Date Closed	N/A
ICT 11	Power Outage longer than 1 hour	Service Disruption	III	C	For this risk, all services disrupted, but for less time. The rating takes into account the current short term position at TRDC. The likelihood rating is based upon past experience.	Requires Treatment	Yes
		Financial Loss	I			Last Review Date	Nov 08
		Reputation	I			Next Milestone Date	Feb 09
		Legal Implications	I			Next Review Date	Feb 09
		People	i			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 12	Sickness of 50% of staff	Service Disruption	III	F	This risk is considered unlikely because it would be an epidemic. Supporting of services would be stretched. Impact on people relates to the remaining staff and public services being disrupted.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	Nov 08
		Reputation	I			Next Milestone Date	May 09
		Legal Implications	I			Next Review Date	May 09
		People	III			Date Closed	N/A
aiCT13	Loss of key staff or expertise	Service Disruption	II	B	This would result in localised disruption to services. The likelihood is high as it is virtually inevitable that staff will leave at some point.	Requires Treatment	Yes
		Financial Loss	I			Last Review Date	Nov 08
		Reputation	I			Next Milestone Date	April 10
		Legal Implications	I			Next Review Date	May 09
		People	I			Date Closed	N/A
ICT 14	Day to day service delivery disrupted during implementation	Service Disruption	I	B	Likelihood is high because resources will be stretched during system implementations. Individuals will be affected rather than whole services.	Requires Treatment	No
		Financial Loss	I			Last Review Date	Nov 08
		Reputation	I			Next Milestone Date	Aug 09
		Legal Implications	I			Next Review Date	Aug 09
		People	I			Date Closed	N/A
ICT 15	Slow / unreliable network communication between TRDC and WBC	Service Disruption	III	F	Services could be affected because of slow links. Network resilience will be established to avoid disruption, hence the low likelihood.	Requires Treatment	Yes
		Financial Loss	I			Last Review Date	Nov 08
		Reputation	I			Next Milestone Date	Feb 09
		Legal Implications	I			Next Review Date	Feb 09
		People	I			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 16	Unsuccessful management of IT implementations	Service Disruption	I	E	Low likelihood because of emphasis on supplier to deliver projects with penalties incurred for failure. The financial loss is slightly higher because there may be extra licence costs if you need to parallel run systems while the new one beds in.	Requires Treatment	Yes
		Financial Loss	li			Last Review Date	Nov 08
		Reputation	I			Next Milestone Date	Aug 09
		Legal Implications	I			Next Review Date	Aug 09
		People	I			Date Closed	N/A

Likelihood	A					
	B	14	13			
	C			2, 5, 11		
	D		3, 4	1, 6		
	E		8, 16	9	10	
	F		7	12, 15		
		I	II	III	IV	V
Impact →						

Impact
V = Catastrophic
IV = Critical
III = Significant
II = Marginal
I = Negligible

Likelihood
A = ≥98%
B = 75% - 97%
C = 50% - 74%
D = 25% - 49%
E = 3% - 24%
F = ≤2%

Enter Risk number in matrix (left) against the highest impact classification for the risk and the appropriate likelihood classification taken from the table above.

RISK TREATMENT PLAN

Risk Ref:	ICT 1	Risk Title:	Loss of Accommodation		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Loss of access to building where ICT staff are located The building may be affected by a disaster taking it out of action for long periods, or by power failure meaning health and safety requirements prevent access Power failure has occurred at TRDC resulting in 1 day without access. Neither site has experience long term disruption		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Major incidents such as fire, flood, bomb (real or threat) or loss of power to the building making it unsafe to enter.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Disaster Recovery arrangements are in place at TRDC to allow key staff to relocate to the Disaster Recovery test centre in the event of the building not being available. This provision allows for 85 staff to relocate.		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Key staff could relocate from TRDC to the recovery centre. WBC staff could relocate to TRDC.	Impact III	Likelihood D
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Further discussion could take place with HCC to identify alternative accommodation if the existing arrangements were deemed inadequate of unsuitable. This may also be a cheaper option rather than the existing Disaster Recovery arrangements		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		HCC to provide standby accommodation which would have links to their data centre at Apsley, which would hold the WBC infrastructure. In time, TRDC may also be able to utilise this site. Costs for providing workstations at Apsley needs to be determined.	£ Enter cost here	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		The current status of the risk is that the TRDC staff could relocate to alternative accommodation. Arrangements for WBC staff can be put in place when spare office space becomes available	Impact III	Likelihood D
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		The risk action will have worked if disruption is minimised in the event of accommodation being unavailable i.e. staff are working within a pre agreed time i.e. 24 hours.	Impact II	Likelihood D

Risk Ref:	ICT 2	Risk Title:	Insufficient Staff		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		<p>The IT service that will be provided will be limited and as a result there will longer waiting times for resolutions and fixes.</p> <p>It can go wrong whereby there is not enough capacity to deal with customer requests.</p> <p>This has happened in the past.</p>		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Long term staff absence or temporary staff absence.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Describe the controls that currently exist		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Evidence is required – not just a statement that the controls are working.	Impact III	Likelihood B
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		<p>At present the staff are not cross trained therefore certain requests have to wait before they are actioned.</p> <p>To reduce the impact the proposal would be to build more resilience and have more staff cross trained in the shared services.</p>		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Perhaps additional training costs?	£ Enter cost here	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		Enter here the 'status' of the risk, i.e. how it has changed over time, when the further controls are expected to take effect etc.	Impact III	Likelihood C
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		By the means of cross training and building up resilience other team members will be able to help on a particular issue whether it is related to the applications team or the infrastructure team.	Impact III	Likelihood C

Risk Ref:	ICT 5	Risk Title:	Failure to Deliver the ICT Capital Programme		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Councillors may not be willing to approve and sign off funds in the future and it may become more difficult for services to obtain buy-in from them. Also, service implementations can also be affected. Potential financial losses through company insolvency It can go if the work has not been planned in advance. It also means that political and corporate targets cannot be met.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Unable to deliver the capital project due to for example insolvency of supplier / implementation on time		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Apply Prince 2 principles, financial status checks on suppliers before agreeing contract. Capital budget monitoring meetings takes place monthly at both Councils.		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Previous years capital programmes delivered successfully at both Councils.	Impact	Likelihood
				III	C
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		The gaps that have been identified is the impact that this has on large corporate projects. In order to reduce the likelihood of something going wrong it would be necessary to have a plan of action in place and for the project or implementation team to identify early on what whether or not the ICT capital programme work will be delivered to time and quality. If further resource is required this also needs to be identified.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Perhaps additional resource to help deliver the project or implementation where required.	£ 1000 per day	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		No additional controls required	Impact	Likelihood
				III	C
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		In order to know that the action taken has worked would be by recognising the fact that ICT capital board projects and implementations are achieved on time and to budget.	Impact	Likelihood
				III	C

Risk Ref:	ICT 6	Risk Title:	Loss of portable data storage device containing sensitive data		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Devices such as laptops, memory sticks, PDA's and CD's all have the ability to store data/information. Damage to reputation, loss of public confidence and trust. Sensitive data being used for unknown purposes. Breach of data protection act. Financial implications. It has gone wrong for other public sector bodies.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Staff being unaware of the following policies, information and security and Internet and email policy. Staff and external suppliers not adhering to rules regarding the use of memory sticks.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Within Internet & Email policy (WBC) there is an explicit rule of not using memory sticks. This same guidance has been issued within the Information Security policy (WBC)		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		No current known loss of data from WBC or Three Rivers.	Impact	Likelihood
				IV	B
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Data can still be copied to laptop hard drives and CD's. Education of staff of new Information Security (WBC) policy. Look at preventing staff from saving data locally.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Staff time	£ Enter cost here	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		Implementation of WBC Information Security policy is imminent.	Impact	Likelihood
				III	D
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		Risk can be tolerated.	Impact	Likelihood
				III	E

Risk Ref:	ICT 9	Risk Title:	Sensitive e-mail being lost in e-mail / post system		
Responsibility	<i>Head of Service</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Loss of reputation (name and shame), embarrassment, claim for damage, loss of confidence		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Data loss due to email accidentally sent to the wrong addressee, data could be read (accidentally or deliberately) by the wrong person. If encrypted data is sent the password could get lost		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Data always to be transported per email and where sensitive to be encrypted. Data on fat client laptops need to be encrypted		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Not in place yet but part of implementing Information Security Policy based on BS7799 / ISO27001 and required for Gov Connect	Impact III	Likelihood E
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Encryption tools and / or encrypted transmission Put policies and procedures in place and to create a higher level of awareness with the staff		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Encryption software for 700 seats	£ 14K	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		Only agreed a policy.	Impact same	Likelihood same
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		Insert the answers to the questions. Will the impact and likelihood mean the risk can be tolerated / closed?	Impact III	Likelihood F

Risk Ref:	ICT 10	Risk Title:	Disaster in Computer Centre		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Loss of Data Loss of Service until DR kicks in + possible interruptions during back to normal process i.e. during restore or replacing servers Air conditioning failure causing servers to “melt” If DR correctly applied short time to back to normal but long time to repair all damages and ensure cost recovery		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Could be water leakage, mal function of air conditioning, fire, etc Wrong concept for air-flow		
Existing Control	<i>What controls exist now to minimise the risk?</i>		DR with ADAM for trailer and generator		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Previous flood – Service back up and running after 4 days (cheque payment) and service to public after one more day	Impact V	Likelihood E
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Implement remote control for hardware Move server farm to an environment with proper air conditioning, UPS and generator		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Remote Control for hardware WBC & TRDC Move Server farm WBC & TRDC	£ 2 x 4K 2 x 60K	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		Temporarily high risk that the air conditioning will fail but back up with portable units and the cols season will help us survive till we move	Impact IV	Likelihood E
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		The measures in place will almost completely minimise the current number of single points of failure	Impact IV	Likelihood F

Risk Ref:	ICT 11	Risk Title:	Power outage longer than one hour		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Localised or more widespread power failure preventing ICT equipment from operating A variety of reasons can cause power failure, all would have the same affect on the service Power failure has occurred at TRDC resulting in 1 day without access. WBC has UPS systems in place, which allow the safe shutdown of servers. Neither site has experience long term disruption		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		A failure of the electricity supply. This could result from a number of different causes		
Existing Control	<i>What controls exist now to minimise the risk?</i>		WBC has UPS systems in place to safely shut down hardware and a switchable power supply to manage some causes of power loss		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		There are no controls at TRDC top manage power loss. The controls at WBC would manage the safe shutdown of services and allow for power supply to continue in some instances of power loss.	Impact	Likelihood
				III	C
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		TRDC to improve UPS facilities in the server room. Assurances that the server environment at Apsley has adequate power management in place.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		A capital bid of £30k has been approved at TRDC for a new UPS system. The relocation of WBC servers to Apsley has been costed separately. The improved power management facilities will come about as a by product of this move.	£ 30,000	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		The current position is that the TRDC server environment is more vulnerable to power loss. WBC controls are adequate, but will be improved further still with the relocation to Apsley	Impact	Likelihood
				III	C
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		The action will have worked if a power failure in the future has a minimum impact and services will be able to continue as normal.	Impact	Likelihood
				II	C

Risk Ref:	ICT 13	Risk Title:	Loss of key staff or expertise		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Lack of key skills in areas will result in a drop in support and service. Impact on reputation as there will be a loss of confidence in BIS staff, frontline services may be affected which may therefore affect members of the public. Unknown if this has occurred before.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Possible skills gap not analysed and managed as the implementation of shared services begins. No cross training or knowledge sharing implemented which reduces the resilience within the team.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		WBC – Currently looking at the cross training for Applications Analysts to improve resilience within the teams. Work and information documented where possible. Ensure that effective handovers are completed.		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Some staff have the ability to support more than 1 application currently.	Impact III	Likelihood A
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Gaps in knowledge have been identified. Work to cross train key staff, providing both internal and external training.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		External training course costs, internal staff time.	£ Enter cost here	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		Resilience will improve over time through appropriate training and knowledge sharing. Budgets may be an issue	Impact II	Likelihood B
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		Assessment of impact each time a member of staff leaves or is on annual leave – lessons learned? Ongoing risk	Impact See Impact Table	Likelihood See Likelihood Table

Version Control

Version No.	Date	Reason for Update / Significant Changes	Made By
0.1	08/09/03	Draft for discussion of contents	DAG
0.2	12/10/08	Completed with general and TRDC information for initial workshop on 13/10/08	TC
0.3	22/10/08	Updated following Board discussion and meeting between TC and LH	TC / LH
0.4	23/10/08	Inclusion of new section 2.4 from LH	LH
0.5	27/10/08	Updated following meeting between LH and TC – for circulation to ICT staff	TC / LH
0.6	4/11/08	Updates to Risk Register as a group WBC and TRDC	TC / LH / EH / BA
0.7	4/11/08	Consolidation of individual work on risk register	TC / LH / EH / BA
0.8	4/11/08	Further risk info added by team ready for consolidation	TC / LH / EH / BA
0.9	5/11/08	Completed risk table included ready for discussion at Board (6/11/2008)	TC / LH / EH / BA
0.10	11/11/08	Updates following Board discussion on 6/11/08	TC
0.11	03/12/08	LH updates to WBC elements and updates to KPI targets following Board discussion	LH / TC
1.1	05/12/08	Draft Version – Joint Committee – 17 December 2008	DAG