



DRAFT

ICT SERVICE PLAN

2011 - 2014

Version 0.1 – Shared Services Joint Committee – 7 March 2011

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SECTION 1: KEY PURPOSE OF THE SERVICE**1.1 Scope of the Service**

2010/11 has been the first year that the ICT service has been fully shared across both Councils. This was achieved by merging 2 departments into a single Shared ICT Service and bringing the ICT service fully in-house with TUPE transfer of staff from the ITFM provider at TRDC into the Council.

All staff working for the ICT Shared Service are now based at Three Rivers House, although an on-site presence remains at Watford to deal with local support for second and third line fault resolution.

The ICT Team has faced many challenges over the last year, primarily relating to infrastructure issues at both councils. As a result of this, an independent review was commissioned in order to provide the Councils with an overall view of the risks and areas of concern relating to the current ICT infrastructure. The recommendations from this review will form an action plan for improvement and assist the service to plan improvements for the coming year as well as input into the overall Shared Service ICT strategy.

The team has achieved a number of successes over the year, these include:

- Supporting the implementation of new ICT systems for the Shared HR, Revenues & Benefits and Finance Services
- Performing a joint procurement exercise for a new e-Petitions system for both councils and successfully implementing at both councils by the December 2010 deadline.
- Implementation of an Electronic Licence Management System for both councils.
- Implementation of new Fuel Management system for Watford.
- Exchange and Active Directory migration at Watford.
- Implementation of Resource link HR system for both Councils.

1.2 Contribution to Shared Services Objectives	
Savings	<p>The end of the Steria contract brought £395806 of savings. This was slightly higher than the savings identified in the business case due to the uplift applied to the Steria contract for 09\10.</p> <p>In addition to this, several streams of savings for future years have been identified as a result of the service prioritisation and budget reduction work done in conjunction with both councils, this is detailed in section 2.6 below.</p>
Resilience	<p>The restructure of the department led to the introduction of a new Service Desk team comprising of a Manager and 3 support staff will enable resilience of the frontline service delivery. This will be backed up by an Infrastructure team comprising of a Manager and 4 technical staff and a Business team of web developers, application specialists and project manager\business analysts led by a strategically focussed manager.</p> <p>Work will be progressed towards a roadmap of development and improvements to infrastructure systems such as thin client and spam filtering and will be published on the intranet in advance. We are also progressing towards a roadmap of development and harmonisation of the application systems that both councils currently utilise with a view to achieving savings and improving resilience of these systems.</p> <p>Work will continue on cross training the Application Analysts to ensure that the councils application systems are supported by a robust and resilient team who are multi skilled across the full complement of systems we support. This approach will also be taken with the Web Developers.</p>
Improved Services	<p>Improved accessibility to the ICT Service via a single point of contact, the Service Desk. This will be led by a dedicated Service Desk Manager who will oversee the support calls raised by the customer from logging through to resolution.</p> <p>Increased rate of fixes at first point of contact with the introduction of permanent, skilled staff within this function who will provide first and second line technical support, with the ability to connect to the customer's desktop remotely.</p> <p>Improved logging, tracking and communication of customer requests, incidents and problems. Improved and more meaningful management information for decision-making relating to ICT provision will be enabled by the planned development of our call management software.</p> <p>There will be a programme of upgrades and improvement to the IT infrastructure at both councils which will be informed by the harmonisation plan for systems and applications, the recommendations from the independent ICT review and</p>

	<p>ongoing project requirements. This will be primarily delivered by the infrastructure team who now have a clear focus on technical, second and third line support issues.</p> <p>Annual benchmarking will be conducted to compare the ICT Shared Service with other councils. In addition to this, in-house staff surveys will be conducted to assess service delivery and customer satisfaction.</p>
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1.3 Contribution to the Councils' Strategic Objectives	
Three Rivers District Council	
Safer Communities	We will support/enable the Council and its services to meet these objectives
Sustainable Communities	
Towards Excellence	
Watford Borough Council	
Improve the health of the town and enhance its heritage	We will support/enable the Council and its services to meet these objectives
Enhance the town's 'clean & green' environment	
Enhance the town's sustainability	
Enhance the town's economic prosperity and potential	
Supporting individuals and the community	
Securing and efficient, effective, value for money council	
Influence and partnership delivery	

1.4 The Future of the Service

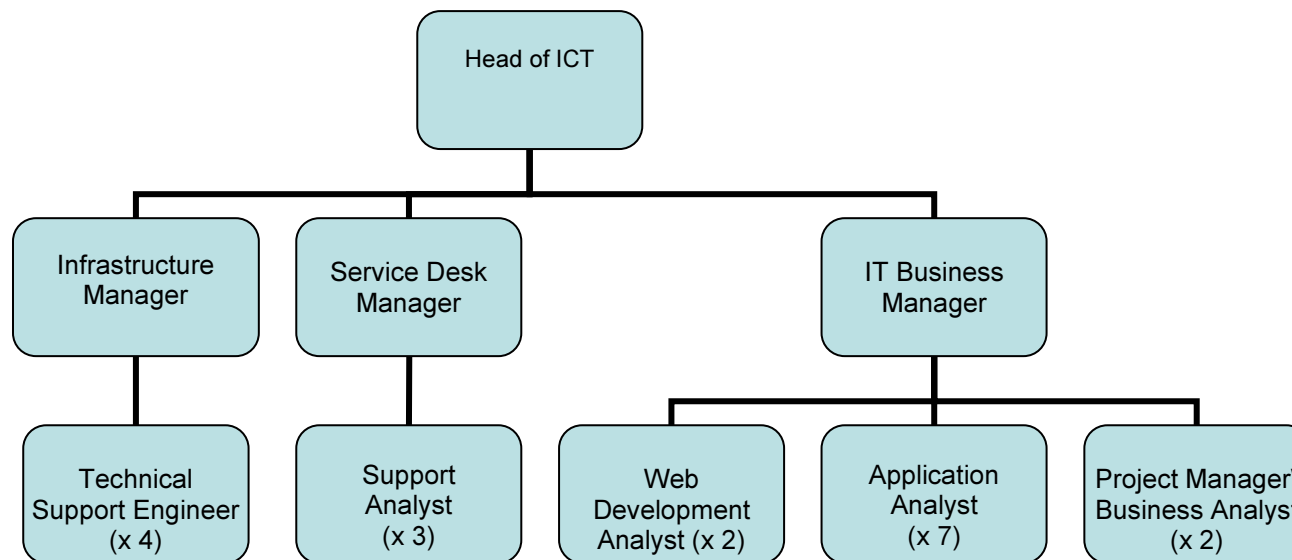
There are a number of potential opportunities facing the shared ICT service over the coming years. These will be considered as part of the overall strategy for ICT Services for both councils:

- Consider the business case and where necessary implement new technologies such as, further server virtualisation and IP based telephony, electronic faxes, mobile working – smarter use of handheld devices
- Market and subsequently expand the ICT shared service to other Authorities through further joint services, as a provider or host of systems or as a potential disaster recovery partner.
- Look at other areas within both councils that ICT could add value and/or introduce efficiency, for example home working, cloud computing and private sector partnership.

SECTION 2: INPUTS

2.1 People

Shared Services Organisation Chart



Job Title	Grade	FTEs
Head of ICT	CO3	1
Infrastructure Manager	9	1
Technical Support Engineer	7	4
Service Desk Manager	8	1
Support Analyst	6	3
ICT Business Manager	10	1
Application Analyst	7	7
Web Development Analyst	7	2
Project Manager\Business Analyst	8	2

2.2 Workforce Planning			
<p>Overview</p> <p>The ICT Shared Service will providing service in order to allow the councils to perform their core business in an efficient, effective and resilient way. The current establishment was designed to meet the day to day demands of departments and will continue to strive to maintain and improve upon existing service levels.</p> <p>It is recognised however that service departments are under increasing pressure to streamline their processes and make efficiencies; this will have a significant demand on the ICT team, particularly when the work is unplanned and scheduled at short notice.</p> <p>In order to alleviate this problem, there is a requirement for both councils to look at the projects that have come out of their departments service planning processes and assign a priority and order to these requirements. This is critical for the ICT team to be able to fully understand the requirements of the services and to be able to plan the required resources. Despite having added resilience form the larger team, resources are still likely to be stretched. This will be more of a concern when the ICT budget reductions are realised.</p>			
Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service

<p>Projects within the councils are likely to draw upon the staff resources within ICT. The requirements could be based upon technical application\infrastructure input, project management or business analysis expertise.</p>	<p>External assistance could potentially be required if resourcing if several projects are required at the same time.</p>	<p>1) Careful planning of the projects is required to ensure that necessary resources from ICT are available to assist.</p> <p>2) 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 be not be retained following the completion of the project and the Councils could therefore be in a more vulnerable position.</p>	<p>It will 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>
<p>Interface development is being conducted in house by the Finance Service. Once they are complete, they will be handed over to ICT to support along with documentation and a structured handover.</p>	<p>There is currently no resource identified within the ICT structure to conduct in-house development of software. This was in order to move away from bespoke systems and therefore increase the resilience of the teams.</p>	<p>1) Do nothing – keep documentation and acquire external resources on an ad-hoc basis to cater for any future requirements.</p> <p>2) Restructure or add a growth to the establishment to include this resource, however there would still be a resilience issue due to there only being 1 resource to do this work.</p> <p>3) An alternative could be to bundle these up and approach an external supplier to provide maintenance and updates of all in-house interfaces on a yearly basis.</p>	<p>1) There would be no cost implications but a major risk to the councils resilience for these key system interfaces,</p> <p>2) This would result in a revenue growth, however resilience would be maintained and risk would be minimised.</p> <p>3) There would be a growth to the budget but resilience would be increased.</p>

<p>Training of Infrastructure staff will be critical in successfully bringing the ICT service in-house.</p>	<p>This will require planned training of all Infrastructure staff and appropriate management of the application of skills acquired.</p>	<p>Structured handover from the supplier with documented change control information and system setup information.</p> <p>Staggered training courses so that each member of staff can come back to the office and apply the skills they have acquired immediately in order to fully embed the learning.</p>	<p>This will provide resilience and reduce the need reliance on external suppliers. The cost of training would be balanced by the saving of the contract and subsequent savings would be made as year on year contract renewal would not be performed.</p>
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2.3 Partnerships & Contracts	
Partner / Partnership	Expected Outcomes
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
- Application and software licences
- ICT related Data

The service is responsible for managing the corporate ICT infrastructure comprising of application servers and networking hardware.

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 (network management)
- Acronis & Ghost (Imaging software)

Corporate Services

- Telephony: Avaya Definity telephone switches
- Network & Servers
 - T-Scale
 - MS Terminal Servers
 - Solarwinds
 - PC Duo & VNC (Remote Control)
 - Veritas Backup Exec & ArcServ (Backup Software)

- Treesize Professional (File Monitoring) (WBC)
- Security
 - Appgate & Netilla (VPN)
 - Websense and Webtrends (website management software)
 - Trend Neatsuite, NOD32 and Kaspersky (virus control)
 - Surf Control and mail marshal (e-mail content filter)
- Website
 - Aplaws (WBC)
 - E-shopworks SiteBuilder (TRDC)
- Microsoft products e.g. Office Professional
- DM Information@work - Revs & Bens (WBC & TRDC)
- DM Information@work - Building Control (TRDC)
- DM IDOX for Planning (WBC & TRDC)

Applications / Projects

- Uniform - Planning, DC, BC, LLPG, Land Charges (TRDC & WBC)
- Uniform - EH, ES, Trees, Street Cleansing – (WBC)
- Northgate M3 – EH – (TRDC)
- Northgate Systemware - ES, Street Cleansing, Complaints, Proactive
- Confirm – Trees (TRDC)
- ESRI Geographical Information System [GIS] (TRDC & WBC)
- Finance System – COA
- Finance Systems[ICON Cash Receipting & ACR Cash Receipting and REMIT Income Distribution] [ALBACS IP Payments System & IPConnect] – All to be replaced by Capita Income Management Implementation Project going Live in Autumn 2011
- Lagan – CRM & Complaints (WBC)
- Pro Active – CRM (TRDC)
- Halarose - Electoral Services (WBC)
- XPress - Electoral Services (TRDC) and EROS (WBC)
- Capita - Revenues & Benefits (TRDC & WBC)
- Capita Academy - Housing (TRDC)
- SOLCASE - Legal (TRDC)
- OMS – Legal (WBC)
- Northgate Resourcelink - Human Resources (TRDC & WBC)

2.5 Current Budgets

The latest 'full establishment' budget for 2010/11 includes £180,000 for agency staff who have been covering vacancies and £14,000 for possible redundancy costs. New staffing arrangements are assumed to take effect from 1 April 2011. Where exact spinal column points have yet to be determined, the mid-point of the range has been assumed w.e.f. 1 April 2011.

Transport costs reduced to £5,000 per annum in accordance with the outcome of the cost reduction exercise. (Reduction in car user mileage of £2,000).

Supplies and services budget increased in 2010/11 by payment to Actica Ltd for their infrastructure report (£41,025).

£31,000 has been added for 2011/12 onwards for on-going licence fees and maintenance in respect of Government Connect submissions to GCSx, these are revenue implications of proposed capital expenditure.

The original estimates included pay awards of 2% for 2010/11 and 2011/12. The latest budgets assume no pay award in either year but increases of 2% and 3% in 2012/13 and 2013/14 respectively.

There are variances to the original estimates for the next three years resulting in a £13,608 reduction in recharge to the councils for 11/12; £69,794 reduction in recharge to the councils for 12/13 and £150,200 reduction in recharge to the councils for 13/14.

Current figures are as follows:

Operating Costs	2009/10 Actual £	2010/11 Original £	2010/11 Forecast £	2011/12 Forecast £	2012/13 Forecast £	2013/14 Forecast £
Employees	954,613	1,069,447	1,016,814	1,020,940	1,012,590	1,016,880
Premises	1,418	0	0	0	0	0
Transport	1,003	7,000	5,000	5,000	5,000	5,000
Supplies & Services Contracted & Agency Services	367,170	419,900	460,925	432,900	392,110	392,110
Recharges	471,755	0	0	0	0	0
Income	0	0	0	0	0	0
Sub-Total	1,795,959	1,496,347	1,482,739	1,458,840	1,409,700	1,413,990
Recharge to Councils Three Rivers District Council	-718,384	-598,539	-593,096	-583,536	-563,880	-565,596
Watford Borough Council	-1,077,575	-897,808	-889,643	-875,304	-845,820	-848,394
Sub-Total	-1,795,959	-1,496,347	-1,482,739	-1,458,840	-1,409,700	-1,413,990
Total	0	0	0	0	0	0

APPENDIX 3

Code	Implementation Costs	2010/11 Original £	2010/11 Revised £	2011/12 Original £	2012/13 Forecast £	2013/14 Forecast £
	Revenue Implementation Costs					
	Programme Management	15,000	60,000	0	0	0
	Change Management	0	0	0	0	0
	Transitional Employee Costs	0	0	0	0	0
	Redundancy	0	0	0	0	0
	Pension Strain	0	0	0	0	0
	Total	15,000	60,000	0	0	0
	Capital Implementation Costs					
	Systems Implementation	0	0	0	0	0
	Total	0	0	0	0	0

2.6	Revenue Growth, Service Reductions and Cashable Efficiency Gains
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	Description	2010/11 £	2011/12 £	2012/13 £
1	Potential Growth			
	Licence fees and maintenance in respect of Government Connect requirements	31,000	31,000	31,000
	Total	31,000	31,000	31,000
2	Service Reductions			
	Furniture & Equipment Maintenance	-13,000	-13,000	-13,000
	Maintenance of Telephone Equipment	-4,000	-4,000	-4,000
	Subsistence	-1,000	-1,000	-1,000
	Total	-18,000	-18,000	-18,000
3	Cashable Efficiency Gains			
	Disaster Recovery Contract	0	-14,310	-14,310
	Thin Client Maintenance Contract	0	-26,480	-26,480
	Total	0	-40,790	-40,790

2.7 Capital Investment

Scheme Name	New Scheme	Capital				Revenue Implications				Savings	Resilience	Improvement
		2011/12	2012/13	2013/14	Future Years	2011/12	2012/13	2013/14	Future Years			
		£	£	£	£	£	£	£	£			
Infrastructure Review – Server Upgrades	✓	200,000	0	0	0	Tbc	Tbc	Tbc	Tbc		✓	✓
Hardware and Software to conform to the requirements of the GCSX auditors for the latest code of connection to the Government Connect Secure Extranet (GCSX)	✓	80,000	0	0	0	31,000	31,000	31,000	31,000			✓

SECTION 3: OUTPUTS AND OUTCOMES

3.1 Customer insight and consultation
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Who / types	Approximate numbers	Location	Consultation
All office based and remote workers	830	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 include those from Charter Place, Depots and Radius House
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

3.1.1 Customer access channels

Service Area	Information Access	Service Access
Service Desk	Face to face or telephone, email and internet	Face to face or telephone, email and internet
Infrastructure Support		
Applications/ Systems admin		
Web Development		
Project Management/ Business analysis		

3.1.2 Customer identification and segmentation data

Service provided	Customer group	Segmentation data held
Helpdesk services	All Services, all staff, Members, suppliers, public	Name, Department, E-mail address, Access channel, Business address (if applicable), Technical information, Staff - place of work (TR/Watford), Home Address\ Telephone number (remote worker)
Infrastructure support		
Applications/systems admin		
Web development		
Project Management/ Business analysis		

3.1.3 Communication and consultation methods

Service provided	Inform	Consult	Engage
Helpdesk services	All-staff e-mails, intranet, 'phone, 1:1s, All Aboard, Wat's Up	Rolling feedback survey (at call close, with quarterly reports) Annual satisfaction survey	Managers and business team 1:1s, user group meetings, Ad-hoc 1:1s
Infrastructure support			
Applications/systems admin			
Web development			
Project Management/			

Business analysis			
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3.1.4 Customer satisfaction measures

Service provided	Measure	Collection method	Timescale for consultation - start date and regularity	Baseline result	Target
Helpdesk services	% satisfied with overall service % of SLAs met % of successful projects within parameters	Rolling feedback survey (at call close, with quarterly reports)	Rolling feedback survey – at every call close. Reports quarterly.		
Infrastructure support		Annual satisfaction survey	Annual satisfaction survey		
Applications/ systems admin					
Web development	Carried out by Communications – Performance and Scrutiny	N/A	N/A		
Project Management \ Business analysis	% satisfied with overall service % of SLAs met % of successful projects within parameters	Rolling feedback survey (at call close, with quarterly reports) Annual satisfaction survey	Rolling feedback survey – at every call close. Reports quarterly. Annual satisfaction survey		

3.1.5 Learning from customer consultation

Questions	Answers
What key findings has customer consultation work identified in the last year for each service area? Have the needs of a specific customer group been identified?	The ICT department has been restructured following feedback of low satisfaction with the old organisation. This was primarily the group of customers who were used to a high quality fix at first point of contact service the we are now striving to regain.
What has been done as a result of customer consultation?	Restructure of the ICT organisation
How have you feed back to customers that have been consulted?	Messages to staff via both intranet sites, staff magazine articles and feedback to both Management teams and Joint Committee.
How effective were the consultation methods used? What changes are proposed?	<p>The new structure went live on 1 February 2011.</p> <p>Customer surveys sent when each call is resolved are not proving to be very effective despite active promotion. These are still being tracked but not reported due to low response rate.</p> <p>Annual survey will be conducted in March 2011 for the Shared ICT Service for the coming year.</p>

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 formal Service Level Agreements (SLAs) have been agreed between the ICT service and its customers at both councils as well as the Joint Committee.

As part of the Service Level Agreements, performance standards have been identified as well as performance indicators that will be used internally by the shared service; these have been included in this service plan.

SLAs between shared service and other organisations

There are service level agreements between the ICT service and its third party suppliers. These will be monitored at relevant service review meetings and updated as necessary.

Looking forwards

Following the benchmarking exercise, we will review initial SLAs with a view to agree and adjust them in order to ensure that they are fit for purpose, realistic and meaningful to both the Service as well as its customers.

3.3	Performance Indicators
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Reference KPI 1	Resolution of reported incidents															
Indicator Definition	To ensure the service delivers its promises of responding to pre agreed timescales to incidents that are presented															
Target																
	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%
Outcome	2010/11				2011/12				2012/13				2013/14			
	n/a	n/a	n/a	n/a												
Comments on Performance: *Incidents and Service Requests are currently grouped together in a single call queue but have different SLAs. Specific reporting of Incident resolution will be available following the Phase 2 implementation of the call management software planned in Q4.																

Reference KPI 2	Annual Customer Satisfaction															
Indicator Definition	What is the perception of the service from the end users view point?															
Target	2010/11				2011/12				2012/13				2013/14			
	TBC								99.5%				99.5%			
Outcome	2010/11				2011/12				2012/13				2013/14			
	TBC															
Comments on Performance: An Annual Satisfaction Survey will be conducted to give an insight into the performance of the Shared Services ICT team. This is due to be commissioned at the end of the Financial Year 2010/2011																

Reference KPI 3	Acquisition cost of workstation			
Indicator Definition	Measures the cost of purchasing the asset and if the ICT team are utilising purchasing processes effectively			
Target	2010/11	2011/12	2012/13	2013/14
	450	425	425	425
Outcome	2010/11	2011/12	2012/13	2013/14
TRDC	600			
Watford	450			
<p>Comments on Performance: Projected End of FY10/11 figure. For TRDC, following the implementation of Thin Client, it is projected that the cost per workstation will decrease from 600 to 425 over the 2011-2013 period.</p>				

Reference KPI 4	Service Availability															
Indicator Definition	To measure the availability of the ICT service to users during core working hours															
Target	2010/11				2011/12				2012/13				2012/13			
	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50
Outcome	2010/11				2011/12				2012/13				2012/13			
TRDC	99.93	99.97	99.98													
Watford	99.16	99.73	99.59													
<p>Comments on Performance: Performance was affected by Thin Client and Network issues experienced at Watford. These have been assessed in an independent review of the current infrastructure, the key recommendations of which will be implemented to address this.</p>																

Reference KPI 5	Successful recovery of key services as stated in Emergency Plan			
Indicator Definition	Did the service provided by the ICT resource support the customers goals and objectives			
Target	2010/11	2011/12	2012/13	2012/13
TRDC	TBC			
Watford	TBC			
Outcome	2010/11	2011/12	2012/13	2012/13
TRDC	TBC			
Watford	TBC			
Comments on Performance: Disaster Recovery Project for both councils will deliver a plan and a DR Test in the FY2011/12 based on the new harmonised DR contract for both councils.				

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).

The first full year (2010/11) of the ICT Shared Service will be benchmarked in May 2011. Results will be published nationally by SOCITM in September 2011.

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	
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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

There are no outstanding recommendations of external inspections directly for ICT.

The Annual Audit Report to those Charged with Governance dated 15 September 2010 made the following recommendation that is the responsibility of ICT.

<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
<p>Employee Change of Circumstances We recommend that the security administration function is automatically notified by Human Resources when there are changes to the roles of employees or when they leave the Council. Moreover, we recommend that a formal user access administration policy and related procedures should be defined.</p>	H	Head of ICT (Shared)	In progress		

3.6 Projects

Corporate projects that have not yet been defined have not been included within the ICT service plan. The resource requirement for these will be estimated when the project requirements and definition are clear.

Watford

Priorities (in terms of delivery time) have been given to the service prioritisation projects that will generate savings, followed by corporate and service plan for both councils.

Three Rivers

Priorities have been based on the outcomes from departmental service plans.

3.6 Projects

Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
	WBC Service prioritisation	Environmental Services	Bin and Box deliveries - Introduce charging for delivery of additional / replacement green bins and recycling boxes. Annual income of £10,000 is forecast, however £7,500 is already in base 2010/11 budget although political decision taken not to charge at present	£2,500	On target	March 2011	PM; 3 days BA: 5 days Scoping yet to be completed
	WBC Service prioritisation	Environmental Services	Pest Control - Increase fees & charges – balance public health implications etc. (i.e. charge for mice treatments, etc.)	£20,000	On target	March 2011	PM; 3 days BA: 5 days Scoping yet to be completed
	ICT SS Current project	HR	CHRIS 5 Data Migration Creation of a system to house the data currently held within CHRIS 5 - WBC historical HR system		tbc	2010/11	n/a read only licence to be purchased
	Shared Current project	Revenues & Benefits	Income Management and Cash-Receipting To recommend and implement best processes and system solution for harmonised income management and cash receipting at Watford and Three Rivers		On target	September 2011	PM: 6 month full time from April BA: 20 days
	WBC Current project	Asset Management Implementation	Implementation of Atrium asset management. This system will house all Watford corporate assets and their related information.		Ongoing	2011/12	PM: 28 days

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Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
	ICT SS Current project	ICT - Infrastructure	Gov - Connect – Implement hardware and software changes to conform to the requirements of the new code of connection to the Government Connect Secure Extranet		Tbc	2010/11	To be scoped
	WBC Current project	ICT - Infrastructure	Councillors ICT – review and refresh of the ICT provision for councillors with a more accessible and user friendly setup.		Delayed	June 2011	Infra: 55 days
	ICT SS Current project	ICT - Infrastructure	Server move to Apsley – remaining WBC servers to move once SAN implementation is complete in order to avoid costs of hiring additional space from HCC		Delayed	June 2011	Infra: 10 days
	ICT SS Current project	ICT - Infrastructure	Touchpaper Phase 2 – ongoing development of the call management software.		Ongoing	2011/12	Apps: 10 days PM: 8 days BA: 8 days
	ICT SS Current project	ICT - Infrastructure	Infrastructure review		On track	March 2011	Dependent on outcomes and recommendations
	ICT SS Current project	ICT - Infrastructure	Implement new SAN		tbc	May 2011	Infra: 60 days
	TRDC Current project	ICT - Infrastructure	To complete thin client rollout for non-shared services at Three Rivers		tbc	2011/12	To be scoped
PROJECTS - TO BE COMPLETED BY QUARTER 1 FY11/12							
	Current project	Legal & Prop/ES	Wigenhall Depot Refurbishment - and replacement of buildings on site to deliver service requirements and address decay as identified in the Stock Condition Survey of 2007		Year 1 - Q1	? Q2	To be scoped
	Current project	ICT - Infrastructure	Depot rebuild - management of data and telecomms - see 112		Year 1 - Q1	On target	To be scoped

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Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
	Current project	Revs and Bens	Complete Academy implementation		Year 1 - Q1(Q2?)	On target	To be scoped
	Current project	Revs and Bens	Harmonise CSC Rev and Benefits processes across Three Rivers and Watford, using ABC software, which has already been procured, in order to deliver improvements in service and other benefits identified in SS business case.		Year 1 - Q1 (Q2?)	tbc	To be scoped
PROJECTS - TO BE COMPLETED BY QUARTER 2 FY11/12							
	Current project	Revs and Bens	Process improvement - review of processes identified through customer contact review		Year 1 - Q2	tbc	To be scoped
	Current project	Customer Services	Review Managed Print		Year 1 - Q2	On target	BA: 8 days Infra: 28 days
	New project identified	Communications	Improve website so it is more user-friendly and allows self-service		Year 1 - Q2	tbc	To be scoped
PROJECTS - TO BE COMPLETED BY QUARTER 3 FY11/12							
	Service prioritisation	Relocate staff to Depot	Relocate staff to Wiggenhall Depot – commercially let Town Hall Annexe	£75,000	Year 1 - Q3	? Q2 – movers required	To be scoped
	Service prioritisation	ICT - Infrastructure	Bring thin client maintenance contract in house	£26,480	Year 1 - Q3	On target	To be scoped
PROJECTS - TO BE COMPLETED BY QUARTER 4 FY11/12							
	Service prioritisation	Other Licensing	Reduce non-statutory licensing and night-time economy related functions. Specific proposals have yet to be identified	£40,000	Year 1 - Q4	On target	To be scoped
	New project identified	ICT - Infrastructure	Mobile working - handhelds, point & click - one point data entry		Year 1 - Q4	tbc	To be scoped

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Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
	Service prioritisation	Development Management	Review arrangements for scanning planning applications		Year 1 - Q4	On target	To be scoped
	New project identified	Document management	Review document management in Planning		Year 1 - Q4	tbc	To be scoped
	New project identified	Document management	Introduce improved document management processes and tools across the council		Year 1 - Q4	tbc	To be scoped
PROJECTS - TO BE COMPLETED YEAR 2 12/13							
	Current project	Shared Services	Implementation of Uniform residential premises/housing module		Year 2	On target	To be scoped
	New project identified	Planning	Range of process improvement ideas generated during customer contact review		Year 2	tbc	To be scoped
	Service prioritisation	Community	Introduce moving penalty charges. Currently in discussion with HCC	£25,000	Year 2	On target	To be scoped
	Current project	Shared Services	Policy Harmonisation		Year 2	On target	To be scoped
PROJECTS - TO BE COMPLETED YEAR 3 13/14 AND ONWARDS							
	New project identified	Shared Services	Uniform / other systems development		Year 3 on	On target	To be scoped
	New project identified	Cross cutting	Including for ES previously identified		Year 3 on	On target	To be scoped
THREE RIVERS REQUIREMENTS FROM DEPARTMENTAL SERVICE PLANNING							
		General	Development of the TRDC website				To be scoped
		General	Back-up systems identified in Continuity plans				To be scoped

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Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
		Corporate Projects (not confirmed):	Further shared services may require harmonisation of systems – scope to be decided				
		Corporate Projects (not confirmed):	Document Management System – scope to be decided				To be scoped
		Corporate Projects (not confirmed):	Automate / transfer to on-line elements of customer contact – scope to be decided				To be scoped
		Development Management	LDF policies, by encouraging the use of C-Plan by developers to assess and reduce the carbon footprint of developments				To be scoped
		Development Management	Full electronic storage of DC historic records				To be scoped
		Development Management	Website review				To be scoped
		Development Management	Introduction of DMS system Improvement of document scanning process				To be scoped
		Development Plans	Ongoing partnership arrangement to administer 'C Plan' carbon monitoring tool through planning process				To be scoped
		Development Plans	Service Cost Reduction Targets - Miscellaneous IT Costs				To be scoped
		Development Plans	Preparing the LDF - Via website				To be scoped

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Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
		Env Health	To produce a report following a routine inspection and send it to the business within 14 days - New search to be installed on system to monitor this standard.				To be scoped
		Env Health	Reduce IT equipment budget				To be scoped
		Env Prot	Corporate MOSAIC & ESD project				To be scoped
		Housing	modify the Locata system to incorporate the current spreadsheet recording of receipt of medical application and the Council/medical adviser's decision				To be scoped
		Housing	Increase in web access by customers				To be scoped
		Housing	On-going management of ICT CBL system				To be scoped
		Sustainability	Remote Data Gathering System (The electronic transmission of energy consumption data, at remote sites, to Three Rivers House)				To be scoped
		Sustainability	Enhancement to Public Meeting Rooms' Presentation Systems				To be scoped

3.7 Equalities

The Equalities Act 2010 includes a new public sector equality duty (both a general duty and specific duties), replacing the separate duties relating to race, disability and gender equality. The duty comes into force on 6 April 2011. The duty places a range of steps that are legally required by local authorities covering issues such as: assessing relevance, using and publishing equality information, engagement, equality analysis, equality objectives, commissioning and procurement and business planning and reporting.

It is good practice to integrate the general equality duty into service planning processes and work will be undertaken by both council's to produce a common equalities reporting template for all services in line with the new equality duties. This element of the service plan will be incorporated by April 2011.

3.8 Risk Management

RISK REGISTER

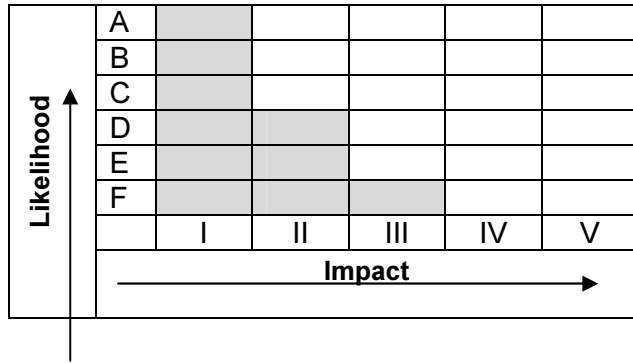
Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 1	Loss of Accommodation	Service Disruption	III	F	The loss of accommodation would result in all IT services being unavailable for a period of 36 hours. Following this time, the Disaster Recovery arrangements 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	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	III			Next Review Date	Jun 11
		People	III			Date Closed	N/A
ICT 2	Insufficient staff and skills	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	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	III			Next Review Date	Jun 11
		People	I			Date Closed	N/A

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Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 3	Contractor or system failure – main ICT systems suppliers	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	Jan 11
		Reputation	II			Next Milestone Date	Apr 11
		Legal Implications	II			Next Review Date	Jun 11
		People	II			Date Closed	N/A
ICT 4	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	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	II			Next Review Date	Jun 11
		People	II			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 5	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	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	III			Next Review Date	Jun 11
		People	II			Date Closed	N/A
ICT 6	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	Jan 11
		Reputation	II			Next Milestone Date	Apr 11
		Legal Implications	I			Next Review Date	Jun 11
		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 councils have processes in place to reduce this risk and a combined solution is being planned.	Requires Treatment	No
		Financial Loss	I			Last Review Date	Jan 11
		Reputation	I			Next Milestone Date	Apr 11
		Legal Implications	II			Next Review Date	Jun 11
		People	I			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 9	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	III			Last Review Date	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	I			Next Review Date	Jun 11
		People	IV			Date Closed	N/A
ICT 10	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	Jan 11
		Reputation	I			Next Milestone Date	Apr 11
		Legal Implications	I			Next Review Date	Jun 11
		People	I			Date Closed	N/A
ICT 11	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	Jan 11
		Reputation	I			Next Milestone Date	Apr 11
		Legal Implications	I			Next Review Date	Jun 11
		People	I			Date Closed	N/A



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%

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>		<p>Loss of access to building where ICT staff are located.</p> <p>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.</p> <p>Power failure has occurred at TRDC resulting in 1 day without access.</p> <p>Neither site has experienced long term disruption.</p>		
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 DR test centre (Uxbridge) in the event of a building not being available. This provision allows for 85 staff to relocate. WBC currently have no relocation site, however other sites are available such as Wiggshall Depot and Three Rivers House.		
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 TDC.	Impact III	Likelihood F
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 or unsuitable. There might also be cheaper options than the existing DR arrangements. Availability in other buildings such as Basing House, Watersmeet.		
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 in Apsley, which would also hold the WBC infrastructure. In time, TRDC may also be able to utilise this site. Cost for providing workstations at Apsley needs to be determined.	£ ??	
Current Status	<i>What is the current position on introducing</i>		TRDC staff could relocate to alternative	Impact	Likelihood

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	<i>additional controls? What is the current Risk Rating</i>	accommodation. Arrangements for WBC staff can be put in place when spare office space becomes available.	III	F
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 action will have worked if disruption is minimised in the event of accommodation being unavailable i.e. staff are with within a pre-agreed time – 24 hours.	Impact	Likelihood
			III	F

Risk Ref:	ICT 2	Risk Title:	Insufficient Staff and Skills		
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. It can go wrong whereby there is not enough capacity to deal with customer requests.</p> <p>This has happened in the past.</p> <p>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.</p>		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		<p>Long term staff absence or temporary staff absence.</p> <p>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.</p>		
Existing Control	<i>What controls exist now to minimise the risk?</i>		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>		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</i>		<i>By the means of cross training and building up</i>	Impact	Likelihood

	<i>worked? What will be the Risk Rating outcome with the new controls?</i>	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.	III	C
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Risk Ref:	ICT 4	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 5	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 IV	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>		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 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>		Risk can be tolerated.	Impact III	Likelihood E

Risk Ref:	ICT 9	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	Likelihood
				V	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</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	Likelihood
				IV	E

	<i>Risk Rating</i>			
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	Likelihood
			IV	F

Risk Ref:	ICT 10	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 III	Likelihood 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 III	Likelihood C
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating</i>		The action will have worked if a power failure in the future has a minimum impact and services will	Impact II	Likelihood C

	<i>outcome with the new controls?</i>	be able to continue as normal.		
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Risk Ref:	ICT 11	Risk Title:	Slow / Unreliable network communication between TRDC and WBC		
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>		Services to both authorities could be affected because of slow links. Disruption to the infrared connectivity. Yes the link has been disrupted due to bad weather conditions.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		External incidents such as road works etc cutting through lines. Disruption to wireless (line of sight) capability through bad weather conditions such as fog or building works etc.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		There is a backup solution in place if the line of sight for the wireless part of the network is disrupted, the network fails over to an alternative route.		
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>		Servers are required to move to Apsley data centre in order to ensure the entire network can take advantage of this resilience	Impact	Likelihood
				III	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>		None identified		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Capital budget already established for server move	£ 0	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		No additional controls have been identified	Impact	Likelihood
				III	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>		Once the servers have moved to the Apsley site, failover between connectivity should be seamless. This could be built in to the annual DR tests.	Impact	Likelihood
				III	F

Version Control

Version No.	Date	Reason for Update / Significant Changes	Made By
0.1	25/02/11	Draft for discussion of contents	APa