CABINET – 18thMarch 2010

Report of the Acting Director of Programmes and Resources

ITEM 15 Future provision of Information and Communication Technology Services

Purpose of Report

This report sets out options for the future provision of the Council's Information and Communication Technology (ICT) services and asks Cabinet to approve implementation of the recommended option.

Recommendations

1. That Cabinet approves the internal reorganisation of the Council's Information and Communication Services, Option D, as set out at Appendix A of this report.
2. That Cabinet delegates authority to the Interim Chief Executive to take any actions necessary to enable the implementation of the reorganisation of the Council's Information and Communication Services.
3. That Cabinet authorises officers to continue investigation alternative methods of provision of these services

Reasons

1. & 2. To allow the efficient implementation of restructure of the Council's Information and Communication Services.
3. To ensure that the Council is able to take advantage of opportunities for the future provision of ICT services that may become available to the Council in the medium term.

Background

Origin of this report

The Council has recently concluded a major procurement exercise which resulted in the outsourcing of the Council's Benefits and Revenues service. Up until May 2009 ICT services were within the scope of this procurement. However, a report was

taken to Cabinet at this time ('Provision of shared support and transactional services: completion of the Capita outsourcing contract', of 14 May 2009) in which the absence of a structured options appraisal was identified as a significant weakness in the procurement process and ICT (amongst other services) was removed from the scope of the procurement.

On 9 July 2009 a subsequent report was presented to Cabinet ('Options for the delivery of shared and transactional support services'). In summary this report stated that the following options would be evaluated in respect of ICT services:

- Do nothing – service to continue as currently configured.
- ICT services provision through a shared services arrangement with Leicestershire County Council
- ICT services provision through a shared services arrangement with other Leicestershire Districts

The report also stated that we would use pricing information derived from our previous procurement processes for benchmarking against costs or prices calculated for the above options.

In the course of option appraisal it became apparent that a reconfiguration of the Information and Communication Services team (ICS), the existing in-house providers of the Council's ICT services, should be considered. An opportunity also arose to undertake some 'soft' market testing with prospective outsourcing suppliers and this opportunity was taken.

Options considered

The review therefore considered the following Options:

OPTION A: Do nothing

This Option would simply leave the ICS teams as currently configured and no changes in the service would be implemented.

OPTION B: County

In this Option the Council would enter into a shared services arrangement with Leicestershire County Council (LCC) for the provision of ICT services

OPTION C: North West Leicestershire District Council

This Option examined the potential for sharing ICT services with North West Leicestershire District Council (NWLDC), one of our neighbouring District authorities.

OPTION D: Internal reorganisation

This Option considered how the ICS teams could be reconfigured to increase service quality and improve efficiency.

OPTION E: Outsourcing

In this Option the ICT services would be outsourced to an external provider.

Options appraisal criteria

An extensive 'as-is' assessment was carried out as the starting point of the options appraisal. This described the existing service in detail and identified a number of user issues which might be addressed through alternative methods of service provision.

The framework against which options were appraised can be summarised as follows:

- Savings and efficiency gains
- Resilience
- Improved quality and delivery
- Partnerships or Sharing of Services

The 'as-is' assessment is attached as Appendix B together with the draft service improvement plan (included within Appendix A).

The Cabinet report of 17 December 2009, titled Future provision of the Benefits and Revenues Service, contained a financial evaluation of the outsourcing option adopted. This assumed that the Council would reduce the costs of its ICT services by a minimum of £180,000 per annum as a result of the options appraisal described in this report. The options appraisal criteria for savings and efficiency gains therefore had a target savings level of this amount.

Options appraisal

OPTION A: Do nothing

- Description of current service

At full complement the ICS teams comprise 27 full time equivalent staff.

In broad terms the Council's ICT service currently costs some £1.6m per annum.

ICT Services at Charnwood are delivered by three main groups; ICS, Application Administrators and third party suppliers. The Business Case focussed mainly on the services provided by ICS, assessing the internal processes, customer engagement and performance. The review has provided an opportunity for a wide range of staff to make their views known on how well ICS meet their needs and how well ICS performs.

ICS operates as an internal shared service with little formal arrangements around what it delivers or how it delivers. The Service covers the whole of IT service delivery lifecycle and includes staff have a wide range of skills and experience. The majority of staff in ICS are highly regarded by their colleagues within the Authority. In each case, when asked for feedback, users wanted to make it clear that they thought that ICS staff were friendly and helpful, but that the problems were around the lack of strategic steer, process, skills shortages and resource restrictions.

ICS had been the subject of a proposed outsource over the past three years and it is clear that the initial lack of consultation around the process had an impact on ICS internally. Over the past three years, there was a recruitment freeze on permanent staff and investments in internal systems and in corporate systems were shelved. ICS currently have eight vacancies out of a full complement of 27 staff.

The current ICT strategy outlines a number of priorities for future change as well as providing a set of policies which should govern the use of ICT. There is, however, no underlying plan that explains how the Council will achieve the objectives set out in the strategy.

ICS has been instrumental in delivering on the modernisation programme that the Council has undergone in the past few years. This has included:

- Development of a nationally recognised website which continues to expand its functionality with feature rich content such as My Charnwood
- Implementation of a wireless network
- Provision of remote and home working capability
- Redesign of the Local Area Network to increase resilience and improve throughput
- Development of a corporate intranet as the single repository for the internal business information
- Improving accessibility to services through the development of online forms and online payments

At a more operational level, it would appear that there is little engagement between Heads of Service and ICS to understand what areas exist for service improvement and to review planned service changes. This results in ICS being mainly reactive to change and unable to clearly demonstrate innovation or effectiveness in delivering change. Whilst accepting that this is a two way process, there is a need for ICS to be involved with the Heads of Services to understand any delivery issues and provide advice and guidance on how IT can deliver service improvements.

There is a need to improve processes around managing change. Currently, the commissioning of new systems does not generally take into consideration the skills and resource required to implement and support the systems. In most cases, agreed roles and responsibilities around the support and maintenance of systems is not agreed with there an assumption being taken by the Service teams that ICS will fulfil all of these roles. This is compounded by the lack of handover to ICS leaving ICS to support systems having had little input into their selection, little or no involvement in their implementation and having received no training in what the systems does or how it was implemented.

The constraints on resource have been exacerbated by the lack of knowledge management and documentation to leave the support of many systems at risk due to there being single points of failure. Many of the council's systems are supported by one person and the support of the system is compromised when that person is, for instance, on leave.

As noted previously, the existing service is described in more detail in the 'as-is' assessment set out at [Appendix B].

- Option appraisal summary

The probable benefits of adopting this option together with the associated risks and implementation timescales are summarised below:

Probable benefits	Associated issues and risks	Implementation timescales
• **In house team maintained** • **Familiarity with the organisation remains** • **Continuity**	• **Risk that the service does not improve and there is not a fundamental change in service delivery or awareness of staff that it has to change** • **Risk that SMT do not outline a defined service for the Council** • **Risk that the organisation does not see a revised / improved service**	• **Effective immediately**

Financial appraisal		All figures £000
	Initial year of operation (2010/11)	*Subsequent years (2011/12 et seq)*
Savings	**Nil**	**Nil**
Implementation - redundancies	**-**	**-**
Implementation - operational	**-**	**-**
Implementation - procurement	**-**	**-**
Ongoing costs – client side	**-**	**-**
Net savings	**Nil**	**Nil**

- Option appraisal – conclusion for Option A

This option is to simply retain the existing team with the current structure, delivering the same quality of service and with no reduction in budget.

This option is not recommended as it fails to deliver any savings, continues with the same level of resilience and quality of service and doesn't offer any partnership or shared service working.

OPTION B: County

- Summary of appraisal undertaken

A number of meetings have taken place with ICT service representatives at Leicestershire County Council around how some kind of Shared Service might be developed.

Both Charnwood Borough Council and Leicestershire County Council deliver a range of public services within the Charnwood area. Each authority relies on modern, flexible ICT solutions to support the delivery of services to its citizens and there would seem to be some obvious opportunities for the Council to benefit from the economies of scale enjoyed by LCC, not least because some of those services are delivered in the same geographic area.

Leicestershire County Council ICT Services delivers the full range of technology solutions and has well-established relationships with a number of leading commercial ICT suppliers. The County Council employs around 140 staff in its IT Service and they are keen to explore opportunities to provide services to other organisations where clear synergies exist.

LCC tell us that it has one of the most advanced ICT resilience and disaster recovery facilities in the local authority sector. The County's implementation of the 'ITIL' approach to service management is understood to be well-advanced and delivering significant benefits to its users. The Council has an extensive county-wide voice and

data network delivered by a managed service partner. LCC ICT Services has been recognised as an Investor in People for several years.

There are, perhaps inevitably, some significant differences in technology architecture, applications and service delivery between the two authorities and while there are also some significant similarities, which would allow further exploration for the potential to work more closely together, the case for the County to take over all of the Charnwood ICT services, including a significant range of applications where the County has little or no existing capability, is not compelling. In particular, it should be noted that the County did not provide prices for certain aspects of our current ICT service indicating that they were not comfortable in providing us with a full service. Any shared service arrangement with the County would therefore require us to retain an in-house ICS team to provide some ICT services.

If we were to enter into a shared service arrangement with the County TUPE (Transfer of Undertakings Protection of Employees) legislation would apply. In principle the County Council would therefore have to take the existing staff into their organisation.

Due to the size and complexity of this Service, any recommendation to undertake this Option would almost certainly require a full OJEU procurement exercise to be undertaken. This would place the County proposal in direct competition with other private-sector providers of ICT services.

The likely timeframe for the implementation of this Option would be 10 -12 months from issue of the OJEU notice through to contract signing.

Implementation of this Option would involve some operational set-up costs and deliver savings after year 1. Procurement costs would also be incurred and some redundancy costs are assumed.

Once in place this Option would provide extra resilience and would also be likely to improve the quality and delivery of the Charnwood service. This Option also demonstrates good partnership working with another local authority.

- Option appraisal summary

The probable benefits of adopting this option together with the associated risks and implementation timescales are summarised below:

Probable benefits	Associated issues and risks	Implementation timescales
• Resilience – flexibility, access to skills • Improved Service • Joint working with Leicestershire Authority • Staff available at regular intervals on site • Better access to best practice • Risk Transfer	• Hybrid solution only; County lack capability for all Charnwood applications • Inexperience of LCC to deliver this level of service • Risk that there are considerable IT costs to provide set up and support for LCC access • Procurement costs and issues might be significant; it is likely that a full OJEU procurement process would be required	• 10-12 months from Date of OJEU notice

Financial appraisal		All figures £000
	Initial year of operation (2010/11)	*Subsequent years (2011/12 et seq)*
Savings	60	120
Implementation - redundancies	(150)	
Implementation – operational	(125)	
Implementation – procurement	(100)	
Ongoing costs – client-side	(5)	(10)
Net (cost) / savings	(320)	110

- Option appraisal – conclusion for Option B

While it appears there are good opportunities for working with County in specific areas of ICT provision the case for an overarching County solution is not strong from an operational perspective.

Some pricing information has been received from the County but this, together with estimates of implementation costs, should be regarded as highly indicative only. In any event, the level of savings to the Council suggested at these prices is not persuasive.

The approach recommended is therefore to maintain our dialogue with the County and take advantage of specific opportunities to work with the County as and when they present themselves.

OPTION C: North West Leicestershire District Council

- Summary of appraisal undertaken

Work on this appraisal was centred around assessing the feasibility of providing a Shared Service with North West Leicestershire District Council. Discussions about developing a model to provide this a joint solution have taken place over a number of months.

In order to enable and facilitate further development of a partnership with NWLDC the findings of the internal Business case have considered an appropriate service

environment to enable effective partnership arrangements to progress. The Programme Team were commissioned by NWLDC to carry out a similar exercise on their own IT Service which commenced in January 2010. Meetings with NWLDC have taken place in order to understand each others technical infrastructure and system deployment to identify opportunities for future on-going joined up service provision. Computer network, hardware and software information has been exchanged and reciprocal site visits carried out. These discussions have identified a number of development opportunities should Cabinet decide that this partnership be pursued. This exercise is not yet complete but a key aspect of the NWLDC ICT service is that it has a much narrower scope than that of Charnwood; this provides a natural limit on shared services savings available.

Opportunities identified to date would include shared resource skills where appropriate rather than sourcing expensive contractors or consultants in areas such as Development, Business Analysis and possibly IT Security, web hosting work that is on-going, and further investigation into other short term benefits that me be gained through possible sharing such as licensing and resilience issues (off-site storage).

In addition more detailed and challenging requirements would need to be addressed around support of other agreed shared service streams and corporate priorities. Areas such as a joined up computer network to enable seamless work from dual locations, shared IT Procurement practices and shared internal systems relating to Helpdesk, Intranet, Geographic Information Systems, desktop systems such as e-mail and calendars and also common applications for essential business functions such as online payments and printing.

In the longer Term this kind of IT partnership model could enable the possibility of single applications between Charnwood and NWLDC. This is work relating to decisions that may be made in the future in support of joined up front line service delivery.

This option would deliver some savings but has associated redundancy costs. It would improve resilience and in time should deliver better quality of service and achieves a Shared Service with another local authority.

At the current point NWLDC are not comfortable in pursuing a shared services solution with us due to the issues outlined above, particularly their lack of clarity of existing NWLDC operations. The timeframe for this proposal to commence would require a firm commitment from both parties in terms of how the Shared Service might develop, and how potential redundancy situations / savings issues might be resolved. This is therefore a medium or longer term opportunity.

- Option appraisal summary

The probable benefits of adopting this option together with the associated risks and implementation timescales are summarised below:

Probable benefits	Associated issues risks	Implementation timescales
• Improved resilience • Cost Savings • Joint working with Leicestershire Authority • Opens opportunities to share other services • Staff available on site	• NWLDC not comfortable in pursuing this option at this point in time • Risk that the service doesn't improve • Risk that Relationships break down with NWLDC • Risk that one side may lose out in terms of service. • Risk that NWLDC service level is unknown	• Unknown at this stage

Due to the lack of clarity in existing NWLDC operations it has not been possible to create detailed costs or prices for this Option.

- Option appraisal – conclusion for Option C

Rather like the case of the County, it appears there may be good opportunities for looking to work with NWLDC in future.

There is no detailed costing information available but we could assume in the longer term that savings could be created in addition to those available from an in-house restructure (see Option D).

The approach recommended is therefore to maintain our dialogue with NWLDC and take advantage of opportunities to work with them as and when they present themselves.

OPTION D: Internal reorganisation

- Summary of appraisal undertaken

This option addresses the possibility of retaining the Service in house and undertaking a fundamental re-structure to deliver savings. The proposed service design is a takes account of findings set out within the 'as-is' assessment (Appendix B).

The proposed service design also envisages developing an ICT role working with other internal sections in the following key areas;

- Disaster Recovery and Business continuity - liaising with Emergency Planning

- Information Management and Information Security - liaising with Governance and Procurement
- IT training - liaising with Organisational Development
- Web development - liaising with Partnership and Customer Services.

As the authority is increasingly looking towards shared services corporately, the role of ICT delivery becomes increasing important and critical as the ICT services becomes responsible for procuring, managing, implementing and integrating software, middleware, hardware and electronic communication aspects of frontline and back office service delivery in a shared services setup. The new structure would be implemented using some of the existing 21 posts within ICS. It is anticipated that the revised structure would take 3-6 months to implement and will require the development of some new Job descriptions and Person Specifications which will be subject to Job evaluation.

The benefits of retaining the Service 'in-house' are:

- The strategic value of ICT is retained in-house which ensures the authority has flexibility in the use of its information, ICT investments and in using ICT to transform Council services
- Under the in-house retained option, the Council has controlled influence over ICT working practices, priorities and use of ICT resources for front line and back office Council services; responsibility and influence of key areas such as Security, knowledge of key service based applications is retained in-house
- ICT skills and expertise are retained in-house; it was recognised independently by the review that ICT staff have a wide range of skills and experience

The outsourcing of the Benefits and Revenues Service has had an impact on the level of Service required for that area of work. It is expected by autumn 2010 the majority of Benefits and Revenues related IT will have transferred off-site.

The service becomes more customer focussed and also improves its service delivery processes using 'ITIL' principles. The service in turn is better defined, in a customer language.

This option delivers savings but again has associated redundancy costs. The restructure is designed to improve resilience and service quality.

It also continues to allow the possibility of Sharing the Service with another local authority in the future.

- Option appraisal summary

The probable benefits of adopting this option together with the associated risks and implementation timescales are summarised below:

Probable benefits	Associated issues and risks	Implementation timescales
• Ultimately, likely to require fewer redundancies than other options • Cost savings • In house team located on site • Familiarity with the organisation remains • Continuity • Improved levels of service achievable • Aligned to what the customer wants	• Risk that there is not a guaranteed improvement in service; same or less people • Risk that as there is less resilience work suffers during periods of sickness and holiday • Risk that there is a long time to implement and see changes / improvements • Risk that the service does not improve and there is not a fundamental change in service delivery or awareness of staff that it has to change • Risk that SMT do not outline a defined service for CBC and the rest of the organisation	• Transition and team re-structure period – 3-6months • Set up period – 1 month • Period of change – 6-18 months

Financial appraisal		All figures £000
	Initial year of operation (2010/11)	*Subsequent years (2011/12 et seq)*
Savings	191	206
Implementation – redundancies	(169)	
Implementation – operational	-	
Implementation – procurement	-	
Ongoing costs – client-side	-	
Net savings	22	206

Note: estimated redundancy costs indicate that £169,000 would be the maximum amount payable.

- Option appraisal – conclusion for Option D

The savings are presented above assume that most actions required to achieve projected savings can be put in place by 1 April 2010 (as most proposed deleted posts are currently vacant). Remaining actions required to deliver the full ongoing savings should be in place by autumn 2010 following the full transfer of Benefits and Revenues ICT support offsite to Capita.

Option D offers appropriate levels of savings and can be implemented in the short term. The main risk with this Option is the reliance on existing staff to transform the service and improve service quality. However, adopting this Option does not

preclude us from pursuing alternative public to public or outsourced service provision options in future.

Overall, Option D is attractive on grounds of cost saving, implementation cost and future flexibility.

OPTION E: Outsourcing

- Summary of appraisal undertaken

In conducting this appraisal we have undertaken two separate exercises:

i. Undertaken a 'soft' market test with an external contractor.

ii. Extracted Capita pricing from their wider offer to the Council for a range of back office services (issued to us in March 2009).

Officers have spoken with one potential supplier to seek an opinion around what a proposal from a specialist supplier might consist of.

The supplier has supplied a high level view around staffing levels, service levels and indicative costs. For a local authority of our size the suggested savings were in the range of 10% and 20%; this would equate to an annual ICT service cost in the order of £150,000 - £300,000 per annum.

Implementing an outsourcing Option would require a full OJEU procurement exercise with a likely timeframe of 10-12 months from issue of the OJEU notice through to contract signing. TUPE would almost certainly apply in this case.

This Option would allow the Council to select a supplier with a proven track record and offer opportunities to improve access to additional ICT skills and achieve best practice and service resilience. Outsourced service provision might also be more flexible and scalable.

Capita offered a 10-year price for ICT services of £8.0m, an average of £800,000 per annum. Annual costs would have reduced through the life of the contract based on an aggressive reduction in staff and costs in initial years were higher; broadly, annual costs in the first three years of the contract would have been in the order of £1.1m. In considering these figures it is import to recognise that:

- Prices presented were just individual components within a much larger deal; if we had asked Capita to present a price for ICT as a standalone service we could have expected higher levels of pricing
- The offer by Capita is now twelve months out of date

Overall, outsourcing might be viable for the Council but this approach, as our experience demonstrates, comes with significant costs and risks, and the possibility of extended timescales for implementation.

- Option appraisal summary

The probable benefits of adopting this option together with the associated risks and implementation timescales are summarised below:

Probable benefits	Associated risks	Implementation timescales
• Resilience – flexibility, access to skills • Improved Service • Staff available at regular intervals on site • Working with a major supplier with proven track record • Risk Transfer	• Significant risks and costs are associated with major procurements of this type; includes commercial, legal and staffing issues. • Risk that the organisation does not have the skills to successfully manage a large ICT outsourcing contract. • Risk that the contract is poorly drawn up – exposing the organisation to cost creep and poor service delivery.	• 10 – 12 months from date of OJEU notice

Financial appraisal		All figures £000
	Initial year of operation (2010/11)	*Subsequent years (2011/12 et seq)*
Savings	-	250
Implementation - redundancies	-	
Implementation - operational	(50)	
Implementation - procurement	(100)	
Ongoing costs – client-side		(50)
Net (cost) / savings	(150)	200

- Option appraisal – conclusion for Option E

The numbers presented above are highly indicative but suggest that target levels of savings could be met; in addition we could expect improved access to skills and enhanced service resilience amongst other benefits. However, savings do not appear especially attractive in the light of the in-house restructuring suggested as Option D, and the high cost and associated risks of an outsourcing procurement mitigate against the outsourcing option at this point in time.

CONCLUSION

Based on the appraisals carried out **Option D** appears most attractive on grounds of cost saving, implementation cost and future flexibility. The risk that the service quality

may not improve, given that the service will essentially be managed and operated by the same staff, has to be recognised but this risk can be mitigated by maintaining dialogues with our neighbouring authorities and continuing to explore opportunities for shared and outsourced ways of working.

Financial implications

The financial implications of implementing the recommended option (Option D) are as set out below (repeated from the previous section):

Financial appraisal		**All figures £000**
	2010/11	**Subsequent years (2011/12 et seq)**
Savings	191	206
Implementation – redundancies	(169)	
Implementation – operational	-	
Implementation – procurement	-	
Ongoing costs – client-side	-	
Net savings	**22**	**206**

Redundancy costs and the associated pension costs will be funded from the Reinvestment Reserve. The redundancy costs of £169,000 are the maximum that would be incurred.

Risk Management

The risks associated with the decision Cabinet is asked to make and proposed actions to mitigate those risks are set out in the table below.

Risk Identified	Likelihood	Impact	Risk Management Actions Planned
Service quality: The reduction in staff and change in organisational structure could result in service quality failing to improve or even deteriorating	Medium	Medium	Close monitoring of the service in transition and the immediately ensuing weeks will be carried out.

Key Decision:	Yes	
Background Papers:	Cabinet Report	14 May 2009
	Cabinet Report	9 July 2009

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Appendix A

ICS Review

1. Mandate for Change

1.1. To develop a proposal for internal reconfiguration of ICT services that will achieve service savings in line with those indicated within the 2010/11 budget papers.

2. Service design

2.1. To provide a clear and robust customer focussed ICT service that meets user, service level and corporate requirements and improves the way it delivers services to its customers. The proposed retained service will also be defined as an enabler for business change, transformation and future shared services.

2.2. The proposed service design follows on from the findings of the internal ICS service review, undertaken from July to October '09 following the Cabinet decision on 9th July (minute 40) to examine various options for the delivery of shared and transactional support services.

2.3. The main findings of the review included;

i. A key premise that ICS commit to changing and more clearly defining its relationship with users, to develop a true customer-supplier relationship where they actively seek the views of their users and become actively involved in planning change.

ii. IT Governance is improved, which involved recommendations to align IT activities with corporate strategies and for Senior Management and Members to provide leadership in influencing/driving the ICT agenda. Examples of specific recommendations include the creation of an ICT steering group and better co-ordination of ICT activities identified from the Service Planning process.

iii. Change is planned better – this is to ensure that the correct processes are in place to manage change and stronger processes around accepting change into the IT estate as well as releasing and communicating planned changes to users.

iv. Review the role of the Service Desk, which is the first point of contact for users. Recommendations highlighted the need to have the right skills, tools and information to ensure effective call resolution. It was also proposed for the Service Desk to become more of a focal point for the service and to play an increasing role in effective service delivery.

v. Shared learning and improved communication. There is a case for re-organising ICS to better meet its workload and organisation change by developing teams that will share and develop knowledge working together to resolve problems.

2.4. As a precursor of the findings, in order for the points (i, ii and iii) above to be implemented effectively the process requires a two way engagement between ICS and Heads of Service and in some cases Senior Management.

2.5. The proposed service design is based on the principle that it is vital to align the IT organisation structure, investments and activities with the objectives of the authority. The proposed approach has also been designed with feedback from users, IT staff and using the best practice principles of the ITIL methodology.

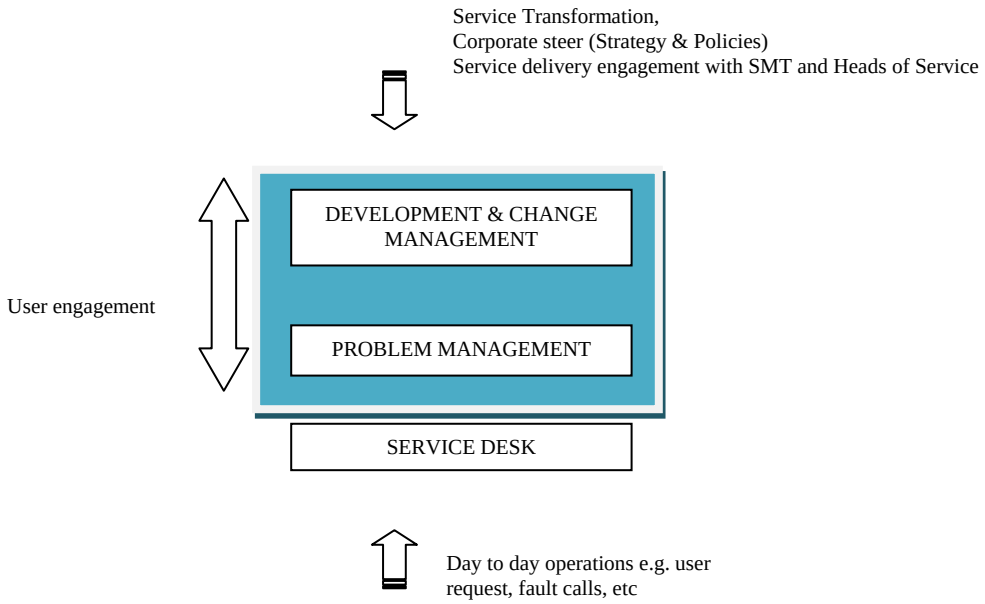


Figure 1: Proposed Service Design

2.6. Figure 1 outlines the proposed service design for the retention of in-house ICService. Breakdown of the functional areas are covered below;

2.6.1. Development & Change Management – this functional layer will drive and be responsible for defining the IT strategies, plans, policies and processes as well as providing direction on the authority's Information and technical architecture and managing IT investment.

This section will also require Service and Senior Management engagement for defining and agreeing Service Level Agreements, communicate, interpret and oversee the agreed implementation of corporate and national ICT initiatives and manage the implementation of ICT elements of any future Shared services initiatives.

The Change management aspects will also involve commissioning and managing projects based on PRINCE 2 methodology under the guidance of the Programme Office.

Other key areas will involve Infrastructure analysis and Information systems development, assessing and managing IT risks and improving the quality of ICT services

2.6.2. Problem management – the goal of this function is Prevention i.e. to proactively identify and work towards resolving the underlying cause of actual and potential failures in the provision of the service (covering all IT areas).

To ensure a continuous service, this will involve operationally managing performance, capacity, availability and security of systems, network and servers.

Problem management will also involve managing, understanding and making better use of the Councils data and information. As well as developing standard IT processes which are accountable and repeatable for the Service Desk.

It is anticipated that user engagement will involve close working with third party suppliers and internal system administrators, consultation with general users and where appropriate educate and train users.

Additional functions such as IT procurement and performance measurement will be included under the Problem Management function.

2.6.3. Service Desk – the service desk function serves as the 'front office' of ICT and as the single point of contact for user support in registering, tracking and resolving hardware and software fault calls and service requests. The primary aim of the function is to provide an intelligent and functionality-rich service desk by using the right skills, tools and information.

The function will also provide operational support to the functions named above (Development & Change management, Problem Management) in delivering IT services to users. For example this may involve installing a new piece of software, informing users of changes, or working towards SLA resolution targets set with services by the proposed Change & Development function.

Appendix 1 outlines the proposed ICT structure using existing ICT posts, encompassing the functional areas identified above, including mapping out the differences between current and proposed posts.

The intended structure in Appendix 1 is proposed to include 5 distinct teams to support ICT service delivery;

- The Service Desk is intended to be setup using ITIL practices for handling user requests and incidents.
- Technical Problem and Change management responsibilities are proposed to be undertaken by the Technical Strategy & Services Manager (for hardware, network, and security issues) and the Information System Manager (for software and data/information related issues, which includes the web, intranet and key back office systems). The responsibility ICT security will be split between the Technical Strategy & Services Manager for policies and procedures and a proposed Technical Analyst post for specific operational duties.
- The GIS team will continue to support and develop the Councils addressing and spatial information using ICS processes for resolving Problem and Change management issues and continue to develop new working areas such as integrating property information with back office systems and matching/merging corporate People and Property information.
- Development and Change management function within ICS will be lead by the Information Technology Delivery Manager and the ICT Business Analyst by defining

and managing requirements with front and back office services, developing ICT strategies and managing ICT investment. Key areas will involve improving customer engagement, service delivery (by improving team working and co-ordination of the 5 areas mentioned in Appendix 1) and aligning IT investments and activities with the objectives of the authority.

The proposed service design also involves developing an ICT role working with other internal sections in the following key areas;

- Disaster Recovery and Business continuity - liaising with Emergency Planning
- Information Management and Information Security - liaising with Governance and Procurement
- IT training - liaising with Learning and Development
- Web development - liaising with Partnership and Customer Services.

As the authority is increasingly looking towards shared services corporately, the role of ICT delivery becomes increasing important and critical as the ICT services becomes responsible for procuring, managing, implementing and integrating software, middleware, hardware and electronic communication aspects of frontline and back office service delivery in a shared services setup.

For example, under the web development agenda both Charnwood and North West Leicestershire District Council are actively considering the development of a shared web service, which will involve using a single shared location and content management system for both Council websites. It is proposed that the web infrastructure is hosted by the ICS section in Charnwood.

The three principle layers of the ICT service (Figure 1) has been designed to include future shared service developments, where the proposed Change & Development function assess and agrees the technical implications of changes. Problem management oversees and manages the implementation and the day to day delivery is handled by the Service Desk.

3. Improvements

3.1. The implementation of this option will provide a clearer ICT structure for the authority, meet the key forthcoming challenges and produce efficiency and tangible budget savings.

3.2. The proposed structure in Appendix 1 is designed to improve;

- IT services in terms of quality, responsiveness and better engaged with users and customers at different levels.
- IT Governance and processes by ensuring the Service desk is a focal point of service delivery, a function for improving underlying IT problems (co-ordinated

with the Service Desk) and a third layer for managing and overseeing the implementation of change.

- Service delivery standards where services understand and expect a level of Service delivery which is undertaken using best practice principles from ITIL and PRINCE 2 (for projects)
- Shared learning, improved communication and better integration of the service between the different IT areas. As an example the SLAs are defined with services by the Development & Change Management function. SLA are managed and reported on by the Technical and System development function and the Service Desk works within the defined SLA framework.

3.3. The draft list of suggested improvements for the implementation of the in-house retention of ICS are listed in the action plan, developed as part of the ICS review, see Appendix 2. Many of the recommendations do not carry a direct cost to the Council: those that do will require further analysis before the costs are known. Target dates and time for the proposed action(s) have also yet to be agreed.

3.4. The action plan improvements have been developed in consultation with key users and ICT staff, as part of the review process since August'09, which has included briefing sessions and one to one consultation meetings.

4. Timescales to implement

4.1. If approved the new structure will be implemented using existing 21 posts within ICS. It is anticipated that the structure will take 4-6 months to implement and will require the development of new Job descriptions and Person Specifications which will be subject to Job evaluation.

4.2. The process will also involve the development and agreement of new working procedures and agreement of responsibilities outlined for the areas identified under the 'Service Design' section.

5. Savings

All proposals and improvements outlined above will be funded from within the existing ICT budget. In addition the following efficiency savings are proposed;

5.1. Budget Savings - As part of the in-house retention of the service, £29k has been identified for budget savings for 2010/11, which mainly affects the service's internal activities such as training, IT software, etc.

Total Savings = £29k

5.2. Revenue and Benefits – Until 1st April the transition and setup costs are being discussed with Capita. It is envisaged that Capita will provide core ICT services independently, with some provision and support from ICS.

Initial discussion indicate that ICT support cost will remain and be split between the proposed client service for Revenue and Benefits and direct costs to Capita themselves. Therefore minimal direct savings are anticipated around licensing, hardware and mobile phones. The realisation of savings will also be spread over a period of time and will depend on withdrawal of contracts from third party suppliers.

The outsource of the Revenue and Benefits services will also produce stranded ICT costs, where services, infrastructure, applications and equipment would still be required by the remainder of CBC services. Examples include; Intranet, Internet (line rental), network and storage, security, Telephony (internal, external phones & switchboard).

5.3. Staffing implications - The current staffing structure has been static for the last 3 years, with 8 vacancies present within the current structure.

5.3.1. It is proposed to delete the following posts from the existing structure.

a) Head of Information Communication Services (Post no.F800)
b) GIS Analyst (Post no. A041)
c) User Support Analyst (Post no. F828)
d) Senior Systems Analyst (Post no. F811)
e) Senior Systems Analyst (Post no. F811)
f) Helpdesk Analyst (Post no F838)
g) ICT Project Manager (Post no M079)
h) Information Operator (Post no F839) x1FTE

The proposed establishment of the ICS structure is covered in Appendix 1, including the retention of the remainder vacant posts.

5.3.2. The post of ICT Project Manager was agreed to transfer back from A200 (Programmes and Resources) to V001 (ICS) following the collapse of the proposed outsource with Capita and Liberata

5.3.3. As part of the 20010/11 Budget savings, it was proposed to delete the Information Operator's post and function, once alternatives have been identified for the supporting areas. The existing functions provides out of hours batch processing for the Revenue and Benefits Academy system and the Council's cash systems. It is proposed that the function is reviewed with an aim to automate processing (where possible), transfer the responsibility to service areas or incorporate tasks within the proposed Service Desk function.

5.4. Total proposed savings for option 1 is **£206k**, excluding redundancy costs). This represents a 21% overall saving against the 2010/11 ICS budget (£1.4million). 46.5% of the current ICS budget represents corporate contracts on licences, printing, telephones, etc.

6. Benefits for Service Delivery

6.1. The strategic value of IT is retained in-house which ensures the authority has flexibility in the use of its information, ICT investments and in using ICT to transform Council services.

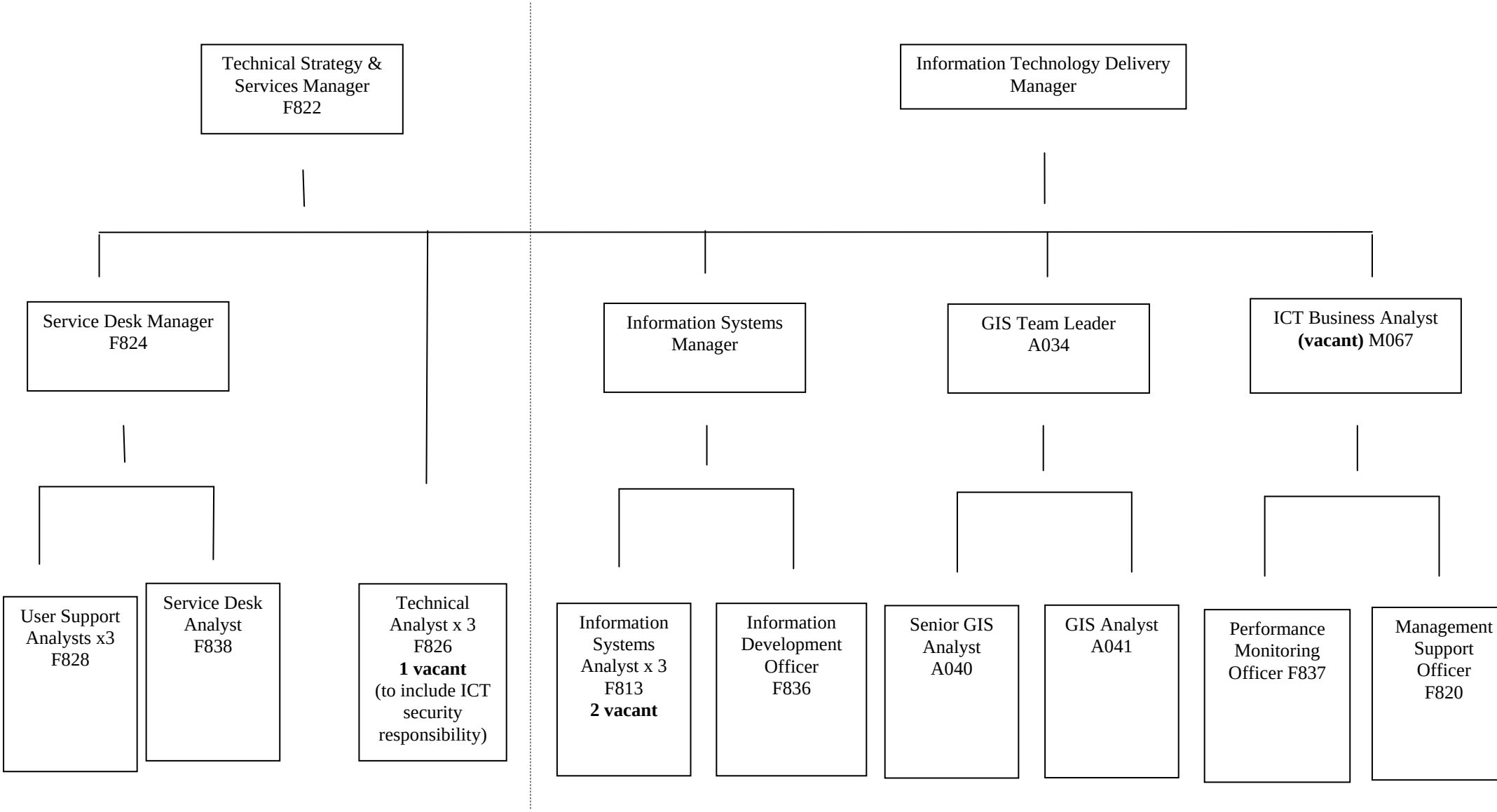
6.2. Under the in-house retained option, the Council has controlled influence over ICT working practices, priorities and use of IT resources for front line and back office Council services. Responsibility and influence of key areas such as Security, knowledge of key service based applications retained in-house.

6.3. IT skills and expertise are retained in-house. It was recognised independently by the review that IT staff have a wide range of skills and experience and are highly regarded by their colleagues across the Authority.

6.4. The service becomes more customer focussed and also improves its service delivery processes using ITIL principles. The service in turn is better defined, in a customer language.

ICS Review

Appendix 1 – Proposed Structure



Appendix 1 (continued……..) – Mappings of current and proposed posts

Post no	Posts	
	Current	**Proposed**
F824	Operations Team Leader	Service Desk Manager
F822	Technical Strategy & Service Manager	Technical Strategy & Service Manager
F811	Senior Systems Analyst	Information Systems Manager **(NEW POST)**
F826	Communication Officer (x 3)	Technical Analyst (x3)
F813	Systems Analyst	Information Systems Analyst **(POST REGRADE)**
F821	IT security officer	Information Systems Analyst
F817	Information Officer	Information Systems Analyst
F837	Performance Monitoring Officer	Performance Monitoring Officer
M067	Business Process Analyst	ICT Business Analyst

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F836	Web Master/Mail Administrator	Information Development Officer
F800	Head of Information Communication Services	Information Technology
M079	ICT Project Manager	Delivery Manager **(NEW POST)**
F820	Management Support Officer	Management Support Officer
A034	GIS Team Leader	GIS Team Leader
A042	GIS Analyst	GIS Analyst
A040	Senior GIS Analyst	Senior GIS Analyst
F828	User Support Analyst (x3)	User Support Analyst (x3)
F838	Help Desk Analyst (x 2)	Service Desk Analyst

Posts proposed to be deleted

Post no	Job Title
F800	Head of Information Communication Services
M079	ICT Project Manager
A041	GIS Analyst
F835	User Support Analyst
F811	Senior Systems Analyst
F812	Senior Systems Analyst
L312	Helpdesk Analyst
839	Information Operator x 2 (1 FTE)

Appendix 2 –ICS Service Improvement Plan – draft version

A. Managing Change

No.	Area for Improvement	Proposed Action(s)	Owner	Target date
1.	SMT and the ICT Lead Member to provide leadership in influencing/driving the ICT agenda		TBC	
2.	Creation of a ICT Steering Group (SMT Representative, Councillor and key senior users) to assess projects against known priorities and ensure the change mgt process is followed	Create/appoint the steering group to meet quarterly	TBC	
3.	Service Planning process - how IT are involved/consulted in the process	Consider ICT implications once the service planning process has been agreed (anticipated to be around Jan '09)	TBC	
4.	Develop a forward plan for ICT related change	Requires input from the proposed Steering group (see Ref.2 above) and support/leadership from SMT. Initially the forward plan list will be populated by ICS e.g. project list identified in the AS-IS ICS review Document	TBC	
5.	A new change management process needs to be implemented to ensure that the Council invests its resources in those projects and systems that can help it meet its objectives.		SMT	
6.	ICS must ensure that the correct processes are in place to manage change. There needs to be clear gateways in place for accepting change with an escalation process in place where risks can be registered where that process is not followed. ICS must be able to assess demands for resource against other priorities and provide clear estimate back on	Introduce a process (e.g. a change management form) For major change projects sign off will be required by the IT Leader Member and SMT. An agreement is required by the proposed Steering group of levels of change which will also be linked to the forward plan for ICT related change (see	TBC	

ICS Review

No.	Area for Improvement	Proposed Action(s)	Owner	Target date
	duration of effort required. ICS must be able to dedicate resources to changes, provide clear ownership for changes and provide a key point of contact for the organisation to discuss changes.	Ref. 4). In some case this will be linked to the Procurement procedures		
7.	Implement a stronger process around accepting change into the IT estate, making sure that ICS have the skills, capacity and resources to support any new systems.	Include skills, capacity and resources requirements as part of the Change requirement form proposed above (Ref. 6)	TBC	
8.	Improved management of the users will ensure that mutually agreed and realistic timescales are put on work and that estimates for work include the effort to document changes and share knowledge	To be satisfied by actions above in Ref. numbers - 4 (ICT forward plan), 6 (Change mgt form) and 7 (ICS skills, capacity and resources).	TBC	
9.	A Release Management process needs to be developed that ensures that there are clear acceptance criteria in place for each release and user sign off of releases	Develop an agreed communication and Release Management process for informing users e.g. combination of Intranet, email, newsletters, etc.	TBC	
10.	IT Service Continuity Management - Ensure that a fit for purpose service continuity approach is implemented.	Issue to be presented to the proposed Steering group (see Ref.2 above). This isn't an issue solely related to ICS	TBC	
11.	Hardware Replacement Programme - review options to generate a more proactive longer term programme which is based on needs, planned changes and reusing and reducing the volume of hardware purchased. This needs to be linked into a centralised and proactive inventory.	Present the current approach to the Steering group (see Ref.2 above) with alternatives and current available resources.	TBC	
12.	A thorough review of Charnwood's printing needs is needed to ensure that the Council can start to drive out some efficiencies	Requires to be setup as a project within Business Analysis skills to review the current printing function (usage and procurement needs). This is a corporate issue as ICS currently contribute around 30% to the overall budget.	TBC	
13.	Align IT strategies with the corporate objectives and	Update T-Gov strategy (content where it refers to outsourcing, work programme, links to corporate	TBC	

ICS Review

No.	Area for Improvement	Proposed Action(s)	Owner	Target date
	strategies of the authority	plan and priorities). Review the need for a separate IT strategy. Update Security policies and procedures currently in draft e.g. Remote Working Policy, Software Policy, Email policy, Information management,etc. Review ICT Performance Indicators to ensure they reflect and measure what the service provides		

B. Service Desk

No.	Area for Improvement	Proposed Action(s)	Owner	Target date
14.	The Helpdesk should have the skills, tools and information to improve its ability to resolve calls at first contact.	Select and Implement an improved tool that will enable enhanced knowledge mgt to be built up and in turn improve the skills of the team.	TBC	
15.	Continue to develop a business case for a new tool which includes a set of requirements, a clear set of selection criteria and details of the costs and benefits.	Linked to the action above (Ref. no 14). Ensure different areas of ICS are involved in the business case and recommendations. Ensure that the select tool will translate and monitor agreed SLA requirements into operational targets		
16.	Review the approach to managing calls (around tracking and call closure) is reviewed in the light of customer feedback	As a follow on from the actions above 1. Get buy in and ownership from ICS Staff (identify requirements). 2. Review and change agreed processes (where appropriate e.g. tracking and closing calls). 3. Finally Educate users		
17.	Better sharing of information on incidents, resolutions, planned changes and outages between the members of the service desk and between support and development to ensuring clear lines of communication and that all members	In addition to action in Ref no. 14. Identify a forum for exchanging information. For example this could include developing a section on the Intranet team site for sharing planned changes, outages,		

ICS Review

No.	Area for Improvement	Proposed Action(s)	Owner	Target date
	of ICS are aware of what the current service situation is.	etc. Staff training and awareness required if the action is agreed. Develop agreed work instructions for polices and procedures such as (procurement forms, starters, leavers) and identify the best method of communicating these to users/customers.		
18.	A clear, high level process is required where each problem will have an agreed owner who will manage the problem until resolution.	Follow on from action in Ref no 14 - using the statistics from the updated Service Desk system. Identify and agree how underlying problems will be periodically identified, analysed and resolved.		
19.	Ensure the service desk is providing value for money	Develop effective KPIs (internal and external facing) to measure the service provided. Improve the point of measuring customer satisfaction, which should be aligned during customer interaction. Operator duties - analyse the impact of reducing or merging operator duties within the Service Desk function. Explore alternatives. Including the impact of the proposed outsourcing of processing relating to the Academy system.	tbc	

C. Customer Relationship

No.	Area for Improvement	Proposed Action(s)	Owner	Target date
20.	ICS to develop and maintain a definition of their services. This will include hours of operation, scope of services,	Generate a list of current customer facing services provided by ICS. The document will	TBC	

ICS Review

No.	Area for Improvement	Proposed Action(s)	Owner	Target date
	reporting, roles and responsibilities and service targets. This is to be defined in consultation with other teams to ensure there is clear agreement of what ICS can deliver and what is the responsibility of the service teams.	provide a method of defining, measuring and negotiating services provided within agreed resources. For the proposed outsourcing of Revenue and Benefits service, identify what ICS currently provide (telephones, possible network and server recharges and operator duties) and what ICS would be requested to provide if the service is outsourced?		
21.	In order to draw up this definition of services, ICS need to engage with key users and Heads of Service to understand their IT service needs. For key IT users, such as the Contact Centre, Customer Services, Democratic Services, there should documented agreement on what services ICS will provide, the targets it must meet and how it will report on those services.	Follow on from the above action, align IT resources against the service needs. With the agreement of key users and Heads of Services, document, agree and report on the level and type of ICT services provided to Council services Interpret the services definition in terms of usage of ICT resources (e.g. supporting QLx for Housing, what does this mean in terms of desktops, servers, SAN, network, development and change resources, etc?		
22.	Council also has an obligation to develop an agreed set of business priorities to allow ICS to assess the business impact of service failures.	Linked to the action under Managing Change, Ref. no. 10	TBC	
23.	ICS must also agree with users who own the relationship with the supplier and make sure that agreement is clearly documented.	Include in the action above in SLAs user/ICS/Supplier relationships	TBC	

D. Organisation

No.	Area for Improvement	Proposed Action(s)	Owner	Target date
24.	Developing teams that will share and develop knowledge working together to resolve problems	Covered by Actions in the Managing Incident section The objective of team working should be the reduction the risk of single points of failure through training, documentation and agreeing responsibilities around support and development of key systems and hardware	TBC	
25.	Another mechanism would be to ensure that work allocation is changed to ensure that knowledge is shared and people work together	Assess knowledge transfer with key individuals to transfer 1st line support to the service desk. Promote standards for sharing information e.g. team site, populating resolution information on touchpaper or selected tool.	TBC	
26.	ICS staff must feel that they have a large degree of ownership over any actions to improve service delivery.	Staff will be involved in the process of change e.g. involved in the development of the action plan	TBC	
27.	There is a case for re-organising ICS to better meet its workload and organisational change. This may have a large number of HR and personal implications, and so will need to be managed carefully.	The reorganisation should assess the future workload and function; a) In relation to the helpdesk b) Impact on the reduction of duties related to Revenue and Benefits due to the proposed outsourcing	TBC	

Service Review - ICS

Review of Current Service Delivery

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Owner:	

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Approvals

Role	Name	Signature	Date
Acting Chief Executive	Geoff Parker		
Head of Governance & Procurement	Simon Jackson		
Acting Head of Programmes and Resources	David Platts		

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Change Management Lead	Cllr Jenny Bokor
Head of ICS	Steve Horner

Distribution for Information

Role	Name

Related Documents

Document	Date	Location
ICT Transformational Government Strategy	18 Feb 2009	Charnwood Borough Council Website
Shared Support & Transactional Services Project - Charnwood Draft Specification	09 Jul 2008	ICT Review Site

Contents

1. Executive Summary

IT Services at Charnwood are delivered by three main groups; ICS, Application Administrators and third party suppliers. This report focussed mainly on the services provided by ICS, assessing the internal process, customer engagement and performance. The review has provided an opportunity for a wide range of staff to make their views known on how well ICS meet the needs and how well ICS performs. In pulling together this document, we have canvassed the views of over 40 people, including all the full time employees in ICS plus key users, application administrators, Directors, Heads of Service and front line officers.

ICS operate as an internal shared service with little formal arrangements around what it delivers or how it delivers. ICS has a small team of staff who cover the whole IT service delivery lifecycle and who include a wide range of skills and experience. ICS staff are highly regarded by their colleagues within Charnwood. In each case, when asked for feedback, users wanted to make it clear that they thought that ICS staff were friendly and helpful, but that the problems were around the lack of process, skills shortages and resource restrictions.

ICS has been the subject of a proposed outsource over the past three years and it is clear that the initial lack of consultation around the process has had a large impact on ICS internally. Over the past three years, ICS have not been allowed to recruit permanent staff and investments in internal systems and in corporate systems have been shelved. ICS currently have 7 vacancies out of a full complement of 29 staff which has meant.

The current ICT cross-cutting strategy outlines a number of priorities for future change as well as providing a set of policies which should govern the use of IT. There is, however, no underlying plan that explains how the Council will achieve the objectives set out in the strategy.

As mentioned in the cross cutting strategy, ICS has been instrumental in delivering on the modernisation programme that the Council has undergone in the past few years. This has included:

- Development of a nationally recognised website which continues to expand its functionality with feature content such as My Charnwood
- Implementation of a wireless network
- Provision of remote and home working capability
- Redesign of the Local Area Network to increase resilience and improve throughput
- Development of a corporate intranet as the single repository for the internal business information
- Improving accessibility to services through the development of online forms and online payments

At a more operational level, there is a lack of clear leadership within ICS. There is little engagement between the Head of ICS and the heads of other services to understand what areas exist for service improvement and what changes are planned which may affect ICS. This means that ICS remain reactive to change and cannot demonstrate innovation or effectiveness in delivering change. Obviously, this is a two way process and other Heads of Service must also be willing to engage with ICS to look what areas ICS can help and to ask ICS for advice and guidance in implementing change.

There is a great deal to be done to improve processes around managing change. Currently, the commissioning of new systems does not take into consideration the skills and resource required to

implement and support the systems. In most cases, agreed roles and responsibilities around the support and maintenance of systems is not agreed with there an assumption being taken by the Service teams that ISC will fulfil all of these roles. This is compounded by the lack of handover to ICS leaving ICS to support systems that they had no input into the selection of, no involvement in the implementation and have received no training in what the systems does or how it was implemented.

The IT support processes are very poor and lead to a great deal of user dissatisfaction. The current Helpdesk does not have the skills and training to provide much by the way of first time fix and their processes mean that users are given very little information as to the timescales to respond to their incidents.

The constraints on resource have been exacerbated by the lack of knowledge management and documentation to leave the support of many systems at risk due to their being single points of failure. Many of the council's systems are supported by one person and the support of the system is compromised when that person is, for instance, on leave.

The later sections of this report provide greater detail around these issues and provides a set of recommended actions to resolve. In many cases, the recommendations are straight forward and easy to implement, but they are based on one key premise: that ICS commit to changing its relationship with its users, to develop a true customer-supplier relationship where they actively seek the views of their users and become actively involved in planning change.

Next Steps/Recommendations

It is our recommendation that a service improvement plan be put in place as soon as possible. This plan will review the recommendations of this report and develop an action plan. Monitoring of progress will be provided regularly with an aim to have implemented the majority of the changes by the end of the financial year.

2. Introduction

2.1 Purpose of this document

This document is the key output of the As-Is definition phase of the ICS Service Review. The ICS Service Review is being undertaken in three stages:

As-Is Service Definition	to document the current IT delivery capability within Charnwood and to assess its effectiveness.
To-Be Service Design	to map out the functions related to IT service delivery and agree responsibility for those functions across the council.
Service Delivery Options	to review the options for delivering the services, either in partnership with other councils, outsourced in whole or in part or retained in-house.

This document describes current IT service delivery within Charnwood and analyses the performance of the ICS department in providing IT support and development services to the Council and to CNH.

2.2 Background

In 2006, Charnwood Borough Council formed a partnership with Rushcliffe Borough Council with the aim to outsource five service areas. They were: Benefits, Revenues, Human Resources, Finance, and ICS. After a tendering and selection process, the partnership chose Liberata as its preferred supplier. In late 2008, it was clear that Liberata were unable to meet some of the core requirements of the contract. Rushcliffe decided to drop out of the partnership and Charnwood then entered into negotiation with the reserve bidder, Capita.

In July 2009, Cabinet decided to outsource the Benefits and Revenues functions to Capita, but to retain the other three service areas. Cabinet requested officers to undertake reviews of the HR/Payroll and ICS services reviews with an aim of providing a set of recommendations on how the service should be delivered and by whom. Cabinet have made it clear that the service reviews must be open, transparent and there is to be no pre-conceived idea of the ideal solution.

2.3 Approach

We recognise that, over the past three years, the ICS team have been the subject to a protracted outsourcing process and that this process has left a number of ICS staff angry and disillusioned with Charnwood Borough Council. We have stated, from the outset, that we are keen for this process to be as transparent and open as possible. The constraint on this is the need to assimilate and review information we get from interviews; protect people's anonymity and ensure that the messages fed back are provided in a positive and constructive manner.

To support this approach, we have attended the ICS team meeting, along with Geoff Parker, to explain the process and to make sure we were seen to be undertaking a process which the staff would be involved in and could contribute to. We have made interview notes available for comment and amendment to every one we have met, to ensure we have clearly and accurately recorded each person's views.

In order to provide this information we have used a number of resources. The key resource has been the staff of Charnwood Borough Council. We have interviewed all of the full time staff working in ICS and a large number of Charnwood staff, from Directors, Heads of Service, Application Administrators, and key users. In total, we have interviewed over 40 people and have covered a number of the Directorates as well as many levels of staff.

We would like to formally thank everyone who has given up their time to attend these interviews and to check the notes. It is a credit to the organisation that people were willing to give up their time and then put forward their views in an open and professional manner.

We have also used information provided by Neil Whittall of Finance around budgets; we have used information provided as part of the tendering process as well as other documents provided by ICS and other Charnwood staff.

Linda Argument has been a great help in pulling together a lot of data such as the licensing information, the list of projects for organising the vast majority of the interviews we have undertaken. We would like to record our thanks for her support.

In analysing the current service delivery, we have taken into consideration the views and expectations of the user community as the main driver. We have made the clear assumption that ICS is a shared corporate service and that there exists a "customer-supplier relationship" between the service and its users as shown in the figure 1 below.

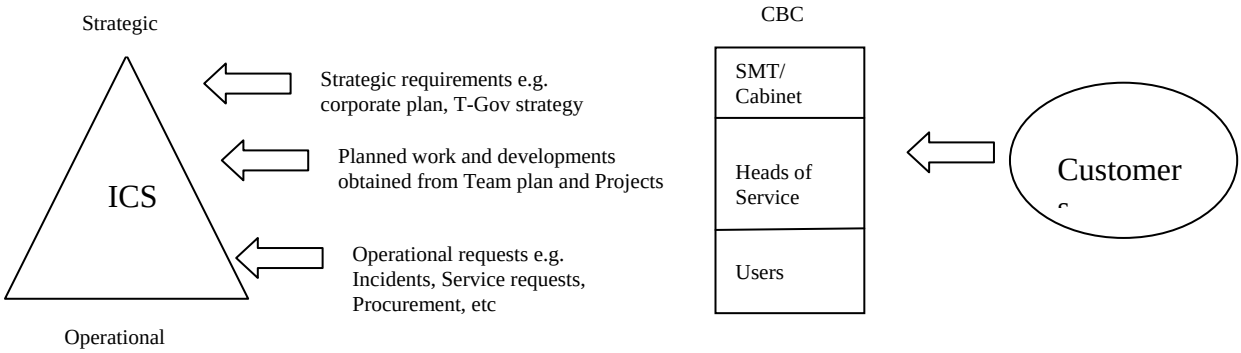


Figure 1:

The users have expectations of what sort of service they should expect to see and their views are very much based on how well ICS meet those expectations.

We have also assessed the internal processes against accepted good practice. We have used the key aspects and principles of ITIL as the baseline for this practice. ITIL is a detailed and complex delivery framework governing all IT delivery. Much like PRINCE2, it is scalable and must tailor in its implementation to meet the current organisation's size, structure and maturity. This means, we have used a number of the principles and some of the terminology of ITIL rather than trying to compare the current processes against the full methodology

3. IT Service delivery within Charnwood Borough Council

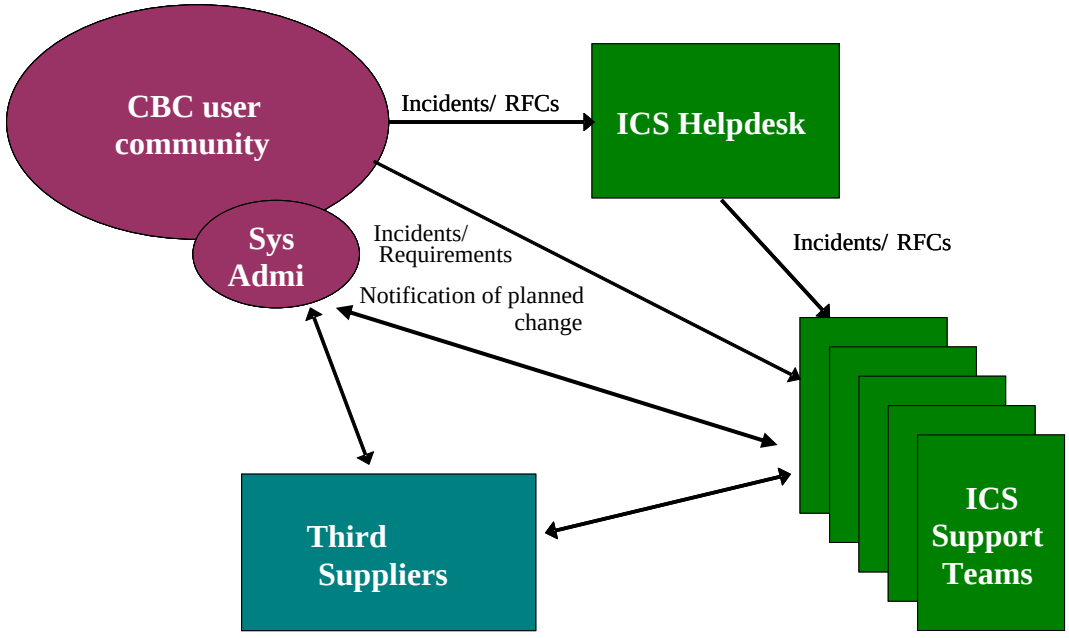
3.1 Scope of ICS Service Delivery

As befits a modern local authority, Charnwood Borough Council has a large and complex IT estate and is a mature user of technology in order to improve service delivery, widen choice and lower costs. As documented on the information Communication Services (ICS) team plan, key areas of service provision are:-

- procuring and developing information communication systems in order to satisfy t-government targets and enable frontline services to communicate more effectively with their customers
- day to day support of internal systems, service users and members in using the Council's computer hardware and software

ICS provides a mixture of first, second and third line support (as defined by ITIL) for most of the Council's IT systems and infrastructure as well as providing a development capability for a number of areas. The vast majority of the core council systems are supplied by third party suppliers with the interfaces having been designed and developed by ICS.

The support and further development of those systems and hardware is undertaken by three main areas: ICS, application administrators (located outside ICS) and third party suppliers. Appendix 1 provides a detailed list of the applications with details of which of the three main areas provide the support. However, this list does not provide the level of detail required to ensure that there is agreed ownership of the complete lifecycle. The diagram below provides a high level description of the interaction between the main areas.



Strategically, the Transformational Government (T-Gov) Strategy was approved by Cabinet in February '09, to set out a 5 year vision for ICT. The strategy not only covers IT delivery but also includes areas such as Business Transformation, Information management and Access to Customer Services.

The T-Gov strategy consists of three levels. Level 1 is the high level strategy and vision. Level 2 is the 2 year IT work programme and the final level contains the technical and systems architecture. The strategy requires completion (in areas such as the IT work programme) and an update (e.g. areas where the intention to outsource is included).

The strategy also requires a review in terms of the links to the corporate plan, how corporate priorities are turned into ICT requirements and how CBC services are aligned with ICT to ensure they get the most effective use of ICT.

A number of key ICT policies need updating or developing to underpin the strategy e.g. Remote Working Policy, Software Policy, Email policy, Information management (currently in draft), etc.

3.2 ICT Hardware profile

As well as the software, ICS supports the hardware estate for the Council. This includes servers, networks, desktops, laptops, telephony, Personal Data Applications (PDAs) and mobile phones. Appendix 4 shows the high level network infrastructure. Appendix 5 provides a breakdown of the existing server list (including virtualised servers).

The following tables detail the number of devices supported by ICS.

PCs and Laptops supported:

Number of PCs on the network	483
Number of Laptops on the network	243
PDAs	43
TOTAL	769

Remote working and supported applications:

Number of remote workers	128
Number of applications supported by ICS, derived Appendix 1 – Application list	61

Telephony

Number of Standard telephones	470
Number of VOIP telephones	89
VDN Lines (dedicated customer facing call lines to Contact Centre)	15
Virtual Lines (anonymous (e.g. name & shame)	7
Contact Centre Softphone lines	34
Number of mobile phones	336
Switchboard	2
TOTAL	953

3.3 Organisation

The service has 28 permanent employees, with 20 staff in post (including one temporary contractor) and 7 vacancies (6 full time, 1 temporary vacancy for six months). The post of the Information systems Manager is temporary filled for six months. The original post holder was transferred out of ICS at the start of the Capita outsourcing programme.

Details of the ICS functions are covered below:

Function	Description	FTE's
Service Desk	Front facing aspect of the service, provides call logging, user support and assignment duties for incidents and Requests for Service (RFCs). The function also includes the Information operator post which performs batch and out of hours printing. The Service Desk also handles requests for external print jobs and provides support for the building's telephone system	Operations Team Leader = 1 User support analyst = 4 (includes 1 vacancy) Helpdesk analyst = 2 Information operators = 2

Function	Description	FTE's
		P/T post (1FTE)
Communication Administrators	Maintenance and development of the servers and networks and 2nd/3rd line support for incidents. The function also includes the IT Security Officer role. Vacancy of the IT security posts has resulted in Communication Administrators undertaking on many of the 'security related duties	Technical Strategy & Service Manager = 1 Communication officers = 3 (1 vacant) IT Security Officer = vacant
Systems	Support and development of software applications such as Academy, Agresso, QL, Document management, Capita's payment system, online forms, in house cash management system, etc. See Appendix 1 – Application list for the full details SQL Administration undertaken for all CBC Databases. The function also includes web, Intranet and email development. Business Process Analyst has recently been agreed to resource temporary. The post will provide a useful user facing role for capturing and understanding requirement and analysis in a technical environment.	Information systems Manager = 1 (temporary cover provided. Original post/resource was moved into Programmes and Resources Senior Systems Analyst = 2 (1 vacancy, 1 temporary vacant for six months) Information Officer = vacant Web Master/Mail Administrator = 1 System Analyst = 1 Business Process Analyst = vacant
GIS	The team develop, create and maintain spatial data and mapping for the authority, it's related website and service users, as well as the development and maintenance of the corporate 'address-based' Local Land and Property Gazetteer (LLPG). LLPG is matched against key Council system and areas such as Council Tax, Business Rates, Planning, CRM, etc.	GIS Team Leader Senior GIS Analyst GIS Analyst = 2 (1 vacant)
Management	Includes management of the service and provides strategic advice and ownership of the delivery of strategic documents such as T-Gov and corporate assigned initiatives and projects. The function also includes resources for internal administration support and financial	Head of Information & Communication Services Performance monitoring officer

Function	Description	FTE's
	management In addition to the post outlined, the function also has active involvement from the Technical Strategy & Service Manager and the Information Systems Manager	Management Support officer

Profile of ICT functions undertaken outside ICS

<table>
<tr><th>Function</th><th>Description</th><th>FTE's</th></tr>
<tr><td>Application Administration</td><td>1st line support for key back office application such as;

<table><tr><td>Application</td><td>FTE</td></tr><tr><td>QLX – Housing system</td><td>3</td></tr><tr><td>Agresso</td><td>1</td></tr><tr><td>CRM</td><td>1</td></tr><tr><td>MVM (Planning system)</td><td>16</td></tr><tr><td>Document Management*</td><td>30</td></tr><tr><td>Flare</td><td>1</td></tr><tr><td>Trent (HR & Payroll)</td><td>2</td></tr><tr><td>Web site</td><td>0.5</td></tr></table>
Note: Application administration resources are located in service areas and may include other 'non-IT' related duties

* split between Revenues and Planning Services</td><td>8.5</td></tr>
<tr><td>Information Security</td><td>Director of Governance and Procurement was given the role of the Information Security officer in February '09.
The senior management role was defined for setting and communicating Security policies and guidance.</td><td></td></tr>
</table>

3.4 Funding

The annual budget for ICS is £1.52 million. ICS budgets are spilt into the following four areas;

V001 – ICS. Salaries and Expenses (09/10)	£
Salaries	851,300
Vacancies	TBC
Capital charges?	342,500
CNH routine SLA	-127,900
Corporate recharge	-1,262,600

V002 – External ICS corporate cost. Includes licences and support costs (2008/09)	£
Software Annual Maintenance	150,500
IEG annual maintenance costs	33,500
Hardware Maintenance	26,700
Licences	16,110
Telephones*	31,300
CNH SLA	-46,500
CBC recharge	-227,700

***includes rental for the telephone circuit**

G115 – Central telephones, includes switchboard, desk phones, mobile phones and call charges (2008/09)	£
Telephone land lines	116,000
Proteus – support from IP integration	10,300
Mobile phones (T-mobile contract)	27,500
Comp line/modem rent*	64,400
Sub-total	**218,200**
Mobile phone income	-1,500
CNH SLA Income	-17,800
CNH Income	-49,000
Telephone recharges	-155,900
CBC recharge	-83,800
Sub-total	**308,000**

***network connections to different sites e.g. Cotton way, Museum, Limehurst Depot, etc**

G200 – Danwood Printing Contract (2008/09)	£
Contract – fees and charges	159,100
CNH Income	-25,500
CBC Recharge	-132,800
Fees and charges – Misc	-785

Contract threshold is set for 1.5 million copies per quarter. CBC pays for the full threshold regardless of usage. Last quarter 935,000 copies were printed.

3.4.1 Recharges

ICS provide service to Charnwood Neighbourhood Housing, CNH, under a Service Level Agreement. CNH are charged an agreed set of fees for the delivery of these services. These recharges are split across the four cost codes.

ICS is a corporate service which means it recharges the balance of its fees to the other service units. Again, these recharges are split across the fours cost codes and the principles behind each cost recharge varies dependent on the type of service. For V001, which includes the cost of supporting corporate software, the recharge is split based on the number of people in the service are being recharged.

3.4.2 ICT Capital Programme

Capital Scheme 2007/08	£
Corporate Rollout NLPG	3,700
Hardware Replacement Programme	100,000
E-Govt - Network Enhan & Security	6,200
Server Rationalisation, Storage & Backup	2,500
SQL SharePoint	2,600
Gov Connect	34,400
Exchange Part 1 Upgrade	60,000
Sub Total	**209,400**

Capital Scheme 2008/09	£
SQL SharePoint	26,000
Backup	50,000
Gov Connect	15,000
Exchange Part 1 Upgrade	30,000
Total	**121,000**

Capital Scheme 2009/10	£
Hardware Replacement - Z085	100,000
Exchange Part 2 Upgrade - Z281	30,000
T-Gov - Z280	20,000
Total	**150,000**

3.5 Performance Management

Team Indicators		2008/09 Actual	2009/10 Q1 Actual	2009/10 Q2 Target	2009/10 Annual Target	2010/11 Annual Target	2011/12 Annual Target
ICS.1	Satisfaction with quality and delivery of service measured using "SOCITM" rating KPI 1 and benchmarked against industry standards	6.30	6.22	5	5	5	5
ICS.2	Percentage of calls when a service is restored within the timescales agreed	93%	91%	90%	90%	90%	90%
ICS.4a	Workstation acquisition costs Category 1 – Personal Computer	550	574	574	574	574	574
ICS.4b	Workstation acquisition costs Category 2 – Laptop	775	803	803	803	803	803

For ICS 1 (user satisfaction), ICS staff include a link at the bottom of emails to invite users to complete the survey, which includes a rate for the service (1-7, 1= low, 7= Excellent) and suggestions for improvement. 8 questionnaires have been completed for 2009/10 Quarter 1. The methodology is based on SOCITM guidelines for capturing user satisfaction.

ICS 2 – resolution within agreed timescales is calculated by Total number of resolved incidents *100/Incidents resolved in SLA.
The method of calculation should be revised to; Total number of incidents (all the calls recorded onto the helpdesk system) *100 / Incidents resolved in SLA. This would provide a more accurate figure of the calls resolved within agreed SLA timescales.

3.6 ICT Projects

ICS also undertake development work. Some of this development work is linked to maintenance of the existing IT estate, such as upgrading corporate software or replacing servers. Much of the

development work is in response to user requirements. Appendix 2 lists the projects that are either in progress or planned for start in 2009/10.

3.7 ICT support for Revenue and Benefits

Analysis of Service Desk calls between February and July show a variance of between 8% - 14% of calls that are attributed to Revenue and Benefits. See Appendix 3 for the breakdown of calls.

As an agreed estimate, time spent by the interim Information Systems Manager on incidents and development for the Academy system is approximately 30% of his total time, which is variable on a project by project basis e.g. for annual billing or adoption of AllPay

On Printing approximately 25% of the total prints are for Revenue and Benefits. This includes user and batch operator printing. See Appendix 6 for the breakdown

4. Service Delivery Processes

This section provides a description of the high level processes that ICS undertake aligned to the ITIL methodology. As stated in the ICT Transformational Government Strategy, ICS has implemented ITIL across its service management processes and this approach allows the report to provide an assessment as to how successful that implementation has been.

Each sub-section begins with a brief overview (in blue text) of how that process is defined by ITIL. This is then followed by a description of the processes in place in Charnwood.

4.1 ICT Strategy

Cabinet approved the current ICT Transformation Government Strategy in March 2009. This strategy was developed by a number of people, but it is unclear how much buy exists from ICS. There is no action plan provided no how the objectives within the strategy will be achieved.

As described in the strategy document, Council has consistently invested in the IT voice and data infrastructure over the past few years and has also undertaken pioneering projects that have put us at the forefront in many areas:

- The implementation of a Customer Contact Centre, originally piloted within Housing Services, followed by Cleansing Services, and now rolling out to other service areas.
- The development of a corporate Intranet using Microsoft SharePoint to provide single source access to our internal business information and integration of this with our website.
- The first District planned "Geoplatform" to provide the geographic infrastructure to join up departmental back office systems, their related information channels and support the sharing of data between all levels of Local Government and our partners using open standards
- A server consolidation programme
- An improved mobile workforce capable of supporting their service delivery responsibilities from wherever it is necessary
- Adoption of Wireless networking
- The development of online forms for both Web and Intranet service delivery
- The procurement of online booking software for Web and Intranet service delivery
- The provision and availability of online payments (web, telephone and face to face) for Council services – see http://www.charnwood.gov.uk/payabill.html
- E-citizen – this allows the citizens the ability to check Council Tax and Business Rate account balances online

There is a lack of ownership for defining IT strategy at the highest levels within the Council. It is not clear how IT can be used to help the Council deliver service improvements or cost efficiencies and there seems to be genuine lack of engagement at Head of Service level. In many instances, ICS are seen as a barrier to change rather than the promoter, influencers or generators of change.

Subjects such as the Government's Transformational agenda, Information Management and Information Security are clearly of corporate importance but are not being considered in a co-ordinated manner. With respect to Information Management, the Council holds a huge amount of information which is related and, in some cases, duplicated, but there is no evidence of an approach to understand the data nor to understand how we can leverage that information

ICS is not involved in the planning both at a corporate and at a service level and the engagement with ICS tends to be reactive and poorly defined. This means that ICS are unable to provide advice and guidance to service teams on how their service objectives can be achieved.

A more damaging impact is that ICS are not involved in a timely manner in the planning, commissioning and implementation of new systems. There have been a number of instances where systems have been purchased by Service Team with no involvement from ICS. Therefore the system is commissioned without fully exploring the implications on the existing architecture, the ability to interface with other Council systems and the arrangements for on-going support. ICS first become aware of a new system when the service team request that ICS purchase a new server.

Recommendation: A new mechanism needs to be implemented where by support services such as IT, HR and Legal are more closely involved in the planning process. One suggestion could be that SMT or cabinet reports outlining proposed changes to service scope or process should be reviewed and signed off by the Heads of HR and IT. Another suggestion is that HR, IT and Legal are all consulted by other Heads of Service as part of the service planning process. Finally, all IT procurement must be signed off by the Head of ICS.

Recommendation: A Change Management board (SMT Representative, Councillor and key senior users) to be created to assess projects against known priorities, ensure change mgt processes are followed

4.2 Service Organisation

Most of the ICS staff have been employed by Charnwood for a number of years. Some key staff, such as Paul Harrison and Paul Bargewell have joined in the past xx years from outside companies. There is a wide range of skill and experience within the team with some people, such as John Bulmer, Emma Bagshaw, Matt Gudger and Paul Bargewell being extremely knowledgeable in their technical areas. In other areas, the amount technical expertise is quite low.

Most of the staff in ICS have obtained ITIL foundation certification, although there is little evidence to show how they have applied the techniques ITIL. Where attempts have been made to improve the processes around the Helpdesk and incident management, there has been resistance from other teams. These issues were not resolved due to the lack of clear support from the management team.

Morale does seem to be very low within the department. This is in part due to the effects of the outsourcing process, but other factors have also played their part. ICS feel very much as if they have been victim to the whims of the previous Chief Executive and Cabinet.

There are 7 vacancies within the department. Key service areas such as service desk and applications are under resourced and this has lead to people working very hard but not necessarily very effectively.

Staff demonstrate a task-based approach to their work rather than being service oriented in their outlook. This means that they do not work together as a single team to share knowledge, identify problems or to improve processes and performance.

Recommendation: ICS must create a culture where sharing of knowledge and working together to resolve problems is the norm. One way of achieving this is by including ICS staff in this review and in the recovery plan that will be an output of this report. ICS staff must feel that they have a large degree of ownership over any actions to improve service delivery.

The lack of knowledge sharing is of real concern. The task-based approach to work means that staff complete one task then move onto the next without taking the time to ensure that information is effectively shared. Work is always allocated to the expert within a team rather than work being shared around and using the expert to support and mentor. There are a number of areas where the department, and therefore the council, is at high risk with too much systems and business knowledge tied up with individuals.

Recommendation: Work allocation needs to be changed to ensure that knowledge is shared and people work together. Improved management of the users will ensure that mutually agreed and realistic timescales are put on work and that estimates for work include the effort to document changes and share knowledge.

There is also a feeling that the department is not using people's strengths, the idea that the wrong person is in the wrong job has been mentioned a few times in staff interviews.

Recommendation: ICS should be re-organised into three teams: Service Desk, Development and support services. The Service Desk team will provide first and second line support for all the council's systems. The Development team will provide third line support and development activities and will own the relationships with the third party suppliers. The Support Services

team will undertake administration, project management support, service management support and will also contain some internal audit controls.

4.3 Service Support

The Service Support ITIL discipline is focused on the *User* of the ICT services and is primarily concerned with ensuring that they have access to the appropriate services to support the business functions. To a business, customers and users are the entry point to the process model. They get involved in service support by:

- Asking for changes
- Needing communication, updates
- Having difficulties, queries.
- Real process delivery

The service desk is the single contact point for customer's problems. If there is a direct solution, it tries to resolve the problem. If not, it creates an incident. *Incidents* initiate a chain of processes: Incident Management, Problem Management, Change Management, Release Management and Configuration Management. This chain of processes is tracked using the Configuration Management Database (CMDB), which records each process, and creates output documents for traceability (Quality Management).

4.3.1 Service Desk / Service Request Management

Tasks include handling incidents and requests, and providing an interface for other ITSM processes.

- Single Point of Contact (SPOC) and not necessarily the First Point of Contact (FPOC)
- There is a single point of entry and exit
- Easier for Customers
- Data Integrity
- Communication channel is streamlined

The primary *functions* of the Service Desk are:

- Incident Control: life cycle management of all Service Requests
- Communication: keeping the customer informed of progress and advising on workarounds

The ICS department has set up a Helpdesk team with responsibility for logging and assigning all incidents and requests for change (RFCs). RFCs tend to be small scale change, such as a new telephone, or a new starter.

The team can receive notifications of incidents through phone calls, emails, web forms, NAGIOS automated notifications or in person. Users also raise calls directly with other members of ICS.

Incidents and RFCs are logged on a system called TouchPaper. These are then assigned to one of a number of resolver groups. These groups relate to the support teams as outlined in the organisation structure (see section 3.2 above). Where users call ICS staff direct, some incidents are logged on TouchPaper, but in a number of cases these calls are not logged.

Not all telephone calls to the Helpdesk result on an incident being logged on TouchPaper. In some cases, this is because someone is trying to get put through to a member of staff, or the call is a request for information or it is a repeat call for a known incident. There is no clear guidance in ICS on what calls should be logged on TouchPaper and which not. Between 800 and 900 incidents are logged on TouchPaper per week. This include incidents raised by users, automated alerts from the network availability software (NAGIOS) and requests for change from users.

Users do have very good direct working relationship with ICS staff and ICS Staff are rated high in terms of friendliness, flexibility and expertise. Users are, however, critical of the Help desk and its processes. Their experience is that calls are not dealt with in a consistent manner with there being as a wide variance in call resolution times, ownership and resolution success. Users are critical of the lack of information provided around a call, and want to be told of the priority and attached response time. Users want to be informed if an incident is going to take longer than expected and they want to be told when an incident has been closed rather than they having to be the one's to chase progress.

Finally, users were concerned by the lack of first time resolution. They felt that the Helpdesk were unable to help with even the simplest of calls and that there were times when the helpdesk is not manned. This means that many users now bypass the helpdesk and details of these calls are not logged.

Recommendation: Set up a workgroup of key users and ICT staff to review the incident logging and management processes. ICS must also agree with users who owns the relationship with the supplier and make sure that agreement is clearly documented.

Recommendation: To improve the technical expertise of the people taking calls. This can be done in a number of ways, by a) making sure that all people in the support team spend time on the phones (determined by a rota) b) by a skill analysis and training to improve knowledge levels and c) by clear mechanisms for sharing knowledge on fixes and workarounds, through the whiteboard, shared workspaces and daily meetings

4.3.2 Incident Management

The goal of Incident Management is to restore normal service operation as quickly as possible and minimize the adverse effect on business operations, thus ensuring that the best possible levels of service quality and availability are maintained. 'Normal service operation' is defined here as service operation within Service Level Agreement (SLA) limits.

When an incident/RFC is logged, the Helpdesk provide a unique reference number. When logged on TouchPaper, the incident or RFC is assigned a priority which is linked to a set of service targets as shown below. These targets are held on the intranet.

Service Level Target	Responses	Example
Support 1	2 Hour	Complete system outage / Multiple users affected
Support 2	4 Hour	Default priority - Issue affects a single user only
Support 3	8 Hour	Minor single user issue. Impedes user working
Support 4	2 Days	Minor single user issue. Does not impede user working
RFC 1	3 Days	New starter / leaver
RFC 2	1 Week	Office moves / security changes
RFC 3	2 Weeks	New software purchases
RFC 4	3 Weeks	New hardware purchases

Assignment of the priority is based on Helpdesk's assessment of the impact on the user community of the affected system. The user raising the call is not informed of the priority or the related response time.

In many cases, user will call back in a few hours to "chase" progress on an incident or request.

As incidents are assigned, they appear in the inboxes of the resolver group. There are cases where an incident has been mis-assigned and this can lead to incidents being "pinged" around until the right owner is found.

There is little evidence of incident management processes being in place such as checking those incidents close to exceeding their SLA, ensuring all incidents are properly assigned, checking that incidents are not assigned to people on leave, checking for any trends. There is also no way of logging incidents against known changes. Some of this is doe to a lack of functionality within TouchPaper.

Incident resolution is not always added to the incidents on TouchPaper and the Helpdesk are rarely informed of workarounds to help users get back to work quickly.

When an incident is closed, the user is rarely informed.

TouchPaper is limited in functionality. It is not possible to link repeat and similar calls, there is no support for scripting, for flexible service reporting and there is no capability for a knowledge base. In addition, it is a costly system and Paul Harrison is looking at replacement.

Recommendation: Paul Harrison to develop a business case for a new tool which includes a set of requirements, a clear set of selection criteria and details of the costs and benefits.

There is not enough communication around planned changes, known problems and fixes. TouchPaper is not populated with resolution information.

Recommendation: Paul Harrison to set up daily meetings to review the calls from the previous days. The meetings to be attended by all members of the new Support team and a representative from the Development team to ensure there are clear lines of communication. The meeting should not take long, just be a quick and simple way of ensuring all members of ICS are aware of what the current service situation is.

4.3.3 Problem Management

The goal of 'Problem Management' is to resolve the root cause of incidents, minimize the adverse impact of incidents and problems on business and to prevent recurrence of incidents. A ‘problem’ is an unknown underlying cause of one or more incidents, and a ‘known error' is a problem that is successfully diagnosed and for which either a work-around or a permanent resolution has been identified.

Problem management is different from *incident management*. The principal purpose of *problem management* is to find and resolve the root cause of a problem and prevention of incidents; the purpose of *incident management* is to return the service to normal level as soon as possible, with smallest possible business impact.

The problem management process is intended to reduce the number and severity of incidents and problems on the business, and report it in documentation to be available for the first-line and second line of the help desk. The proactive process identifies and resolves problems before incidents occur. These activities are:

- Trend analysis;
- Targeting support action;
- Providing information to the organization.

There is no formal process for analysing investigating trends or problem management. No single person has responsibility for problems within ICS; it is done on an ad hoc basis. Similarly, Root Cause Analysis of incidents is done although the responsibility does not sit within any one person’s job description. Having said that, analysis and resolution of problems is undertaken effectively, but it is impossible to determine as no data is held on problems.

There is some sharing of knowledge around known problems, but it is not consistent and there is no shared repository.

Recommendation: Each problem will have an agreed owner who will manage the problem until resolution. The problem is to be documented in a Problem log with details of the problem, workarounds, affected applications and resolution held.

4.3.4 Change Management

The goal of Change Management is to ensure that standardized methods and procedures are used for efficient handling of all changes. A change is “an event that results in a new status of one or more configuration items (CI's)” approved by management, cost effective, enhances business process changes (fixes) - with a minimum risk to IT infrastructure.

The main aims of Change Management are:

- Minimal disruption of services
- Reduction in back-out activities
- Economic utilization of resources involved in the change

There exists no forward plan of IT related change – except that produced as a result of this service review. ICS is not engaged during the annual Service Planning process nor is there any on-going dialogue by Heads of Service to share plans with ICS.

There is no structure process in place for managing change; business cases are not provided, requirements are not documented

ICS do not maintain a change log. Often changes made to the infrastructure lead to a service affecting issue. Knowledge of the link is only by word or mouth and, where the person making the change is then unavailable, this can lead to ICS spending a lot of time investigating incidents and problems.

ICS use a white board to list major ongoing incidents and planned changes. There is no other regular, structured communication inside ICS to discuss incidents, share information about resolutions or to schedule planned changes and outages.

There is no dedicated change team and, in many cases, changes are worked on as and when incidents have been dealt with. In some cases, this means that ICS staff have 1 or 2 hours a day to work on changes.

Recommendation. The new Development team will ensure that the correct process are in place to manage change. The team will therefore be able to dedicate resources to changes and provide clear ownership for changes. The head of the team would also become a key point of contact for the organisation to discuss changes.

As a result engagement is late, ICS have to undertake rework. Requirements from customers are poorly defined and always perceived to be urgent
No process for releasing – no sign off, no acceptance criteria
Recommendation: develop a workgroup (including users, customers) to agree change and release processes. The process will provide a clear audit. Workgroup to set a series of gateways.

4.3.5 Release Management

A Release consists of the new or changed software and/or hardware required to implement approved changes
Releases are categorized as:

- Major software releases and hardware upgrades, normally containing large amounts of new functionality, some of which may make intervening fixes to problems redundant. A major upgrade or release usually supersedes all preceding minor upgrades, releases and emergency fixes.
- Minor software releases and hardware upgrades, normally containing small enhancements and fixes, some of which may have already been issued as emergency fixes. A minor upgrade or release usually supersedes all preceding emergency fixes.
- Emergency software and hardware fixes, normally containing the corrections to a small number of known problems.

There is no documented process for release management and very little involvement of users in changes to systems. Users are rarely informed of planned work or outages. There have been instances where upgrades and changes have been implemented which have lead to a loss of availability. ICS do not see the need to communicate planned work, enhancements or unavailability to staff.

User experience very little communication of planned changes/outages and of known problems. Users need this information to allow them to develop work around and to manage work loads.
Recommendation: Develop a process to inform key users of planned changes/outages and known ongoing issues.

For major upgrades to core systems, ICS and the key users do work together to ensure that systems are tested. For upgrades the usual process is for the application administrator to inform ICS of the upgrades to be implemented. ICS then create a test environment that the application administrator uses to test the new upgrade. Once satisfied, the application administrator asks ICS to release the changes into live.

4.3.6 Configuration Management

Configuration Management is a process that tracks all individual Configuration Items (CI) in a system.

Information on infrastructure components is held on LAN Desk (a bolt on to TouchPaper). It is not clear whether there is a list of all software components and their current versions is in place. As there is no defined change log, it is not clear how version control can be in place.

4.4 Service Delivery

The Service Delivery discipline is primarily concerned with proactive services the ICT must deliver to provide adequate support to business users. It focuses on the business as the customer of the ICT services (compare with: Service Support). The discipline consists of the following processes, explained in subsections below:

- Service Level Management
- Capacity Management
- IT Service Continuity Management
- Availability Management
- Financial Management

4.4.1 Service Level Management

Service Level Management provides for continual identification, monitoring and review of the levels of IT services specified in the service level agreements (SLAs). Service Level Management ensures that arrangements are in place with internal IT Support Providers and external suppliers in the form of Operational Level Agreements (OLAs) and Underpinning Contracts (UCs). The process involves assessing the impact of change upon service quality and SLAs. The service level management process is in close relation with the operational processes to control their activities. The central role of Service Level Management makes it the natural place for metrics to be established and monitored against a benchmark.

There is no detailed definition of the scope ICS delivers or of its capabilities. There is a need for greater recognition of the benefits to the Council that ICS can provide and a greater understanding of how best to use that capability. For instance, Charnwood has an excellent CRM system in Lagan, a very advanced intranet site based on Microsoft Sharepoint and a detailed and content rich digital mapping.

A lot of this information is available in documents such as the Specification for the tender process, in the ICS team plan and in this document.

ICS have published a set of Service Level targets on the intranet, but these are not publicised and have not been drawn up in consultation with users. There is not set practice to what constitutes each of the target areas which means that the process is open to abuse.

The team indicators as set out in the team plan were also not devised in consultation and it is not clear what value those targets bring. The targets are not challenging and there is no drive to improve on them.

User input to the e-mail based satisfaction questionnaire is declining. Last quarter, only 8 people responded. One reason is that people cannot see the relevance to the questionnaire and have little belief that it will result in a change in performance.

Performance indicators need to be reviewed to ensure they measure service delivery and end user benefits and expectations. Examples of key areas not being measured include;

- 1st, 2nd and 3rd line resolution of calls. How many are resolved at first point of contact?

- % average resolution time, by priority
- Measuring the performance of the network and servers (e.g. availability time)
- cost and time spend on development by application

Performance management needs to be improved internally within the service to ensure continuous improvement by for example measuring; productivity, internal costs, infrastructure performance, prevention (e.g. repeat incidents, correct classification of incidents, reporting of trends), development effort and costs on spend, etc.

Measurement of outcomes should also be considered especially in relation to the recommendation of implementing new processes such as change management e.g. success of changes implemented, no of calls relating to a recent release of software, etc.

Recommendation: ICS to develop and maintain a definition of their services. This will include hours of operation, scope of services, reporting, roles and responsibilities and service targets. This is to be defined in consultation with other teams to ensure there is clear agreement of what ICS can deliver and what is the responsibility of the service teams. It will also ensure that ICS is measured (and therefore reports) against targets which are meaningful to their user base. For Agresso, a RACI matrix was drawn up to define roles and responsibilities and this should be included as a standard template for each system.

Users have fed back that they feel ICS have a poor understanding of their needs and priorities. They feel that ICS do not take into consideration nor understand the impact of problems and or of planned changes on their service teams. In addition, there have been a number of cases where calls have been logged where the fault affects a large number of people and yet the users felt this was not recognised.

It seems that this is the result of a lack of clarity on how priorities are formed and lack of consultation between ICS and users on how incidents should be prioritised and managed.

Recommendation: ICS need to engage with key users and Heads of Service to understand their IT service needs. For key IT users, such as the Contact centre, Customer Services, democratic Services, there should documented agreement on what services ICS will provide, the targets it must meet and how it will report on those services. The Council also has an obligation to develop an agreed set of business priorities to allow ICS to assess the business impact of service failures.

4.4.2 Capacity Management

Capacity Management supports the optimum and cost effective provision of IT services by helping organizations match their IT resources to the business demands. The high-level activities are Application Sizing, Workload Management, Demand Management, Modelling, Capacity Planning, Resource Management, and Performance Management.

This does not take place in anything but an informal, operational level.

ICS are not always engaged in the procurement and implementation of new systems. This means that ICS are not able to assess the impact of a new system in terms of network availability, server availability, resource capacity and skills required to support the new system. Systems are sometimes implemented by third party suppliers and little or no handover to ICS is performed, leaving ICS no knowledge of how the system was implemented. The impact is that incidents take longer to resolve and ICS are unwilling to take ownership of problems or to take ownership of the supplier relationship.

This also impacts the total cost of ownership of the system and impacts the original business case if the whole costs of the implementation and of support are not considered.

Recommendation: The council's change process must be strengthened to ensure that business cases examine the whole cost of change. ICS must implement a stronger process around accepting change into the IT estate, making sure that ICS have the skills, capacity and resources to support any new systems.

4.4.3 IT Service Continuity Management

IT Service Continuity Management is the process by which plans are put in place and managed to ensure that IT Services can recover and continue should a serious incident occur. It is not just about reactive measures, but also about proactive measures - reducing the risk of a disaster in the first instance. Continuity management is regarded as the recovery of the IT infrastructure used to deliver IT Services, but many businesses these days practice the much further reaching process of Business Continuity Planning (BCP), to ensure that the whole end-to-end business process can continue should a serious incident occur.

Service Continuity is weak in the Council. The Emergency Planning Officer is currently undertaking work to assess the options for strengthening not only Charnwood's IT continuity protection but also business continuity as a whole.

Recommendation: Ensure that a fit for purpose service continuity approach is implemented using third party remote support for key Council functions.

A new back up system has been implemented. There has never been a planned system restore to check whether the back-ups function correctly.

Recommendation: Implement a schedule of planned system restores to ensure that each key system is restored and tested once a year.

4.4.4 Availability Management

Availability Management allows organizations to sustain the IT service availability to support the business at a justifiable cost. The high-level activities are Realize Availability Requirements, Compile Availability Plan, Monitor Availability, and Monitor Maintenance Obligations.

Availability monitoring has been implemented recently using the NAGIOS tool. There are no targets around each system.

4.4.5 Financial Management for IT Services

IT Financial Management is the discipline of ensuring that the IT infrastructure is obtained at the most effective price (which does not necessarily mean cheapest) and calculating the cost of providing IT services so that an organisation can understand the costs of its IT services. These costs may then be recovered from the customer of the service.

ICS is subject to the same budget processes as other service teams. In common with other corporate services, there is a system of recharges whereby ICS charge the other departments for their percentage of the total ICS budget. Some of the cost codes are recharged based on usage and some are based on the number of PCs or laptops a directorate have.

4.5 Others

4.5.1 Asset Management (including Procurement and Contracts)

Hardware replacement programme – better planning
Disposal – better process to ensure kit re-use.

Recommendation: Generate a more intelligent Hardware replacement programme which is based on needs, planned changes and reusing and reducing the volume of hardware purchased. Identify profile of hardware based on applications (e.g. Lagan, QL, Academy, etc).

Starters and Leavers
Recommendation: develop a better process for starters and leavers

Inventory – not centralised, not kept up to date.

No track when equipment is handed in to ICS

4.5.2 Printing

Danwood contract not providing value for money does not meet the needs of the council. Key area of irritation amongst users
External and internal print jobs. The contract is not flexible or based on usage.

5. Action Plan – AK/PK

Ref	Action	Priority	Owner	Timescale	Resources	Outcome(s)
	Ref to Appendix A					

Appendix 1 – Application List

The table below lists the applications used within Charnwood. In some cases, there is a difference between the application itself and the interfaces or extensions that have been subsequently developed. These areas have been separated out to provide greater detail.

Application name	Approx No Users	Language	Supplier
A&L Commercial Bank Account Manager (Girobank)	3		Girobank PLC
Agreements	<5	MS Access	ICS
Agresso	>300	Seachange	Agresso
Anti Social Behaviour web enabled	<20		
Asbestos Recording	>10	MS Access	ICS
Avaya Definity telephone system			IP Integration
Bacway Enterprise	10-15	VB & Access	Microgen Telesmart
Bailiff System	4	MS Access	ICS
Brought Forwards	<5	MS Access	ICS
Cadcorp Spatial Information (GIS) System	25	VB	Cadcorp Ltd
Card Box	<5		Decoder Software Ltd
Cardiac Directory	<5	MS Access	ICS

Application name	Approx No Users	Language	Supplier
Cash Management	<10	Cobol 6.09.02	ICS
Cesspools Emptying	<5	MS Access	ICS
Citrix Summary		SQL DB	ICS
Company/Web System		MS Access	ICS
Core Legal Case Management (OMS)	up to 15	VB / Access database	FWBS Limited
Council Tax	>50	Ingres II	Capita Ltd
Create Forms	3		Create!form International Inc
CSC Receipts	>5	MS Access	ICS
DataBox (Town Hall Booking)	5/6		Tickets.com
Decent Homes		Access2000	NBA Consortium Services Ltd
Document Management	>50	Sql Servr	Hummingbird
Eforms & online bookings		.NET	Buisness Web \ In house
Electoral Registration (MVM Pickwick)	<5	Pick (C# released end 05)	MVM Consultants PLC
Empty Property System	<5	MS Access	ICS
e-payments			Capita
Flare Env. Health	25		Flare

Application name	Approx No Users	Language	Supplier
			Software Systems Ltd
Flextime System	>200	VB6/SQL Server	ICS
GP Referral	<5	MS Access	ICS
Greener Garden Waste Scheme	<20	VB6/SQL Server	ICS
Hexagon	<10	SQL database	HSBC plc
Housing Benefits	>50	Ingres II	Capita Ltd
Housing Management System (QL)	+100	Uniface/VB6	Aareon UK Ltd
Insurance System (QLAS)	<5	Access2000	Quantum Loss Analysis Software
Internet			Cuttlefish
Intranet Sharepoint			Microsoft
IPF Asset Manager	5	SQL Server	IPF Ltd.
Job Sheets	<5	MS Access	ICS
Lagan CRM	40-50		Steria
Land and Property Gazeteer	<5	Oracle	MVM Consultants PLC
Land Charges	<5		MVM Consultants PLC
Licensing	<10	Access2000	Swift LG
LLPG Extract Database		MS Access/SQL Server	ICS
Mayoralty Mailing	4	MS Access	ICS

Application name	Approx No Users	Language	Supplier
List			
Midland HR & Payroll	>600	CTREE ?	Midland Software
Network Box			Network Box Defence
Mortgage System	<5		Associated Consultants Limited
MS Exchange			Microsoft
MS SQL Server 2000/2005			Microsoft
MVM 2020 suite (Planning)	115	Oracle	MVM Consultants PLC
NNDR	<5	Ingres II	Capita Ltd
Parking Fines	<10		Langdale Systems Ltd
Paye.net / AIM	<20		Capita Ltd
Policy & Strategy List		MS Access	ICS
Preferential Parking Scheme	<10	MS Access	ICS
Private Sector Leasing (Sublet)	<10	MS Access/SQL Server	ICS
Proteus Telephone Logging System			CTI Data Solutions LTD
Redundant Cheque	2	MS Access	ICS
Right to Buy	<5	MS Access	ICS

Application name	Approx No Users	Language	Supplier
Snap			Snap Surveys
South Charnwood Swimming	3	MS Access	ICS
Sports Booking System	<5	MS Access/SQL Server	ICS
Sports Org's	<5	MS Access	ICS
Staff Car Parking Permit	2	MS Access	ICS
Standing Orders (Income)	2	MS Access	ICS
Standing Orders (Rents)	4	MS Access	ICS
Systems Link Energy Monitoring	<5	VB6/Access2000 DB	Systems Link
Tel Mess & Fax	<10	MS Access	ICS
Terrier	<5	MS Access	ICS
TouchPaper Helpdesk	>10		TouchPaper
Uniq/ColumbusOM	<5		Macro 4 PLC
Virus Scanner			McAfee
Visits (Homeless)	<20	MS Access	ICS

Appendix 2 – ICS Project List

Project	Intended Outcome/Benefits	Current Status	Start date	End date	Estimate (ballpark)	Capital Costs	Project Documentation		
							Bus Case	PID	Proj Plan
Revs & Bens to Capita - impact on existing ICS services	Clear understanding of decision to outsource services and it's corporate implications on ICS	This is on hold until a clear timeline for the outsource of Benefits and revenues has been agreed.			10 days - to understand scope	N/A	N	N	N
EU Services Directive	Provision of various on-line forms for Licensing, Legal and Env Services	Requirements have not been specified, and no work on identifying the proposed solution has taken place.		Jan-10	10 - 20 days - to understand scope	N/A	N	N	N
Cash Management System	Improve user interface, remove Cobol licences, increase capacity of Cash Management, remote ICS SUN1	On hold partly because of outsourcing and ownership from Accountancy or Customer Services. Awaiting requirements			10 - 40 days	95% already paid	N	N	N
Touchpaper, Landesk replacement, - System Centre Configuration Manager	ITIL compliant, Bigger user base, enhanced software and hardware asset management functionality	Need has been identified. Need to develop the business case (even if internal only)	3 months		20 - 40 days for the procurement		N	N	N

Project	Intended Outcome/Benefits	Current Status	Start date	End date	Estimate (ballpark)	Capital Costs	Project Documentation		
							Bus Case	PID	Proj Plan
(SCCM) for software/hardware asset Mgt									
T-Mobile contract renewal/revision	Procurement compliance, Reduced cost, Better service and mobile network coverage	Contract up for renewal in September. Users dissatisfied with coverage.	Jul-09	Sep-09	10 days (procurement), 50 days (implement)	£15K p.a.	N	N	N
E-Mail Archiving	Greater storage capacity for e-mails - reduce the use of more expensive storage	Not started	6 months		3 - 5 days (business case)	£15 - 20K	N	N	N
Migrate CNH users to New Domain	Sharepoint Security	Tested, awaiting delivery of Sharepoint and physical changes to CNH desktops. Needs a political decision to implement as CNH are strongly resistant.		Jul-09	tbd	N/A	N	N	N
Network Enhancement - Migrate Legacy 89.x.x.x servers to 172.x.x.x	Remove Legacy devices			Dec-09	20 - 30 days	£2,000	N	N	N
Migrate User Storage to new	Remove unsupported or expired hardware			Jul-09	5 - 10 days	N/A	N	N	N

Project	Intended Outcome/Benefits	Current Status	Start date	End date	Estimate (ballpark)	Capital Costs	Project Documentation		
							Bus Case	PID	Proj Plan
Data Server (SAN)									
Migrate all SQL databases to new cluster & decommission old cluster	Remove unsupported or expired hardware			Jul-09	40 - 60 days	N/A	N	N	N
Decommission old SAN	Remove unsupported or expired hardware	dependent on Migrate all SQL database project		Aug-09	tbd	N/A	N	N	N
Decommission old AD server (lboro3)	Remove unsupported or expired hardware			Aug-09	10 days	N/A	N	N	N
Becrypt ConnectProtec for Desktops and Laptops	Secure USB devices	Needs a business case. Also need to learn some lessons from roll out of BeCrypt.		Sep-09	tbd	N/A	N	N	N
Decommission Sharepoint 2003		Dependent on Implement Sharepoint 2007 project		ASAP					
Data Storage and Backup	Provide off-site storage compliant with Business Continuity			ASAP	tbd	N/A	N	N	N
HBrentAcc	Cure a problem where script is losing records in Academy				10 days				

Project	Intended Outcome/Benefits	Current Status	Start date	End date	Estimate (ballpark)	Capital Costs	Project Documentation		
							Bus Case	PID	Proj Plan
Chip and Pin	Allows Customer Service to take payments	Completed							
GIS interface with LAGAN					25 days				
LLPG					20 days				
Gov Connect	To implement a secure network facility which will effectively enable secure exchange of RESTRICTED data (including emails). This will initially apply to the Benefits service. Details of the project are listed on -		Dec-08	Dec-09	30 - 40 days	£10k	N	N	Y
Exchange Upgrade		Completed							
Service Restructure									
Service Improvement survey									
Agresso 5.5 upgrade		Will require large scale changes including upgrade to SQL*Server 2007							

Project	Intended Outcome/Benefits	Current Status	Start date	End date	Estimate (ballpark)	Capital Costs	Project Documentation		
							Bus Case	PID	Proj Plan
Trent 10.0 upgrade		Not yet cost effective to get upgrade. Awaiting further improvements in functionality from Midland.							
Implement Sharepoint 2007	Effectively manage, share, reuse and increase the value of information. Improve internal communication. Improve productivity by simplifying everyday business activity	Does this need a business case?	Aug-09	Dec-09	30 days	£10k	N	N	N
CRM phase 3 rollout	Improve access to customer information and improved business processes resulting in enhanced customer satisfaction.	Needs some clarity about the requirements	Sep-09		tbd		N	N	N

Project	Intended Outcome/Benefits	Current Status	Start date	End date	Estimate (ballpark)	Capital Costs	Project Documentation		
							Bus Case	PID	Proj Plan
Procurement of a process mapping/ Business Analysis tool	Clear definition of the organisation's processes and an agreement in which they work. Simplification and improvement of processes with identification and elimination of redundant and incorrect activities.		Oct-09		10 days to procure	Setup £25-£30k	N	N	N
QL post implementation issues			Sep-09				Y	Y	N
CNH - setup separate Intranet site	Effectively manage, share, reuse and increase the value of information. Improve internal communication. Improve productivity by simplifying everyday business activity						N	N	N
Choice Based Lettings	Implement a new lettings process	Programme has just began					N	N	N

February 2009					
Total Calls Logged on Help Desk	**955**				
Number of Revs & Bens Calls	**96**	**10.1**	**% of Total Calls logged**		
		% of Revs & Bens call Total			% of Revs & Bens s/w calls
Software	16	16.7			
			Academy	5	31.3
			Other	11	68.8
Hardware	12	12.5			
Security	7	7.3			
Ops	56	58.3			
RFC	3	3.1			
Network	2	2.1			
Phones	0	0.0			

March 2009					
Total Calls Logged on Help Desk	**1065**				
Number of Revs & Bens Calls	**106**	**10.0**	**% of Total Calls logged**		
		% of Revs & Bens call Total			% of Revs & Bens s/w calls
Software	13	12.3			
			Academy	4	30.8
			Other	9	69.2
Hardware	7	6.6			
Security	7	6.6			
Ops	64	60.4			
RFC	10	9.4			
Network	1	0.9			
Phones	4	3.8			

April 2009					
Total Calls Logged on Help Desk	**989**				
Number of Revs & Bens Calls	**102**	**10.3**	**% of Total Calls logged**		
		% of Revs & Bens call Total			% of Revs & Bens s/w calls

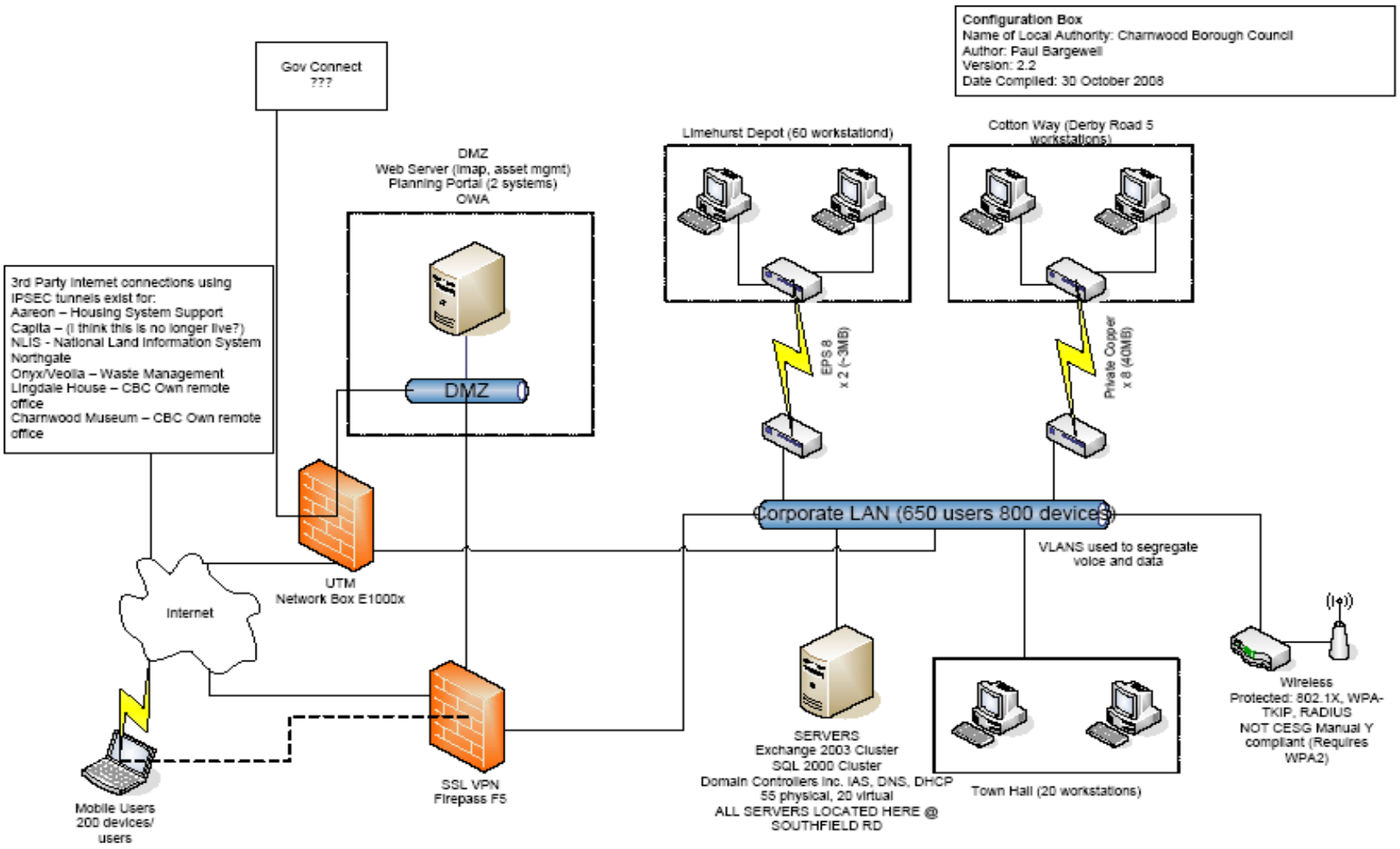
Software	19	18.6			
			Academy	2	10.5
			Other	17	89.5
Hardware	2	2.0			
Security	6	5.9			
Ops	58	56.9			
RFC	15	14.7			
Network	0	0.0			
Phones	2	2.0			

May 2009					
Total Calls Logged on Help Desk	**844**				
Number of Revs & Bens Calls	**82**	**9.7**	**% of Total Calls logged**		
		% of Revs & Bens call Total			% of Revs & Bens s/w calls
Software	8	7.84			
			Academy	1	12.5
			Other	7	87.5
Hardware	8	7.84			
Security	4	3.92			
Ops	52	50.98			
RFC	8	7.84			
Network	2	1.96			
Phones	0	0.00			

June 2009					
Total Calls Logged on Help Desk	**1115**				
Number of Revs & Bens Calls	**158**	**14.2**	**% of Total Calls logged**		
		% of Revs & Bens call Total			% of Revs & Bens s/w calls
Software	31	19.62			
			Academy	10	32.3
			Other	21	67.7
Hardware	24	15.19			
Security	20	12.66			
Ops	58	36.71			
RFC	16	10.13			
Network	7	4.43			
Phones	2	1.27			

July 2009					
Total Calls Logged on Help Desk	**1034**				
Number of Revs & Bens Calls	**90**	**8.7**	**% of Total Calls logged**		

		% of Revs & Bens call Total			% of Revs & Bens s/w calls
Software	12	13.33			
			Academy	4	33.3
			Other	8	66.7
Hardware	24	26.67			
Security	4	4.44			
Ops	32	35.56			
RFC	16	17.78			
Network	1	1.11			
Phones	1	1.11			


Configuration Box
Name of Local Authority: Charnwood Borough Council
Author: Paul Bargewell
Version: 2.2
Date Compiled: 30 October 2008
Gov Connect
???
DMZ
Web Server (imap, asset mgmt)
Planning Portal (2 systems)
OWA
DMZ
Limehurst Depot (60 workstationd)
Cotton Way (Derby Road 5 workstations)
3rd Party Internet connections using IPSEC tunnels exist for:
Aareon – Housing System Support
Capita – (I think this is no longer live?)
NLIS - National Land Information System
Northgate
Onyx/Veolia – Waste Management
Lingdale House – CBC Own remote office
Charnwood Museum – CBC Own remote office
EFS 8 x 2 (~3MB)
Private Copper x 8 (40MB)
Corporate LAN (650 users 800 devices)
VLANS used to segregate voice and data
UTM
Network Box E1000x
Internet
SSL VPN
Firepass F5
SERVERS
Exchange 2003 Cluster
SQL 2000 Cluster
Domain Controllers inc. IAS, DNS, DHCP
55 physical, 20 virtual
ALL SERVERS LOCATED HERE @ SOUTHFIELD RD
Town Hall (20 workstations)
Wireless
Protected: 802.1X, WPA-TKIP, RADIUS
NOT CESG Manual Y compliant (Requires WPA2)
Mobile Users
200 devices/ users

Appendix 5 - Server List

Server Name	Rack Number	Virtulise Y/N	Server Type	Description	Applications
RKYVWFLOWSRVR	**Rack 1**		DELL PC		
CRMINFOSRVR	**Rack 1**	**N**	PowerEdge 2800	Contact Centre Knowledgebase	Contact Centre Knowledgebase
LOCTA	**Rack 1**	**N (DMZ)**	DELL PC	Revenues Locta Server	
TICKETS.COM	**Rack 1**	**N**	DELL PC	Town Hall Ticket Booking System	Databox
CORPDIPSRVR OCR	**Rack 1**	**N**	Stone PC	Text recognition for Document Management System	OCR Text Recognition
ADLIBSRVR	**Rack 1**	**N**	Stone PC	Converts Scanned Documents From V9 Dips to PDF Documents	
WORPLNSRVR	**Rack 2**	**N**	Compaq Proliant	Works Server	Uniclass and Datastox
PLNDATSRVR	**Rack 2**	**N**	PowerEdge 6650	Oracle GIS & Planning	
VMVC01	**Rack 2**	**N/A**	PowerEdge 2850	VmWare Server Virtual Centre	VMware Control Centre
VMSVR02	**Rack 3**	**N/A**	PowerEdge 2950	VMware Server	ESX3 VMware
ALMOSRVR1	**Rack 3**		PowerEdge 1950		
VMSVR04	**Rack 3**	**N/A**	PowerEdge 2950	VMware Server	ESX3 VMware
VMVCB01	**Rack 3**	**N/A**	PowerEdge 2850	VMware Backup Server	
SQLREPSRVR	**Rack 3**	**N**	PowerEdge 2950	New SQL Reporting Server	Server 2008
SQLSRVR3	**Rack 3**	**N**	PowerEdge 2950	New SQL Cluster Server 3	SQL 2005, Server 2008
PLANSRVR1 (NEW)	**Rack 3**	**N**	PowerEdge 2850	New Planning Server	MVM
SVR5031	**Rack 3**	**Y**	PowerEdge 2650	SCCM System Centre Configuration Manager	Helpdesk, Landesk
DIPSSRVR2	**Rack 3**	**N**	PowerEdge 1950	Document Image Processing (Council Tax)	RKYV v8

Server Name	Rack Number	Virtulise Y/N	Server Type	Description	Applications
ALMOSRVR1	**Rack 3**	**N**	PowerEdge 1950		Opti Time
VMSVR01	**Rack 4**	**N/A**	PowerEdge 2950	VMware Server	ESX3 VMware
VMSVR03	**Rack 4**	**N/A**	PowerEdge 2950	VMware Server	ESX3 VMware
HMS6677	**Rack 4**	**N**	PowerEdge 2950	Almo Housing System	QL Lagan
MOSS1SRVR	**Rack 4**	**N**	PowerEdge 2950	Microsoft Office Sharepoint 2007	MOSS 2007
MOSS2SRVR	**Rack 4**	**N**	PowerEdge 2950	Microsoft Office Sharepoint 2007	MOSS 2007
CNHCRMSRVR	**Rack 4**	**N**	Power Edge 1950		
SQLSRVR2	**Rack 4**	**N**	PowerEdge 2950	New SQL Cluster Server 2	SQL 2005, Server 2008
CITRIXSRVR	**Rack 5**	**N**	PowerEdge 1950	Citrix Server	Citrix
CITRIXSRVR2008	**Rack 5**	**N**	PowerEdge 750	Citrix Test Server	
PLNPORSRVR	**Rack 5**	**N (DMZ)**	PowerEdge 4400	Planning Portal Server	
HBCTSRVR	**Rack 5**		Sunfire V445	Academy Server	Academy Revenues Server
SQLSRVR1	**Rack 5**	**N**	PowerEdge 6400	SQL Database Server	SQL 2000
BARROW	**Rack 7**	**Y**	PowerEdge 2650	Electoral Registration Server	Express Electoral Registration
LBORO3	**Rack 7**	**N**	PowerEdge 750	Domain Controller & Radius Server DHCP	Windows Server 2003
QUORN	**Rack 7**	**Y ?**	PowerEdge 2850	Agresso Test Server (Entire system including database & Web Server)	Agresso
REARSBY1	**Rack 7**	**N**	PowerEdge 2850	Sharepoint	Microsoft Sharepoint
REARSBY2	**Rack 7**	**N**	PowerEdge 2850	Sharepoint	Microsoft Sharepoint
SYSTON2	**Rack 7**	**N**	PowerEdge 2850	SQL 2000 Cluster Servers (Dynamic Failover & Manual Load Balancing)	
SYSTON1	**Rack 7**	**N**	PowerEdge 2850	SQL 2000 Cluster Servers (Dynamic Failover & Manual Load Balancing)	
EASTGOS	**Rack 7**	**N**	PowerEdge 2850	Flare Server	Flare
BIRSTALL1	**Rack 7**	**N**	PowerEdge 2800	Tivoli Backup Server	Tivoli
REARSBY3	**Rack 7**	**N**	PowerEdge 2800	Sharepoint & Microsoft VPN RRAS	Microsoft Sharepoint, Windows 2003, Auto shutdown Pc's (C:\scripts),

Server Name	Rack Number	Virtulise Y/N	Server Type	Description	Applications
					Syslog,
QUORN2	**Rack 7**	**Y ?**	PowerEdge 1850	Agresso Live Web Server	Agresso
QUORN3	**Rack 7**	**N**	PowerEdge 1850	Agresso Live Business Sever (Application Server)	Agresso
ACHIEVEFORM	**Rack 9**	**Y**	PowerEdge 1850		
CBCNAS001	**Rack 9**	**N/A**	Nasbox	Data Storage for Ghost Images & Sharepoint Backup	
TRENTSRVR	**Rack 9**	**N**	PowerEdge 2850	Payroll System	Trent Payroll System
CBCNAS002	**Rack 9**	**N/A**	Nasbox	Data Storage for Ghost Images & Sharepoint Backup	
GCSX HP Server	**Rack 9**	**N**	HP Server		
M3WEBSRVR	**Rack 9**	**N**	PowerEdge 1950		New Planning Web Server
M3PLANSRVR	**Rack 9**	**N**	PowerEdge 2950		New Planning M3 Server
CBCWEBSRVR	**Rack 9**	**N (DMZ)**	PowerEdge 1950	Corporate Web Server	
GISSRVR2	**Rack 9**	**N**	PowerEdge 2850	Geographical Information	Cadcorp
CORPDIPSRVR	**Rack 9**	**N**	IBM eServer xseries 255	Document Image Processing Server (Corporate)	Corporate Document Management Software
CORPDIPSRVRDMZ	**Rack 9**	**N**	IBM eServer xseries 255	Document Image Processing Server (Corporate)	Corporate Document Management Software
Unix Boxes					
HMS6677			Pro 200	Old Housing System	Simdell
ICSSUN1			Sun Enterprise 250	Cash Management & Cobol Source code	Internally Developed System
HBCTSUN			Sun Enterprise 450	Redundant	Redundant
PNC5SERVER	**Lifeline**	**N**	PowerEdge 2950	Phone Logging System	PNC DB
CTISERVER1	**Lifeline**	**N**	PowerEdge 2900	Phone Logging System	PNC

Server Name	Rack Number	Virtulise Y/N	Server Type	Description	Applications
VMware Servers					
ACCNTSRVR				Accountancy Server Cash Office System	
ALMOTESTSRVR				Almo Test Server	Lagan Test System
BACSSRVR				Bacway Enterprise Software	
BECRYPT				Disk Protect and Connect Protect Encryption	Becrypt
BIZTALKSRVR				Biztalk 2006	
CAPITASRVR				Pay.Net, Access Income Manager, Aim	
CBCDATASRVR				Home Drive and Department Store Server	
CBCPRINT01				Printer Server for Danwood Printers	Ringdale & HP Jetdirect
CBCSTEN				Ten Performance Monitoring	
CLSQLRPTS				Core Legal SQL Server	OMS
CLSRVR2				Core Legal Application Server	OMS Application
CRMLIVESRVR				Contact Centre CRM Live Server (Lagan)	Lagan
CRMTESTSRVR				Contact Centre CRM Test Server (Lagan)	Lagan
CRMWEBSRVR				Contact Centre CRM Web Server	
DELLMANSRVR				Dell Open Manage	
DELLOPENMANSRVR				Dell Open Manage	
EPOSRVR				Mcafee Epolicy Orchestrator Server v4.0.0	Mcafee Epolicy Orchestrator V4
LBORO4				Domain Controller	
LICENSRVR				Licensing Server (Swift)	Swift
LNXDEV				Linux Development	
NAGIOS				Server Monitoring System (Linux)	

Server Name	Rack Number	Virtulise Y/N	Server Type	Description	Applications
NT_MAIN1				Helpdesk & Landesk	Touchpaper Helpdesk 6.7 and Landesk 8.5
PRNTSRVR2				Printing Forms & Queue for Ops Jobs	Createforms, Columbus OM
RSASRVR				RSA Authentication Server	RSA SecurID
SHAREPOINT2007				Microsoft Sharepoint	Sharepoint
SQLRPTS				SQL 2005 Reporting Services	SQL 2005
TESTCAPITASRVR				Pay.Net, Access Income Manager, Aim	
TRENTDEVSRVR				Payroll System	Trent
V9DIPSRVR				Corporate Document Management System V9	RKYV V9
VMEPICENTER				Extreme Network Management (Epicentre	Epicentre
VMSQL				SQL 2005 Server (Full)	SQL 2005

Appendix 6 – Danwood Printing Contract Revenues

Type	Cost Code	Volume	Sub-Tot	CBC Tots	CBC Readings	Contract Copies	Sub Tot / Contract
Period 1st Nov 2008 - 31st Jan 2009							
Evergreen	D105	43899					
	D110	3069					
	D200	46907	93875	811769			
In-House	D105	13620					
	D110	0					
	D200	38500	52120	73845			
Ops	D105	80098					
	D110	2017					
	D200	92964	175079	186793			
	Totals		**321074**	**1072407**	**1347249**	**1252332**	**25.64%**
Period 1st Feb 2009 - 30th Apr 2009							
Evergreen	D105	44550					
	D110	4449					
	D200	60802	109801	879435			
In-House	D105	14175					
	D110	22250					

	D200	1000	37425	135560			
Ops	D105	102001					
	D110	7331					
	D200	95563	204895	221362			
	Totals		**352121**	**1236357**	**1391798**	**1415071**	**24.88%**

Period 1st May 2009 - 31st July 2009

Evergreen	D105	0					
	D110	0					
	D200	0	0				
In-House	D105	0					
	D110	0					
	D200	0	0				
Ops	D105	0					
	D110	0					
	D200	0	0				
	Totals		**0**	**0**		**1524161**	**0.00%**

Appendix 7 – Details of the ITIL v2 framework

7.1 Service Support

The Service Support[5] ITIL discipline is focused on the *User* of the ICT services and is primarily concerned with ensuring that they have access to the appropriate services to support the business functions.
To a business, customers and users are the entry point to the process model. They get involved in service support by:

- Asking for changes
- Needing communication, updates
- Having difficulties, queries.
- Real process delivery

The service desk is the single contact point for customer's problems. If there is a direct solution, it tries to resolve the problem. If not, it creates an incident. *Incidents* initiate a chain of processes: Incident Management, Problem Management, Change Management, Release Management and Configuration Management (see following sections for details). This chain of processes is tracked using the Configuration Management Database (CMDB), which records each process, and creates output documents for traceability (Quality Management).

7.1.1 Service Desk / Service Request Management

Tasks include handling incidents and requests, and providing an interface for other ITSM processes.

- Single Point of Contact (SPOC) and not necessarily the First Point of Contact (FPOC)
- There is a single point of entry and exit
- Easier for Customers
- Data Integrity
- Communication channel is streamlined

The primary *functions* of the Service Desk are:

- Incident Control: life cycle management of all Service Requests
- Communication: keeping the customer informed of progress and advising on workarounds

The Service Desk function is known under various names .

- *Call Center*: main emphasis on professionally handling large call volumes of telephone-based transactions
- *Help Desk*: manage, co-ordinate and resolve incidents as quickly as possible

- *Service Desk*: not only handles incidents, problems and questions but also provides an interface for other activities such as change requests, maintenance contracts, software licenses, service level management, configuration management, availability management, Financial Management and IT Services Continuity Management

The three *types* of structure that can be considered are:

- *Local Service Desk*: to meet local business needs - is practical only until multiple locations requiring support services are involved
- *Central Service Desk*: for organizations having multiple locations - reduces operational costs and improves usage of available resources
- *Virtual Service Desk*: for organizations having multi-country locations - can be situated and accessed from anywhere in the world due to advances in network performance and telecommunications, reducing operational costs and improving usage of available resources

7.1.2 Incident Management

The goal of Incident Management is to restore normal service operation as quickly as possible and minimize the adverse effect on business operations, thus ensuring that the best possible levels of service quality and availability are maintained. 'Normal service operation' is defined here as service operation within Service Level Agreement (SLA) limits.

7.1.3 Problem Management

The goal of 'Problem Management' is to resolve the root cause of incidents and thus to minimize the adverse impact of incidents and problems on business that are caused by errors within the IT infrastructure, and to prevent recurrence of incidents related to these errors. A `problem' is an unknown underlying cause of one or more incidents, and a `known error' is a problem that is successfully diagnosed and for which either a work-around or a permanent resolution has been identified. The CCTA defines problems and known errors as follows:

> *A **problem** is a condition often identified as a result of multiple Incidents that exhibit common symptoms. Problems can also be identified from a single significant Incident, indicative of a single error, for which the cause is unknown, but for which the impact is significant.*
>
> *A **known error** is a condition identified by successful diagnosis of the root cause of a problem, and the subsequent development of a Work-around.*

Problem management is different from *incident management*. The principal purpose of *problem management* is to find and resolve the root cause of a problem and prevention of incidents; the purpose of *incident management* is to return the service to normal level as soon as possible, with smallest possible business impact.

The problem management process is intended to reduce the number and severity of incidents and problems on the business, and report it in documentation to be available for the first-line and second line of the help desk. The proactive process identifies and resolves problems before incidents occur. These activities are:

- Trend analysis;
- Targeting support action;

- Providing information to the organization.

The *Error Control Process* is an iterative process to diagnose known errors until they are eliminated by the successful implementation of a change under the control of the Change Management process.
The *Problem Control Process* aims to handle problems in an efficient way. Problem control identifies the root cause of incidents and reports it to the service desk. Other activities are:

- Problem identification and recording;
- Problem classification;
- Problem investigation and diagnosis.

The standard technique for identifying the root cause of a problem is to use an *Ishikawa diagram*, also referred to as a cause-and-effect diagram, tree diagram, or fishbone diagram. A brainstorming session—in which group members offer product improvement ideas—typically results in an Ishikawa diagram. For problem-solving, the goal is to find causes and effects of the problem.

Ishikawa diagrams can be defined in a meta-model.

First there is the main subject, which is the backbone of the diagram that we are trying to solve or improve. The main subject is derived from a cause. The relationship between a cause and an effect is a double relation: an effect is a result of a cause, and the cause is the root of an effect. But there is just one effect for several causes and one cause for several effects.

7.1.4 Change Management

The goal of Change Management is to ensure that standardized methods and procedures are used for efficient handling of all changes,
Main article: Change Management (ITSM)
A change is “an event that results in a new status of one or more configuration items (CI's)” approved by management, cost effective, enhances business process changes (fixes) - with a minimum risk to IT infrastructure.
The main aims of Change Management are:

- Minimal disruption of services
- Reduction in back-out activities
- Economic utilization of resources involved in the change

Change Management Terminology

- *Change*: the addition, modification or removal of CIs
- *Request for Change (RFC)*: form used to record details of a request for a change and is sent as an input to Change Management by the Change Requestor

- *Forward Schedule of Changes (FSC)*: schedule that contains details of all forthcoming Changes

7.1.5 Release Management

Release Management is used for platform-independent and automated distribution of software and hardware, including license controls across the entire IT infrastructure. Proper software and hardware control ensures the availability of licensed, tested, and version-certified software and hardware, which functions as intended when introduced into existing infrastructure. Quality control during the development and implementation of new hardware and software is also the responsibility of Release Management. This guarantees that all software meets the demands of the business processes. The goals of release management are:

- Plan the rollout of software
- Design and implement procedures for the distribution and installation of changes to IT systems
- Effectively communicate and manage expectations of the customer during the planning and rollout of new releases
- Control the distribution and installation of changes to IT systems

The focus of release management is the protection of the live environment and its services through the use of formal procedures and checks.

Release Categories

A Release consists of the new or changed software and/or hardware required to implement approved changes
Releases are categorized as:

- Major software releases and hardware upgrades, normally containing large amounts of new functionality, some of which may make intervening fixes to problems redundant. A major upgrade or release usually supersedes all preceding minor upgrades, releases and emergency fixes.
- Minor software releases and hardware upgrades, normally containing small enhancements and fixes, some of which may have already been issued as emergency fixes. A minor upgrade or release usually supersedes all preceding emergency fixes.
- Emergency software and hardware fixes, normally containing the corrections to a small number of known problems.

Releases can be divided based on the release unit into:

- Delta Release: is a release of only that part of the software which has been changed. For example, security patches.
- Full Release: means the entire software program is deployed—for example, a new version of an existing application.
- Packaged Release: is a combination of many changes—for example, an operating system image which also contains specific applications.

7.1.6 Configuration Management

Configuration Management is a *process* that tracks all individual Configuration Items (CI) in a system.
Main article: Configuration Management (ITSM)

7.2 Service Delivery

The Service Delivery [6] discipline is primarily concerned with proactive services the ICT must deliver to provide adequate support to business users. It focuses on the business as the *customer* of the ICT services (compare with: Service Support). The discipline consists of the following processes, explained in subsections below:

- Service Level Management
- Capacity Management
- IT Service Continuity Management
- Availability Management
- Financial Management

7.2.1 Service Level Management

Service Level Management provides for continual identification, monitoring and review of the levels of IT services specified in the service level agreements (SLAs). Service Level Management ensures that arrangements are in place with internal IT Support Providers and external suppliers in the form of Operational Level Agreements (OLAs) and Underpinning Contracts (UCs). The process involves assessing the impact of change upon service quality and SLAs. The service level management process is in close relation with the operational processes to control their activities. The central role of Service Level Management makes it the natural place for metrics to be established and monitored against a benchmark. Service Level Management is the primary interface with the customer (as opposed to the user, who is serviced by the Service Desk). Service Level Management is responsible for

- ensuring that the agreed IT services are delivered when and where they are supposed to be
- liaising with Availability Management, Capacity Management, Incident Management and Problem Management to ensure that the required levels and quality of service are achieved within the resources agreed with Financial Management
- producing and maintaining a Service Catalog (a list of standard IT service options and agreements made available to customers)
- ensuring that appropriate IT Service Continuity plans have been made to support the business and its continuity requirements.

The Service Level Manager relies on the other areas of the Service Delivery process to provide the necessary support which ensures the agreed services are provided in a cost effective, secure and efficient manner.

7.2.2 Capacity Management

Capacity Management supports the optimum and cost effective provision of IT services by helping organizations match their IT resources to the business demands. The high-level activities are Application Sizing, Workload Management, Demand Management, Modelling, Capacity Planning, Resource Management, and Performance Management.

7.2.3 IT Service Continuity Management

IT Service Continuity Management is the process by which plans are put in place and managed to ensure that IT Services can recover and continue should a serious incident occur. It is not just about reactive measures, but also about proactive measures - reducing the risk of a disaster in the first instance.
Continuity management is regarded as the recovery of the IT infrastructure used to deliver IT Services, but many businesses these days practice the much further reaching process of Business Continuity Planning (BCP), to ensure that the whole end-to-end business process can continue should a serious incident occur.
Continuity management involves the following basic steps:

- Prioritising the businesses to be recovered by conducting a Business Impact Analysis (BIA)
- Performing a Risk Assessment (aka Risk Analysis) for each of the IT Services to identify the assets, threats, vulnerabilities and countermeasures for each service.
- Evaluating the options for recovery
- Producing the Contingency Plan
- Testing, reviewing, and revising the plan on a regular basis

7.2.4 Availability Management

Availability Management allows organizations to sustain the IT service availability to support the business at a justifiable cost. The high-level activities are Realize Availability Requirements, Compile Availability Plan, Monitor Availability, and Monitor Maintenance Obligations.
Availability Management is the ability of an IT component to perform at an agreed level over a period of time.

- Reliability: how reliable is the service? Ability of an IT component to perform at an agreed level at described conditions.
- Maintainability: The ability of an IT Component to remain in, or be restored to an operational state.
- Serviceability: The ability for an external supplier to maintain the availability of component or function under a third party contract.
- Resilience: A measure of freedom from operational failure and a method of keeping services reliable. One popular method of resilience is redundancy.
- Security: A service may have associated data. Security refers to the confidentiality, integrity, and availability of that data. Availability gives us the clear overview of the end to end availability of the system. more

7.2.5 Financial Management for IT Services

IT Financial Management is the discipline of ensuring that the IT infrastructure is obtained at the most effective price (which does not necessarily mean cheapest) and calculating the cost of providing IT services so that an organisation can understand the costs of its IT services. These costs may then be recovered from the customer of the service.