INFORMATION SYSTEMS

METHOD STATEMENT

Contents

CAPITA

1 VISION

1.1 OVERARCHING VISION

Our overarching service vision is one where Capita's support to Barnet extends beyond the NSCSO scope, enabling Barnet to be recognised as a Borough where the supply of services are owned by those who live and work here, and where citizens, staff, business and the community are aware of and participate in an environment of opportunity and success.

To achieve this we will enable citizens and customers to live in sustained and supported independence, as Insight allows people's individuality to be understood, recognised and reflected in getting the help they need, in the manner they need it and within the financial constraints they understand. Customers will become co-designers, shaping relevant and valued services as well as being willing partners in delivery, helping us to build on what already works in Barnet, working with existing organisations to improve their capacity, rather than creating our own. This allows us to provide the infrastructure to deliver a One Public Sector single solution through unified customer interaction and an integrated supply EcoSystem, extending beyond Council services to interaction with the wider public sector.

In the future the Council will be unique in the public sector, recognised as a business-led and truly customer-focussed organisation, all staff, suppliers and delivery partners feeling supported and informed as they work to achieve their best for citizens - whether that be through continually improving existing services or helping to design new services to meet new emerging needs.

Delivering the Overarching Vision

As Barnet's trusted NSCSO Service Provider, we will deliver a step change in service delivery and customer experience so that interactions with Customers (be they Citizens, Barnet Businesses, Voluntary Organisations, Suppliers, Members or Council Employees) are valued and easy to complete. To do this, we have defined 3 key over-arching design objectives for the NSCSO:

- **Build Service Delivery Differently** – Create a new service delivery paradigm to change the customer relationship. Enable multi-channelled delivery and the ability to bundle services in ways that relate to and are valued by Customers and puts them at the heart of service delivery

- **Manage Service Delivery Differently** – Transform the way Customers interact with our services (and the Council) by transferring control to them. A new level of transparency, rapid process improvements and built-in deeper levels of Insight are inherent in this approach

- **Maximize Efficiencies Differently** – Changing the way Customers interact will impact how services can and should be delivered.

These three design principles are underpinned by two of our key solution capabilities - insight and co-design.

Our IS Service will be informed by insight. By drawing on analysis of technology usage, we will support you in making evidence-based strategic IS decisions, for example:

- Unlocking the value of social tools to align how staff work with how they operate in their private life

    - Reducing the time spent reading and sending emails and in internal meetings

    - Increasing the time spent focusing on the customer

- Exploiting our enterprise search investment and Google apps to get people working better together

    - Creating shared workspaces for teams

    - Collaborating across multiple Delivery Units, both internal and external

- Driving system consolidation and integration to reduce complexity and get the right information in the right place at the right time to allow the Council to be more effective

- Exploiting 'Bring Your Own Device' to lower the Council's refresh costs

- Identifying opportunities to leverage our investments in process automation (BPM layer) to lower costs for delivery units e.g. automating some labour intensive Social Care support activities

We will then employ co-design to ensure that end-customers (whether internal or external to the Council) experience value from the IS they interact with. Co-design is a participative design process that puts customers at the heart of the service design process. We will develop a detailed understanding of customer needs relating to IS, working with them to identify the issues they currently encounter, as well as any opportunities for IS to better serve them. We will then regularly return to customer user-groups to test our IS ideas as they develop, to ensure that we are staying true to customer requirements and making the right compromises and trade-offs as necessary.

By using insight and co-design in this way, we will:

- Improve customer satisfaction by making all IS services and their individual interfaces easier for customers to interact with

- Improve the likelihood that IS systems are used in the way we have anticipated. By designing the function of key interfaces with customers, we can be confident in achieving planned uptake

- Prompt customers into different behaviours, for example promoting the use of mobile devices to enable remote working, and thus free up greater efficiencies

- Drive continuous improvement. Close engagement with customers will ensure we quickly identify issues and opportunities as they arise, and that we work with customers to identify and invest in the right solutions.

Our objective is to offer high quality and relevant services. We will provide effective, engaging and personalised services at every touch point. To achieve this, we will promote a shift from the typically supply dominated 'Push' approach to service design and delivery to a Customer Orientated 'Pull' approach, which is time and location independent, personalised and contextual.

We will use the intelligence gathered through co-design and our on-going management of processes and operations to create dynamic and personalised service delivery for all customer groups. This rich understanding of Customers drawn from behavioural analysis, and combined with our experience and Barnet specific Insight, will enable us to identify and understand patterns of Customer behaviour and will be embodied as Single Customer View.

Service Delivery Model

We will establish a robust Service Delivery Model which enables certainty of delivery and performance, partnership flexibility (commercially and operationally), with investment in infrastructure and capability to support achievement of the Council's outcomes. All Customer groups, internal and external, will interact through the same service delivery model structure, as shown in the diagram below:
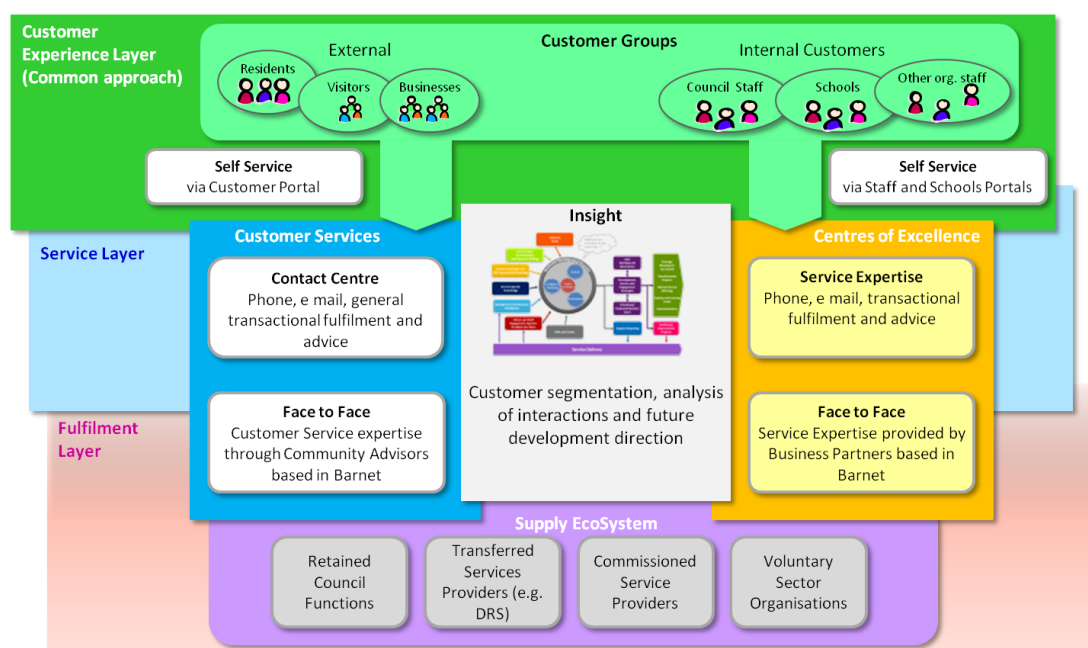
Figure 1 - NSCSO Service Delivery Model

We will invest in and deploy **technology and repeatable strategies** that shift the focus from merely surfacing the service offerings, to providing a single window to bundled services from ourselves, the Council and other providers where appropriate.

We will build our service architecture using **flexible rapid service deployment frameworks**. These will enable us to carry out efficient transaction handling, irrespective of channel, and deliver an organisational change capability that enables us to respond effectively to the changing environment. They will also allow us to promote a culture of service excellence and improving delivery while at the same time lowering cost.

At the heart of our proposition are the enablement of increased self-help and self-service, and consequent savings. This will only be realised if the customer experience is excellent, the services are relevant and execution is timely. To achieve these, we need to understand what our Customers want to do and design our services, and their constituent transactions, around those needs, ensuring we deliver effectively from beginning to end.

Event or Trigger Characteristics	Pathway or Life Event Selection	Pathway or Life Event Management	Fulfilment
Identifying at the very start what the customer wants to do.

Authenticating them (where appropriate).

This enables us to take into account their previous interactions, profiles and preferences via a Single Customer View to personalise the experience. | Enabling the customer to easily identify the right service pathway or set of transactions for their context (the right pathway at the right time for the right customer).

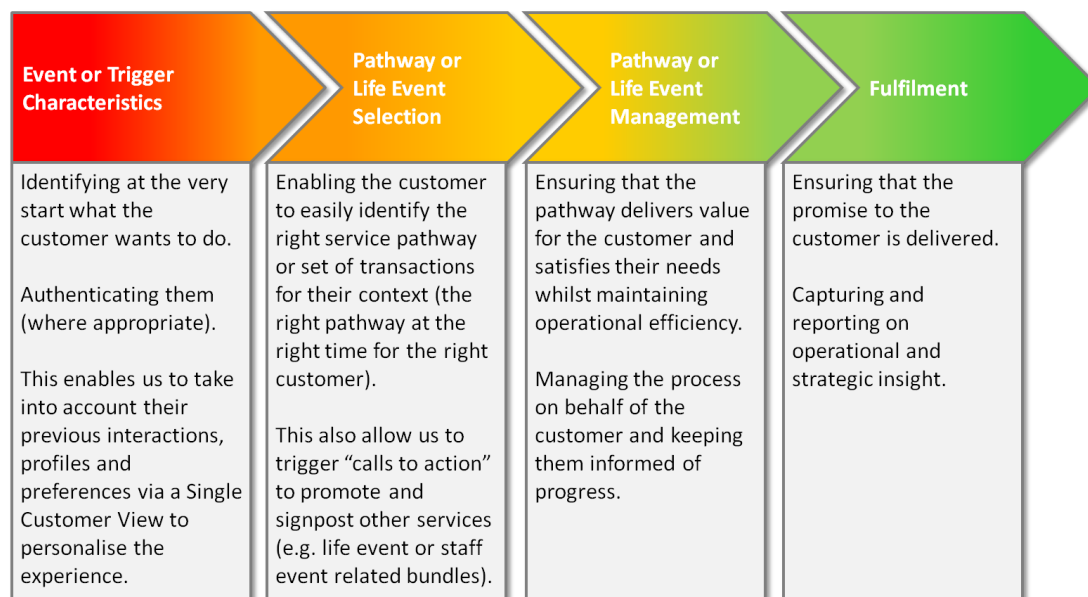This also allow us to trigger "calls to action" to promote and signpost other services (e.g. life event or staff event related bundles). | Ensuring that the pathway delivers value for the customer and satisfies their needs whilst maintaining operational efficiency.

Managing the process on behalf of the customer and keeping them informed of progress. | Ensuring that the promise to the customer is delivered.

Capturing and reporting on operational and strategic insight. |

Figure 2 - Customer centric, effective end to end service delivery

This approach will make our services effective and our experience shows us that 'efficiency' follows 'effectiveness' – this is a fundamental element of our business ethos. We will deliver value by:

- Building Delivery *Capacity,* not just channels - through an integrated Service Delivery Model that is channel transparent

- Building Delivery *Capability,* not just Services - making things easy to do

- Building Operations *Competency,* delivering operational excellence, continual improvement, service alignment and business assurance.

1.2   IS SERVICE VISION

Our overarching vision, approach to services design and Service Delivery Model (SDM) will form the basis of the services we will deliver in relation to the IS Service.

Our IS Service vision is to deliver a personalised IS service of the highest quality which will underpin ongoing service development and enable the Council to realise its business objectives. We will deliver an effective service from the Service Transfer Date which is aligned to industry best practice and will provide the skills, knowledge and flexibility to transform and adapt the service over the term. This will ensure that the service continues to align with the needs of the Council's business and continues to support the Council in delivering appropriate services to its customers and achieving its strategic outcomes.

We will create an agile IS Service that can quickly adapt to changes in the Council's business environment and enable new technologies, approaches and innovation to be exploited in order to realise efficiencies, deliver best value and facilitate business transformation across each of the Delivery Units.

The IS Service will enable the NSCSO Services and retained Council services to meet or exceed the expectations of the Council's end users and customers. It will reliably and effectively deliver in an ever-changing environment; through a move to unit pricing along with a strong local presence, supported by the wide range of Capita IS expertise from across the UK.

1.3   DELIVERING THE IS VISION

The table below provides an indication of how the services within the IS specification will be delivered. Detailed descriptions of the individual service elements are provided in Section 4 below.

OUTPUT SPECIFICATION REFERENCE	DELIVERED THROUGH				
	Self Help/ Self Service	Contact Centre	SME	F2F	Processing
IS01			X		X
IS02			X		X
IS03					X
IS04			X		X
IS05			X		X
IS06	X	X	X	X	
IS07			X		X
IS08			X		X
IS09			X		X
IS10					X
IS11					X
IS12			X		X
IS12.05			X	X	
IS12.10	X	X	X	X	
IS12.18			X	X	
IS12.24			X	X	
IS13			X		X
IS14			X		X

OUTPUT	DELIVERED THROUGH				
IS15	X	X			
IS16					X
IS17.01-05			X		
IS17.06			X		X

1.4   SOLUTION DESIGN PRINCIPLES

Our goal has been to underpin our Service Delivery Model with a technical solution which fully meets the Council's requirements and which will provide best value for money, such that the solution is:

- Fit for Purpose

- Cost effective

- Based on strong ITIL Service Management principles

- Robust, secure and highly available

- Flexible enough to cope with on-going service and operational changes to respond to the Council's evolving business needs and objectives.

The solution has been defined within the context of supporting the Council in the delivery of its Corporate and ICT Strategies, in order to ensure that the Services delivered align with the Council's desired vision and outcomes.

Our proposed solution for IS Services is intended to:

- Make IS an effective enabler of business transformation

- Provide governance, strategy, programme and project management focussed on delivering business benefit

- Implement tactical and strategic desktop refresh, infrastructure virtualisation and disaster recovery (DR) provisioning projects, building on the recent IP telephony upgrade, and use them as the basis for an ICT strategy and roadmap that includes initiatives such as deployment of mobile thin clients, a move to Infrastructure as a Service (IaaS) and Platform as a Service (PaaS)

- Build on the current service delivery transformation project, delivering ITIL V3 alignment and, using input from sources such as the Insight Engine, build a culture of continual service improvement

- Proactively provide the technology innovation and support required to deliver Capita's transformation programme across all IS services and as a platform to support transformation across the entire Council

- Reducing the number of calls, particularly those requiring mediation, through the co-design and implementation of technologies, processes, training and

communication activities, that will contribute to a shift to self-service and the elimination of the root causes of problems

▪ Introduce application portfolio management and effective, shared application management and support as a way of reducing cost, improving service availability and reducing infrastructure demands

▪ Migrate to cloud services, such as Google Apps, to take advantage of the cost savings, flexibility and transformational impact, where we demonstrate, through a Proof of Concept exercise that such services are appropriate for the business

▪ Deliver effective security management by implementing an Information Security Management System (ISMS)

▪ Establish technical training programmes for transferring IS staff to support them in delivering effective architectural and design governance and strategy, , providing additional expertise and support from across Capita when required

▪ Leverage the knowledge, expertise, experience, specialist resources, vendor relationships and service offerings of Capita plc, ensuring that the Council benefits by involvement and learning from the following:

  ▪ Local and central government forums

  ▪ Public and private sector customer working groups

  ▪ Chief Information Officer forums.

1.5 IS Service - High Level Solution

Capita believes that our solution addresses all of the requirements outlined in the Output Specification documentation and embraces the insight we have gained through Dialogue.

Our proposed solution is made up of the following components:

▪ The organisation structure and delivery locations for those services

▪ The governance arrangements to be put in place

▪ The processes and procedures required to ensure the Services are delivered to an appropriate quality standard

▪ Transition to Capita's Service Model

▪ The infrastructure and toolset to deliver the Service Model

▪ The standards and policies that will be adhered to

▪ Transformation and Innovation

Our Service Model is underpinned by both ITIL V3 (ITIL) best practice and ISO20000 accredited processes, a blended resourcing model which combines the efficiencies of a centralised team with the immediacy and local knowledge of an onsite team, a

range of proven automated monitoring and support tools and migration to our highly efficient data centre.

Our approach will facilitate the delivery of highly effective and efficient services whilst enabling the Council to take advantage of Capita's extensive service delivery experience and our strengths in the delivery of technical innovation.

Location of Delivery Staff

Capita will retain an on-site support team to handle all 'touch' services, for example for those Incidents and Service Requests where a desk-side visit is required, and on-site staff who will work closely with key stakeholders within the Council in order to gain an in depth understanding of the Council's business strategy and processes.

The dedicated Service Delivery Manager and Enterprise Architect will also be based on-site.

It is our intention to relocate the Service Desk function to our existing facilities in Chippenham and Chertsey within the first year of operation. We also intend to relocate core infrastructure support services to Chippenham in conjunction with the migration of that infrastructure to our Data Centre, which is located very near to Chippenham.

We have no specific intentions to relocate any other IS functions, howver this is dependent on the skills and experience that come over to us as part of the TUPE transfer of Council staff.

Service Hours

We will provide full IS service support during the core hours specified by the Council of 08:00 to 18:00 Monday to Friday, excluding English Public Holidays.

Our Chippenham based Central Service Desk will be available for users to log Incidents and Service Requests 24x7x365. Lower priority calls raised outside of the core service hours will be logged within the RMS Service Management system for resolution the following working day.

Extended support will be provided to Elected Members through the provision of an Out of Hours (OOH) support service. If any calls are logged by Members between 18:00 and 08:00 or there is a major Incident or issue with a critical application outside of the core hours, on call support will be initiated. Provision of this extended support for Elected Members is part of the core service and is therefore included within the core price.

Should out of hours on call support be required this will be provided by a mix of locally-based staff dedicated to the Council and remotely based central resources, who support a number of our public sector clients.

The Service Desk will maintain details of the on-call staff, to whom out of hours calls will be routed where the issue is related to members support or the Council's critical systems. This support is also included within our core proposal and there will be no additional charge.

Delivery Organisation

Our proposed IS service delivery organisation for Barnet is based around Capita's proven blended service model. This model enables us to provide the best possible service, blending the efficiencies and economies of scale generated by having a centralised team with the immediacy and local knowledge that can only be delivered through having dedicated onsite team members. This approach also provides an over-arching governance capacity from Capita's Enterprise Services team, who will ensure that the processes implemented conform to industry best practice (ITIL) and accreditation standards (ISO20000).

IS Service Calls into the Contact Centre, will be routed to the IS Service Desk using our Natural Voice telephony solution. Our Shared IS Service Desk provides a flexible and robust enterprise capability to enable users to raise faults and request new services at a time that suits them.

We are confident that this approach will provide the best possible operational and organisational solution to deliver efficient and responsive IS services for the Council in the most cost effective manner.

The diagram below illustrates the organisational structure that will be put in place to deliver the IS Service, showing the location of activity at the start of the contract:
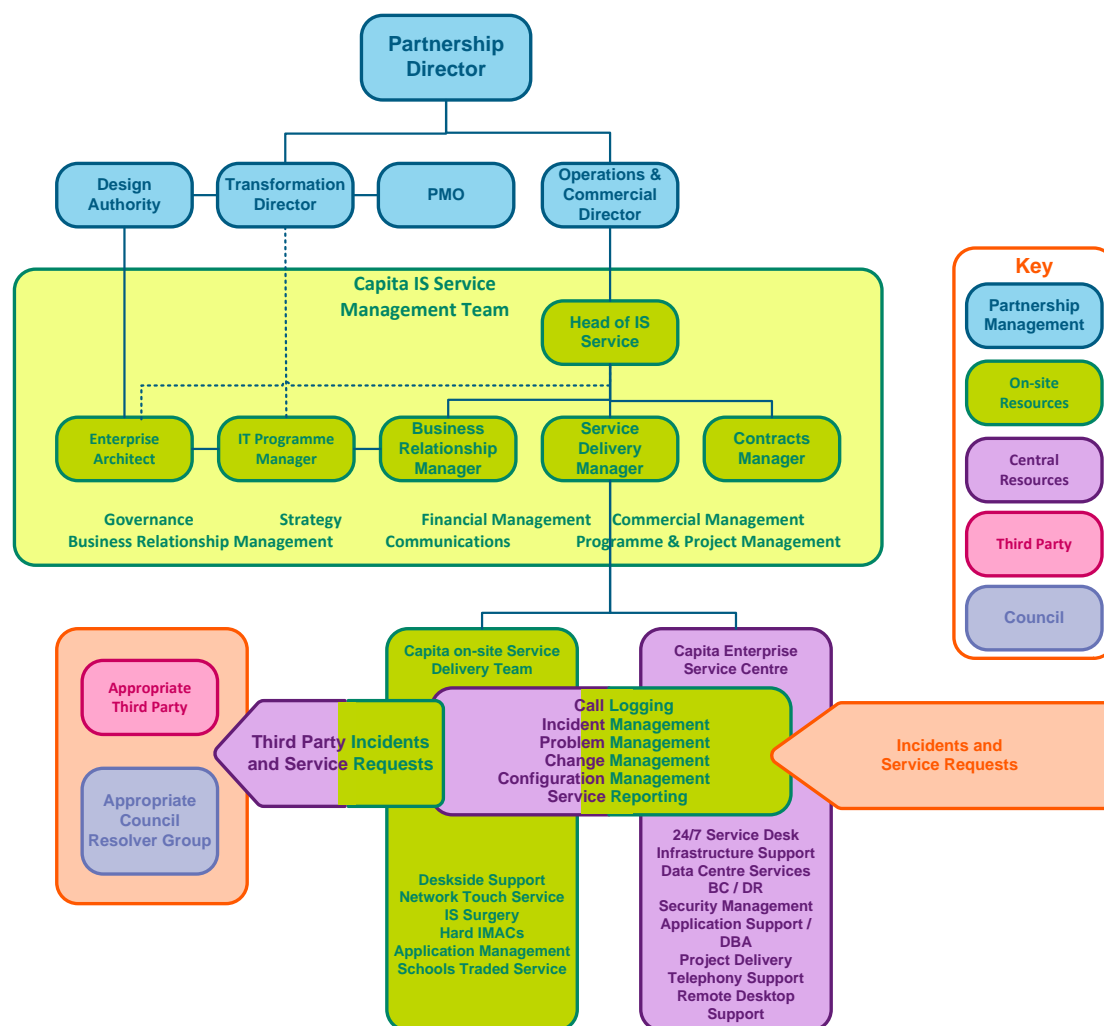
Figure 3 - Proposed Organisation Chart

An experienced IS Service Head will control and manage the overall service relationship and will be the primary point of contact with the Council from a service development perspective. The dedicated onsite Service Delivery Manager will be responsible for the operational delivery of the day to day services, ensuring that they operate to and deliver within the agreed performance targets. The Service Delivery Manager will also manage the on-site delivery teams and third party suppliers. We will work closely with key stakeholders within the Council to ensure the effective delivery of all IS services for the duration of the contract.

By leveraging the efficiencies and experience of our centralised Enterprise Service Team, providing a number of self-service options via the on-line portal, and maximising the responsiveness of the onsite team delivery model, we will deliver the following benefits to the Council:

- A focus on customer service excellence and user satisfaction

- A single point of contact, communication and information

- Efficient usage of IS resources and economies of scale

- High quality call handling with fast responses to user requests

- Increased User productivity with a focus on first time fix

- A consistent experience based on established processes and procedures

- Reduction in Incident volumes

- Improved quality of ICT services through the implementation of ITIL V3 and ISO 20000 aligned processes

- Alignment of IS services to actual business need.

These benefits will underpin improved productivity within the Council's Delivery Units and the related outcomes defined within the Continuous Improvement Schedule 3.

IS Governance

Five key IS Governance Functions will be established to preside over the Service and any ongoing changes from an IS perspective to ensure that all service elements continue to align with LBB's ongoing business needs and to maintain compliance with all related policies and current legislative requirements. The diagram below shows the key governance functions, with specific outputs and main responsibility interface points within Capita's organisation:

<table>
<tr><th colspan="4">IS Governance</th></tr>
<tr><th>Governance Function</th><th>Governance Forum</th><th>Outputs</th><th>Responsibility</th></tr>
<tr><td>ICT Architecture Governance</td><td>Steering Group</td><td>ICT Strategy
ICT Roadmap
ICT Architecture</td><td>Enterprise Architect</td></tr>
<tr><td>Information Governance</td><td>Information Governance Council (IGC)</td><td>Information Security Policy</td><td>Information Security Manager</td></tr>
<tr><td>Business Relationship Management</td><td>Business Relationship Management Meetings</td><td>Strategic Business Cases
Full Business Cases</td><td>Business Relationship Manager</td></tr>
<tr><td>Service Management</td><td>Operational Board Review Meetings</td><td>Service Management Reports</td><td>Service Delivery Manager</td></tr>
<tr><td>IT Programme Management</td><td>Programme Transformation Board & Project Board</td><td>IT Programme Reports and Dashboards</td><td>IT Programme Manager</td></tr>
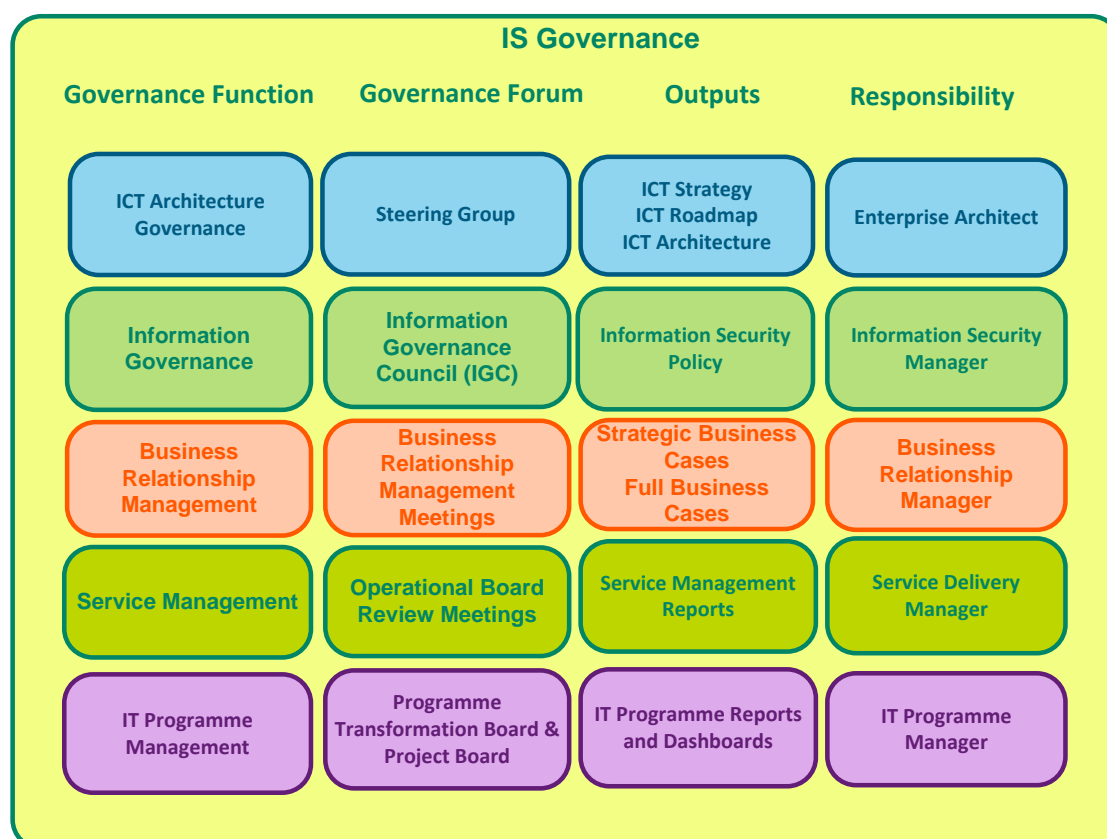</table>

Figure 4 - IS Governance Functions

Our expectation is that the Council will assign an appropriate representative with the appropriate authority to participate in each of the key governance forums.

These robust and effective governance functions, combined with regular insight into service demand and usage, will facilitate the ongoing evolution of IS services to meet the needs of all stakeholders and continue to align with the Council's business needs. They will ensure that all service changes are formally controlled whilst providing the flexibility to provide a responsive service without unnecessary bureaucracy.

Sub-contracted services

We will extend a limited number of existing Capita service providers to provide the following specialist service elements:

SERVICE ELEMENT	THIRD PARTY PROVIDER
Hardware break and fix (server and network)	Phoenix IT Group
Secure disposal of obsolete hardware	Simms Recycling Solutions
Data Centre Connectivity and Internet Service Provider (ISP)	Vtesse
Backup Tape Storage	Disaster Recovery Services Ltd

Phoenix IT Group will provide hardware break-fix services to Capita under a standard framework agreement for the provision of such services. The contractual arrangements between Capita and Phoenix will underpin the service levels required by the Council and will enable us to deliver on all agreed KPIs and PIs, for which Capita will retain full responsibility.

The process outlined in IS12.26 below will be followed for the disposal of all obsolete IS equipment. This service will be carried out at no extra charge to the Council.

1.6   TRANSFORMING THE IS SERVICE

During Year 1 we will seek to 'optimise' the way in which IS Services are delivered and implement improvements, to ensure that the Council's Front Line services are protected. To do this, we will:

- Integrate the handling of IS related calls with the Barnet Contact Centre

- Migrate the Council's on-premise applications to Capita's IaaS, Dynamic Hosting environment. This will provide a secure, robust and flexible service with an effective Business Continuity and Disaster Recovery Infrastructure. In addition the migration will support Capita's property rationalisation programme, as outlined in the Estates Method Statement

- Review, and where appropriate, replace existing contracts (infrastructure, networks, telephony), and bring them under centralised management

- Prioritise the migration to Capita's secure, resilient and highlight efficient data centre in line with the Council's Business Criticality ratings and DR requirements, placing a particular focus on critical Adults and Children's systems Introduce application portfolio management

- Continue the process of aligning service management and delivery with ITIL V3.

During the first two years we will improve the delivery of IS Services. To do this, we will:

- Optimise the network in order to deliver improved availability and resilience

- Implement a Metropolitan Area Network (MAN) that provides a flexible and cost effective wide area communications service, to complement the Council's TAP project, and our Agile workplace programme proposals contained within the Estates Method Statement.

Commencing in Q1 of Year 1 we will begin to 'transform' IS Services. To do this, we will:

- Implement the technology required to support Capita's target Service Delivery Model, particularly the CRM, BI/MI and Knowledge Management technologies required to deliver the 'single view of the customer', the Insight Engine, and to drive self-service and channel shift

- Using our own experience and that of our partners, evaluate and test the benefits and risks associated with the exploitation of cloud services, such as Google Apps, within the Council context.

Develop and implement a thin client based desktop strategy that will deliver 'agile working' capability for Council staff in support of Estates and Customer Services strategies, and facilitate the introduction of 'Bring Your Own Device' (BYOD). For further information please refer to the Transition and Transformation Method Statements.

During Year 1 we will enhance the level of IS Services offered to Barnet Schools to include the following:

- Extend the Gold Service to include the following currently excluded areas:

  - Provision of advice and guidance to staff

  - Provision of advice and guidance to students

  - Support for writing and editing school ICT policies

  - Minor programming changes to websites*

  - Updating the schools ICT inventory when new software and hardware is procured

  - Minor changes to cabling infrastructure*

  - Minor reconfiguration of servers*

▪ Minor system configuration changes to software applications under a support contract maintained by a third party (where this is permitted by the 3rd party)*

▪ Procuring software and hardware

▪ Technology Innovation days in Barnet/for schools

▪ Access to Capita Customer Groups to share experiences.

*All proposed changes will need to be evaluated and authorised through the agreed ITIL Change Management process. Wherever possible, we will endeavour to implement minor changes using the core delivery team at no extra cost. However, where this would impact the quality of the service provision, or the changes need to be implemented out of the core hours/ require specialist third party input, these will be chargeable as projects.

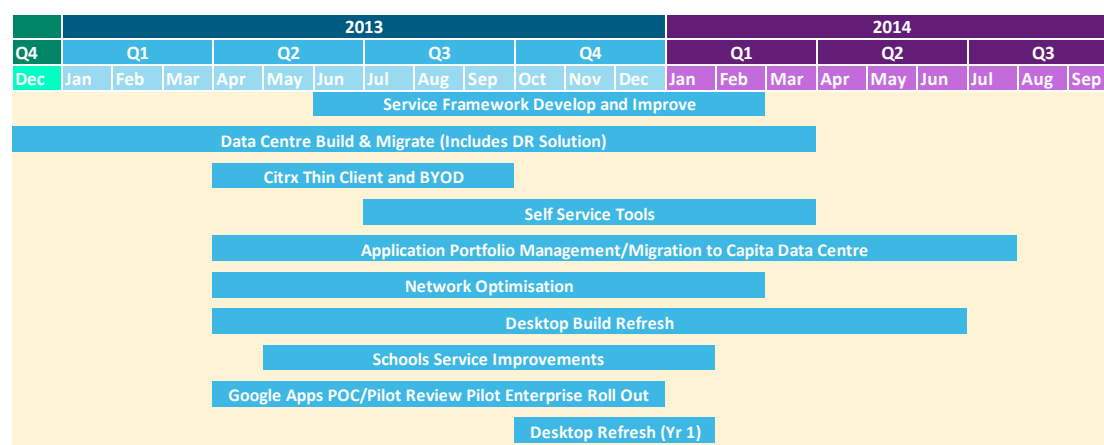The plan below summarises the key Transformation activities described above.

Q4		2013												2014								
	Q1			Q2			Q3			Q4			Q1			Q2			Q3		
Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep

Service Framework Develop and Improve

Data Centre Build & Migrate (Includes DR Solution)

Citrx Thin Client and BYOD

Self Service Tools

Application Portfolio Management/Migration to Capita Data Centre

Network Optimisation

Desktop Build Refresh

Schools Service Improvements

Google Apps POC/Pilot Review Pilot Enterprise Roll Out

Desktop Refresh (Yr 1)

Figure 5 - IS Transformation Timeline

1.6.1 RESOURCING THE TRANSFORMATION

The onsite, business as usual, service delivery team will be augmented by Capita's transformation project teams as the projects are delivered. The makeup of the transformation teams onsite will vary based upon the skills required onsite during the stages of the projects. The transformation teams will be managed by the programme/project managers to ensure that the programme of transformation is delivered to schedule.

Capita will provide all technical and project management resources. However, the retained council team will be required to contribute to and sign off delivery acceptance testing activities.

To ensure continuity and level of service within the streamline of resource programme between July 2013 and October 2013 (inclusive), we have assumed transferring staff will continue to be available to provide continuity and operational support during the transition phase.

Capita will seek to redeploy surplus in-scope staff within its business. This will ensure that although they may no longer be directly serving the Barnet contract, they will still

be available for consultation. Where staff cannot be redeployed, Capita will employ its proven Knowledge Transfer process to capture any information that may otherwise be lost. This involves a series of one-to-one meetings with leaving staff, combined with template data documents which must be completed.

1.7 CUSTOMER JOURNEYS

The Council, its users and citizens of Barnet have been our main focus in designing the IS solutions for LBB including how IS can best assist in delivering the right technologies to meet business needs and drive efficiencies. The following customer journeys show examples of how the benefits that the future IS Service will provide can be realised by users.

Mia

IS – Supporting Home Working

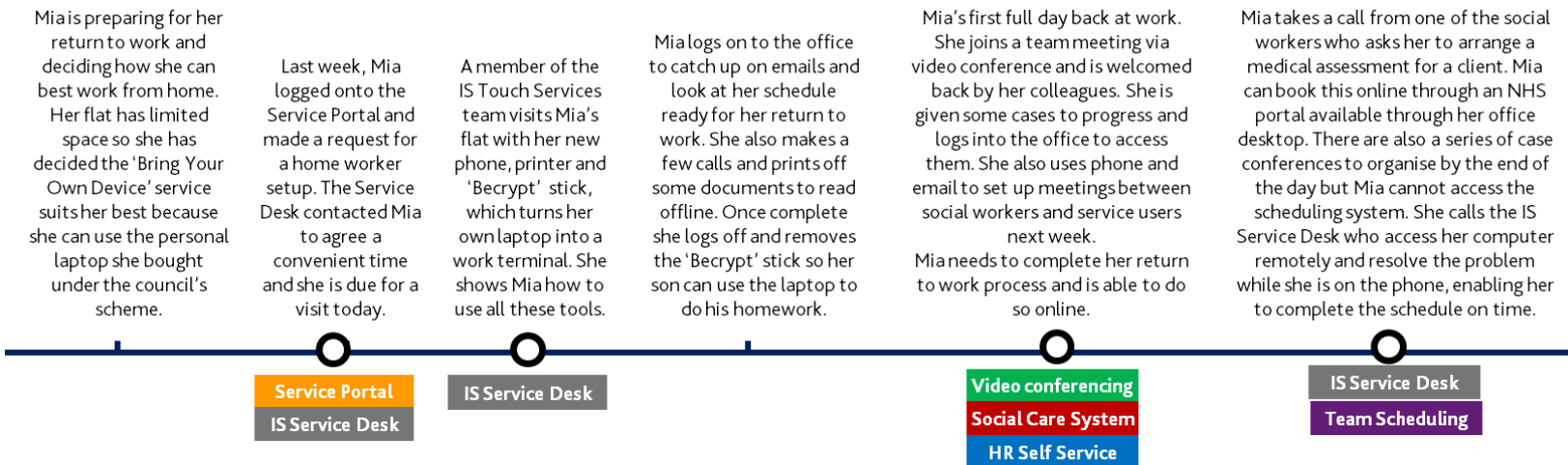| Services Access	Org. Position	Capability	Case Expertise	Experience

Mia's Situation

Mia works as and administrator in Adult Social Care and Health. She is recovering from a long term illness and needs to works from home. Her confidence level is low. She is part of a virtual team and needs to be able to contribute to the team's service levels.
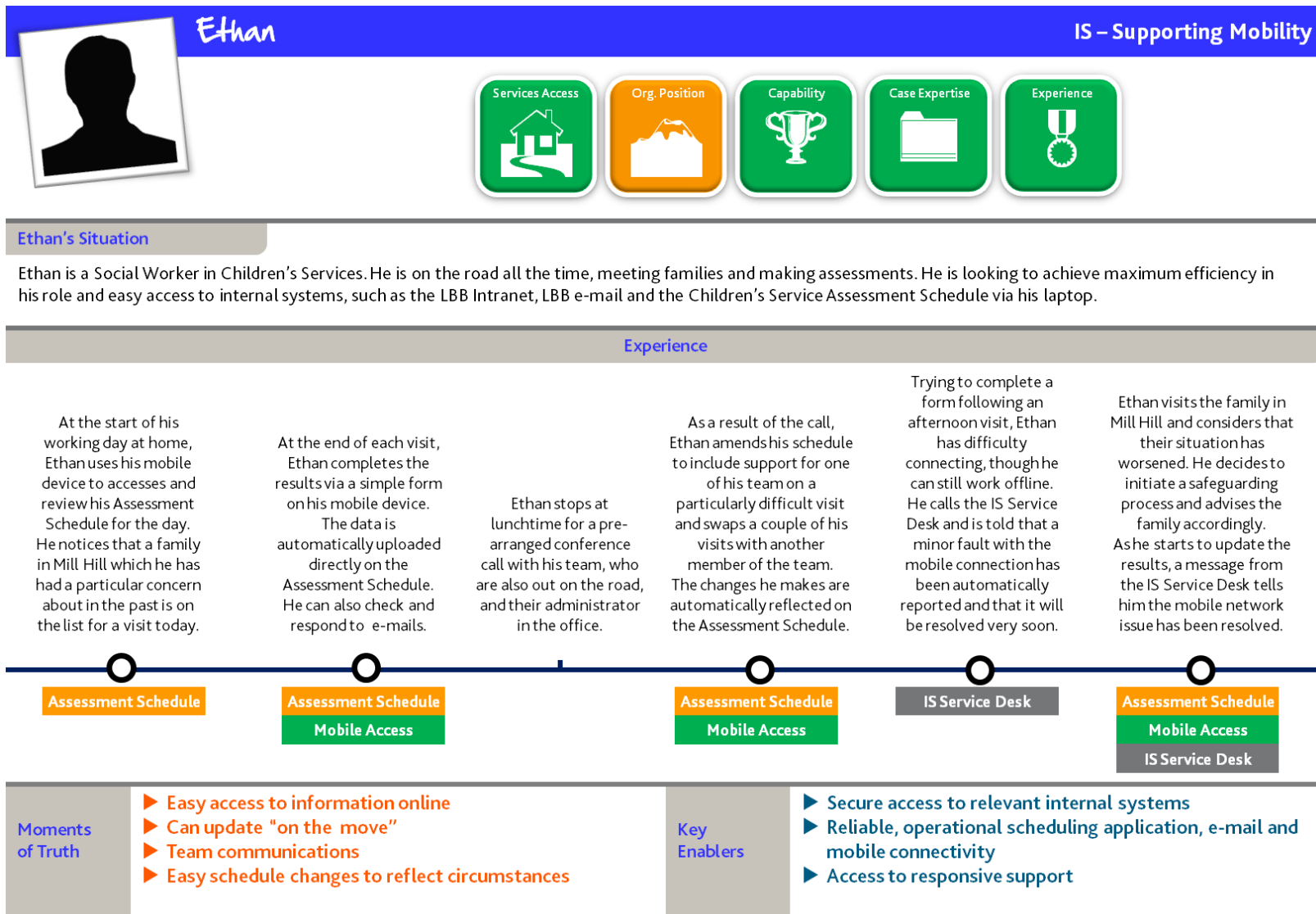
Experience

Mia is preparing for her return to work and deciding how she can best work from home. Her flat has limited space so she has decided the 'Bring Your Own Device' service suits her best because she can use the personal laptop she bought under the council's scheme.	Last week, Mia logged onto the Service Portal and made a request for a home worker setup. The Service Desk contacted Mia to agree a convenient time and she is due for a visit today.	A member of the IS Touch Services team visits Mia's flat with her new phone, printer and 'Becrypt' stick, which turns her own laptop into a work terminal. She shows Mia how to use all these tools.	Mia logs on to the office to catch up on emails and look at her schedule ready for her return to work. She also makes a few calls and prints off some documents to read offline. Once complete she logs off and removes the 'Becrypt' stick so her son can use the laptop to do his homework.	Mia's first full day back at work. She joins a team meeting via video conference and is welcomed back by her colleagues. She is given some cases to progress and logs into the office to access them. She also uses phone and email to set up meetings between social workers and service users next week. Mia needs to complete her return to work process and is able to do so online.	Mia takes a call from one of the social workers who asks her to arrange a medical assessment for a client. Mia can book this online through an NHS portal available through her office desktop. There are also a series of case conferences to organise by the end of the day but Mia cannot access the scheduling system. She calls the IS Service Desk who access her computer remotely and resolve the problem while she is on the phone, enabling her to complete the schedule on time.

Service Portal	IS Service Desk		Video conferencing	IS Service Desk
IS Service Desk			Social Care System	Team Scheduling
			HR Self Service	

Moments of Truth	
▶ Easy return to work after illness	
▶ Need to work from Home	
▶ Return to Work	
▶ Easy access to office systems to add value to team	

Key Enablers	
▶ HR Self service portal, IS Service Portal	
▶ IS Service Desk Touch Services	
▶ Communication tools, use of own laptop	
▶ Remote working desktop experience is identical to being in the office	

Ethan

IS – Supporting Mobility

Services Access	Org. Position	Capability	Case Expertise	Experience

Ethan's Situation

Ethan is a Social Worker in Children's Services. He is on the road all the time, meeting families and making assessments. He is looking to achieve maximum efficiency in his role and easy access to internal systems, such as the LBB Intranet, LBB e-mail and the Children's Service Assessment Schedule via his laptop.

Experience

At the start of his working day at home, Ethan uses his mobile device to accesses and review his Assessment Schedule for the day. He notices that a family in Mill Hill which he has had a particular concern about in the past is on the list for a visit today.

At the end of each visit, Ethan completes the results via a simple form on his mobile device. The data is automatically uploaded directly on the Assessment Schedule. He can also check and respond to e-mails.

Ethan stops at lunchtime for a pre-arranged conference call with his team, who are also out on the road, and their administrator in the office.

As a result of the call, Ethan amends his schedule to include support for one of his team on a particularly difficult visit and swaps a couple of his visits with another member of the team. The changes he makes are automatically reflected on the Assessment Schedule.

Trying to complete a form following an afternoon visit, Ethan has difficulty connecting, though he can still work offline. He calls the IS Service Desk and is told that a minor fault with the mobile connection has been automatically reported and that it will be resolved very soon.

Ethan visits the family in Mill Hill and considers that their situation has worsened. He decides to initiate a safeguarding process and advises the family accordingly. As he starts to update the results, a message from the IS Service Desk tells him the mobile network issue has been resolved.

Assessment Schedule	Assessment Schedule		Assessment Schedule	IS Service Desk	Assessment Schedule
	Mobile Access		Mobile Access		Mobile Access
					IS Service Desk

Moments of Truth
- ▶ Easy access to information online
- ▶ Can update "on the move"
- ▶ Team communications
- ▶ Easy schedule changes to reflect circumstances

Key Enablers
- ▶ Secure access to relevant internal systems
- ▶ Reliable, operational scheduling application, e-mail and mobile connectivity
- ▶ Access to responsive support

CAPITA

Jennifer

IS - Co-design and Self Service

Services Access	Org. Position	Capability	Case Expertise	Experience

Jennifer's Situation

Jennifer is a manager in Adult Social Care in Barnet. She has been sceptical about proposed changes to services before Capita took them over, particularly around co-design and the use of self service.

Experience

Jennifer sees a marked change in service delivery emphasis with the introduction of Capita's IS Services. On the occasions she's had to call the help desk, the Advisor has really understood her problems and been very responsive in making sure she gets the problems resolved quickly.

Jennifer is amazed to receive an invitation to be involved in co-design workshops to design the front end to the Employee Portal Capita plans to implement for Barnet.

Jennifer attends co-design sessions to develop the Employee Portal. She is impressed with the way the Capita IS staff handle the workshops and the inclusive approach taken. She feels she has been listened to and her views taken into account.

Jennifer remains unsure about the value of self service, but on hearing that the Employee Portal is available, she decides to try making an enquiry about her pension.

She logs in to the Employee Portal using her own ID and Password, which gives her access to the her personal information and settings. She finds it easy to navigate and clear to understand and she can find what she needs very easily. She recognises many of the ideas surfaced during the co-design process!

The knowledge management search is easy to use and the resulting descriptions are clear and unambiguous. She's also impressed with the new wide range of services available, which offer her real choice. She makes a mental note to try out the self service recording of IS calls next time she has a problem instead of calling the help desk.

Help Desk **Co-design** **Co-design** **Employee Portal**

Moments of Truth	▶ Inclusivity through co-design ▶ Self service ease of use ▶ Reduced help desk contacts	Key Enablers	▶ Co-design workshops ▶ Self service access to Employee Portal ▶ Knowledge Management on-line

CAPITA

2   DELIVERING IS REQUIREMENTS

This section covers all services described in the IS Output Specification (Information Systems Output Spec v3.2 Final), i.e. all those services currently provided by Council's Information Systems (IS) Services.

We have assumed that these requirements are currently being met unless there is a statement to the contrary.

2.1   GOVERNANCE: IS01

We recognise that the ICT infrastructure and services delivered to the London Borough of Barnet will need to evolve over the lifetime of the contract term. We will ensure our services continue to align with any internal (business or IS) changes, comply with any externally driven changes, for example to meet central government and the European Union legislative requirements, as well as changes driven by the Council's Partners and as a consequence of Co-design activities..

Our proposed IS architecture governance model and partnership approach is fully compliant with the Council's stated requirements in the Information Systems Output Specification.

We have a successful track record of developing constructive working relationships with customers and stakeholders in order to achieve customer business objectives and will ensure that we integrate effectively with the Council's management team at all levels. We are committed to delivering a high quality ICT service for the Council and will provide a robust and integrated approach to ICT architecture governance within our overarching approach to change governance.

Overall NSCSO Transformation Governance

The NSCSO Transformation programmes and projects will be governed by a jointly staffed Partnership Transformation Board reporting into the Strategic Partnership Board. The role, function and operation of these Boards are described in Schedule 12 Governance. The diagram below illustrates the hierarchy of the Boards.

Strategic Partnership Board

NSCSO Service Delivery and Benefits Management

NSCSO Transition, Transformation & Special Projects

Partnership Operations Board

Partnership Transformation Board
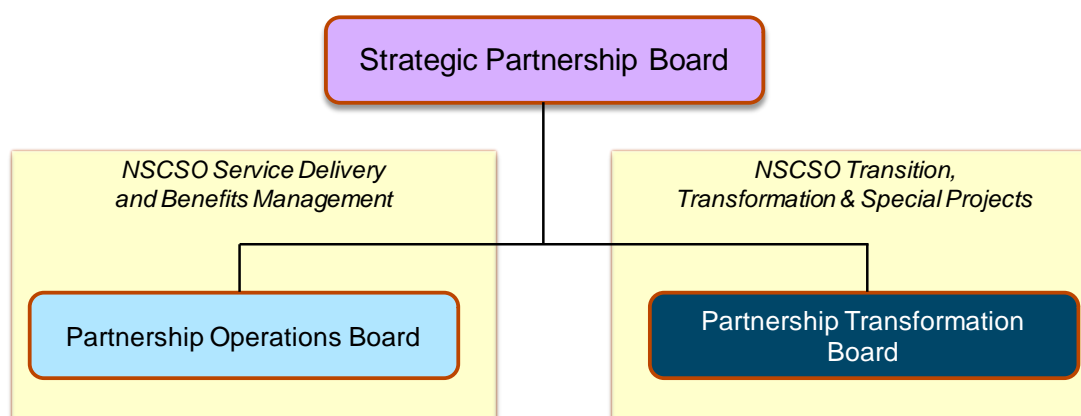
Figure 6 - Governance Boards Structure

NSCSO Transformation Programme Team structure

We will establish a single Transformation Team to fulfil the core programme and project management component within our Partnership Management function. This team will manage all business change that Capita is responsible for delivering across the NSCSO; the Council; and the Council's delivery network. This team will be led by our Transformation Director, who will be a part of Capita's Barnet Partnership Management Board.

The Transformation Team will provide an integrated Programme Management Office (PMO) responsible for the reporting and governance, change management and benefits tracking across all Capita managed change projects. The Transformation Team will also lead the Design Authority with oversight of the integration of solutions delivered by each programme and project to the Council and the NSCSO Service, people, technology and place architectures. The Transformation Director, Transformation Team, PMO and Design Authority are described in more detail in the Corporate Programmes Method Statement.

Role of the IS Service in the Transformation Team

The IS Programme Manager will be a part of the Transformation Team and we will provide an Enterprise Architect, who will sit in the Design Authority. The Enterprise Architect will provide support and produce the architectural outputs including the ICT Strategy and ICT Roadmap.

The governance structure and process will reflect the differing needs of operational and transformational change, and will operate at levels that reflect the impact of a change, i.e. operational, design, architectural and strategy.

In order that innovation features highly, the governance process will support an innovation lifecycle that will track innovative initiatives through from bright ideas to the realisation of business benefit.

Our governance approach overall will facilitate the authorisation and delivery of any necessary ICT architecture changes to ensure the Service continues to align with the Council's ongoing requirements. We will continue to build on the ICT architectural and design governance processes and associated deliverables currently being implemented by LBB.

This refined Governance approach will be initiated at Service Transfer Date and the Governance function will be fully operational within the first three months of service.

The Impact of Culture on Governance

The culture within Capita is centred around our 'can do' attitude and a focus on openness. It is inevitable that issues may arise from time to time during the partnership and we are committed to sharing these with the Council and working in a positive and collaborative manner to resolve any problems, ensuring that the Council's objectives are achieved.

By building an open, honest and transparent environment, we will be able to work effectively with the Council on a day to day basis, offering advice and guidance on the use of technology, in order to ensure the Council's business needs are met.

We will proactively identify opportunities where technological innovation can be of benefit to the Council and promote new technologies which will enhance the service to the Council.

The following Capita qualities will underpin ICT architecture governance and our service delivery approach:

- **Commitment to Delivery** - we understand that speed of reaction is often paramount due to critical business or operational needs. Paperwork has its place in the day-to-day running of the service to ensure that customer requests are captured accurately and delivered promptly and there will be procedures in place to guide this process. However, these procedures are designed not to inhibit Capita's Head of IS or staff from operating the flexible and supportive service required by the Council. On the basis of mutual trust, Capita's managers are empowered to take action on instructions from customers with the formality of the necessary paperwork following on

- **Flexibility** - the established 'can do' culture within Capita focuses upon achieving customer satisfaction through flexibility and a detailed understanding of the needs of the customer's organisation. To this end, staff will be empowered to make decisions to achieve these objectives. There will be circumstances that are not governed by written procedures and in this scenario the Service Delivery Manager is trusted to act in the operational interests of Capita and the Council, on the basis of mutual trust

- **Anticipating customer needs** - Capita encourages staff to be pro-active and to communicate customer needs and opinions, thereby exchanging knowledge within Capita and the customer's own organisation. The culture of customer first is inherent in all Capita staff, regardless of whether they are in direct contact with the customer

- **Quality** - Capita operates within a managed environment with a Quality Management System that underpins its service excellence. Quality is ensured through applying processes tailored to the customer's business but underpinned by our own tried and tested service delivery methodology.

2.1.1 ICT ARCHITECTURE STEERING GROUP: IS01.01

We will establish a Steering Group with agreed representatives from both the Council and Capita with responsibility for ICT architecture governance. The Steering Group will ensure that the ICT architecture continues to align with all authorised changes.

The ongoing functions of the Steering Group, which will meet at least quarterly, will include:

- Governance of ICT services and projects

- Provision of senior level guidance including overall vision, direction and recommendations

- Ensuring ongoing compliance of ICT Architecture against proposed internal (business or IS) and external (Central and EU government, area Partners, citizen groups etc.) led changes

- Identifying new business opportunities and areas for evolving the contract, including the introduction of new service elements

- Agreement of ICT strategy

- Providing a point of escalation.

2.1.2   ICT ARCHITECTURE & STRATEGY COMMUNICATIONS PLAN: IS01.02

In order to ensure the effective delivery and development of services and that all solutions developed align with the Council's ongoing business needs it will be essential to define an effective Communications Plan. This will initially be aligned with the Transition and Transformation Programme communication plans and will then be maintained throughout the partnership term.

Staff from Capita with experience in the development of communications to Local Authority staff, managers and Members, will work jointly with the Council to develop and establish an overall Communications Plan, outlining how the architecture and accompanying ICT Strategy will be publicised across the Council. This will build on the Communications Plan we understand the Council is currently developing.

The Communications Plan will ensure that the appropriate stakeholders within both the Council and Capita receive the correct level of information. It will describe the objectives, goals, and tools for all communications and will include:

- The objectives/ purpose of the communications plan

- Who needs to be involved in the communication process:

    - The role(s) responsible for delivering the communication

    - The various stakeholders/ stakeholder groups that we will communicate with and their roles and responsibilities

- What needs to be communicated to each stakeholder/ stakeholder group:

    - The level of information required and how it will be used

- The preferred communication channel for each stakeholder/ group:

    - Delivery mechanism

    - Format

- The communication timescales

- How we will evaluate the communications plan.

An appropriate communications channel/ mechanism will be agreed with the Council for each stakeholder/ group/ type of change. In our experience, this will typically include:

- Periodic presentations or briefings to key stakeholders/ groups at agreed forums and meetings

- Newsletter publications

- Workshops

- On-line communications e.g. email, SharePoint, electronic portal

- Publication on the Council's intranet site

- One to one meetings.

Those involved in development of the Communications Plan will meet frequently in the early stage of the contract to get the plan established and communicated as quickly as possible. Thereafter, the plan will be reviewed at least annually for the duration of the contract.

2.1.3   ICT STAKEHOLDER MAP: IS01.03

We recognise that to deliver the IS Services effectively, we must establish and build strong relationships with a wide range of stakeholders, including:

- Key business users across the Council (including key system owners and departmental representatives)

- The Council's Executive and Leadership

- Elected Members

- Council contracted suppliers

- Capita contracted suppliers

- Voluntary and Third Sector organisations

- Council partners.

Following the Agreement Date, we will work with the Council to develop a stakeholder map to identify key individuals within the Council and partnership organisations that should be consulted to ensure that the Council's ICT needs are met. This will build on work currently being undertaken by the Council.

We will undertake regular liaison with these stakeholders to understand any current issues, capture requirements and provide feedback on ongoing initiatives.

In order to make these relationships work successfully, Capita will:

- Develop a team working approach, including external stakeholders

- Establish clear lines of communication

- Establish and document clear roles and responsibilities

- Consider contingency measures when links in the value chain break down (business continuity)

▪ Develop a culture of openness and trust with all stakeholders.

Engagement with these stakeholders will be via the agreed governance process and under the management of the Capita IS Service Delivery Manager. The IS Service Delivery Manager will lead a team focused on addressing a wide range of stakeholders from a diverse pool of resources. In line with the agreed Communication Plan, we will build relationships and liaise with these stakeholders throughout the contract term to ensure we keep abreast of the Council's ongoing business needs.

2.1.4 ICT RISKS: IS01.04

We will ensure that related issues, risks or conflicts that may impact upon the delivery of the contracted services are logged (using a jointly agreed risk and issues log) and understood. An appropriate course of action will be agreed with the Council and ownership assigned for resolution for any risk identified.

Our approach is one of openness and honesty and we will ensure that any such risks are shared with the Council in a timely manner at our regular Operation Board Reviews. Where appropriate (e.g. if a major risk/issue is raised requiring urgent attention), we will schedule an emergency meeting with the relevant parties to discuss the issue or risk and agree appropriate mitigation actions.

Please refer also to the Transition Method Statement where we describe our Corporate and Partnership Risk Management approach, and how this links into the Council's risk management model.

2.2 STRATEGY: IS02

We will work proactively and in close partnership with the Council to ensure we gain a deep understanding of the Council's business requirements, drawing on our experience in delivering similar services to other public and private sector organisations and the technology expertise within the Capita organisation to support the Council at a strategic level.

As well as embracing new technology to ensure the continued alignment of the IS services with the Council's business and ICT strategies, we will address process improvements and market focus.

Capita monitors developments in the ICT market place and keeps abreast of legislation and Government initiatives that the Council needs to comply with. We will use this insight to regularly provide the Council with general advice and consultancy on the strategic use of ICT. We will engage with senior Council stakeholders on an ongoing basis to understand their business drivers, assessing and analysing options where IS and business processes can help deliver an agreed strategic roadmap.

This approach, and our level of involvement, will enable the Council to reap the benefits of technological advancements, best practice and standards as they evolve in order to streamline services, reduce costs and improve efficiency.

2.2.1 DIALOGUE WITH STAKEHOLDERS: IS02.01

We will meet regularly with the Council's key system owners, departmental ICT representatives and other senior stakeholders to ensure we understand any current

issues and challenges, capture requirements, and provide feedback on ongoing initiatives.

Using the Stakeholder Map described in section 2.1.3 ICT Stakeholder Map: IS01.03 above, we will establish regular dialogues with stakeholders. Meetings with key business stakeholders/system owners will be scheduled by agreement with individuals and will typically take place on a monthly basis. Meetings with Directors/ Assistant Directors will be agreed with the individual stakeholder and may take place less frequently.

Through these meetings, we will gain insight into each business area's ongoing business needs and ensure that this information is utilised to highlight and prioritise opportunities for improving and evolving the IS Services.

In addition to the individual stakeholder meetings, we will also facilitate regular meetings, usually every six months, between the Council's senior stakeholders and Capita to provide an update on progress and to act as a forum for technology focused innovation. Where necessary, we will also arrange separate ad-hoc technology focussed meetings to discuss specific technical items, calling in technology experts from Capita's wider business as required.

We will also share information with the Council through other mechanisms. As an example, existing customers are invited to Capita hosted forums to share best practice, listen to the experiences of other customers and highlight technical innovations that may be of interest. These are hosted regularly and where appropriate will focus on a specific area (e.g. schools).

By building an open, honest and transparent environment, we will be able to work effectively with the Council on a day to day basis, offering advice and guidance on the use of technology, in order to ensure business needs are met and enable the delivery of optimum services to the Council's end users and citizens.

2.2.2 'TO-BE' VISION: IS02.02

We will develop the 'to-be' vision for the ICT Architecture and Strategy, reflecting the needs of the Council's business and aligned to the Council's business strategy and existing ICT estate.

In developing the 'to be' vision, we will take on board the experiences of our existing public and private sector ICT Managed Service customers as well as developments within the public sector which will impact the Council.

This vision will be publicised and shared with senior stakeholders within the Council on an annual basis at a one day event. We will present our proposals to the Council and in doing so will demonstrate how our ICT vision reflects both the Council's business needs and our experiences in delivering similar services to other customers.

To support this we will leverage our existing relationship with key partners, such as Apple and Google. We are an authorised Apple Systems Integrator and have an Alliance Partnership with Google which gives us visibility of the technology roadmap and access to technology and resources for our proof of concept activities on behalf of the Council.

We will also bring to bear the knowledge of and expertise in best practice that comes from a FTSE 100 company that needs to keep abreast of current thinking and future expectation in our chosen market. We have a number of roles within our organisation with responsibility for keeping abreast of the drivers, challenges and regulatory/policy changes our customers face, many of which also impact our own organisation.

We subscribe to Kable and are a member of and participate in various government and public sector forums including SOLACE and SOCITM. We subscribe to their publications, as well as various other local government related publications including The MJ (Municipal Journal), LGC (Local Government Chronicle) and publications issued by NLGN (New Local Government Network) which provide insight into public sector initiatives, policies and challenges.

This information is disseminated to our staff via various media at presentations, workshops and departmental team meetings. Capita's Managed Service IS Service Heads and Service Delivery Managers attend regular meetings to share their experiences and knowledge, enabling all our customers to benefit from our expertise as well as any lessons learnt.

2.2.3 UPDATED ICT STRATEGY: IS02.03

The ICT Strategy for the Council will be developed, owned and maintained by Capita's dedicated Enterprise Architect. It will be created in conjunction with the Council to ensure it:

- Aligns to the Council's overall business strategy and stakeholder business needs

- Enables the Council to realise its business objectives.

All ICT assets listed on the Council's ICT Asset Inventory, including core infrastructure, and voice and data consolidation, will be considered as part of the development of the ICT Strategy. The Enterprise Architect will own the ICT Strategy and will utilise Enterprise Architecture Frameworks, such as The Open Group Architecture Framework (TOGAF), to construct a collaborative Strategy. The ICT Strategy will be updated to reflect the Council's directives as and when they change, and will be subject to approval by the Council prior to implementation.

The ICT Strategy will be supported by a technology roadmap that will deliver continual improvements through evolving best practice, ensuring that the ICT services delivered meet Government directives and help the Council achieve cost effectiveness through solutions which deliver value for money. The technology roadmap will be created by the Enterprise Architect and will be regularly updated to reflect industry and other changes.

The initial ICT Strategy and technology roadmap will be in place within six months of the service transfer date.

2.2.4 ICT DISASTER RECOVERY PLAN: IS02.04

We understand that the ICT Disaster Recovery Plan is currently being developed by the Council.

We will work closely and flexibly with the Council from the start of the contract and ensure that we comply with the Council's existing Disaster Recovery plan from the

Service Transfer Date, providing any necessary support so that in the event of an invocation of the Council's disaster recovery plan all systems and services under Capita's control will be covered by the plan.

Following contract commencement, we will review the current plan to identify any enhancements and work proactively with the Council's Business Continuity team in developing and enhancing the ICT Disaster Recovery Plan where appropriate.

Please see our response to 2.2.5 Business Continuity Team: IS02.05 for details of how we will work with the Council in enhancing the Disaster Recovery Plan and our experience of Disaster Recovery and Business Continuity.

2.2.5 BUSINESS CONTINUITY TEAM: IS02.05

We deliver ITIL aligned IS Service Continuity Management on all of our ICT Managed Service contracts and in managing and supporting customer Disaster Recovery and Business Continuity plans.

Many of our ICT services operate in mission critical environments and we have considerable experience in designing, testing, maintaining and invoking ICT disaster recovery solutions and plans to ensure that our customer's businesses survive and continue to operate in the event of a disaster.

Our business is certified to BS25999 – the best practice Business Continuity Management standard which necessitates effective Business Continuity planning and management and demonstrates that our business and services are aligned to industry best practice. Our Business Continuity Management service is underpinned by established methodologies which ensure that the solutions implemented align with each customer's business needs.

As described in our response above, we will work closely and flexibly with the Council from the start of the contract and ensure that we comply with the Council's existing Disaster Recovery Plan from the Service Transfer Date, providing any necessary support so that in the event of an invocation of the Council's Disaster Recovery Plan all systems and services under Capita's control will be covered by the plan.

In line with our proposed disaster recovery approach, the plan will be enhanced at the outset of the Agreement to reflect our initial 'Ship to Site' solution. A revised plan will be developed and agreed with the Council within nine months of the Service Transfer Date to reflect our proposed longer term Disaster Recovery solution, which will be implemented following the data centre migration, and which utilises our Farnborough data centre as the Council's Disaster Recovery site.

The ICT Business Continuity and Disaster Recovery Plan will be maintained throughout the contract term and will encompass all of the ICT systems and services under our control and will ensure that any business impact in the event of a Business Continuity or Disaster Recovery scenario is minimised. We will apply ITIL aligned IS Service Continuity Management approaches when developing the plan, which addresses:

▪ The range of risks facing the Council - assessing the infrastructure to identify any single points of failure or areas of high risk

- The likelihood of each of the risks materialising

- The potential business impacts should any of the risks materialise

- A priority map of core infrastructure services and application services

- Roles, responsibilities and escalation points

- Conditions for invocation of the Business Continuity and Disaster Recovery Plan.

The ICT Business Continuity and Disaster Recovery Plan will include the following information:

- How Capita and the Council will deal with the highlighted disaster recovery or business continuity scenarios

- Detailed communication plans and procedures to all involved parties including Council and Capita employees, customers and third parties

- Information technology back-up and recovery procedures to be invoked

- The location and set-up, including any network links, of any Disaster Recovery site to enable priority staff to work following any BC/DR Incident

- Review (quarterly) and testing (annually) requirements.

We will maintain and test the ICT Services Continuity Plan (SCP) and associated Disaster Recovery (DR) Plan on an ongoing basis, as determined by the Council's overall Business Continuity Plans (BCP) and will provide the necessary ICT support to test these plans and execute them in the event of any type of disaster.

The plans will be regularly reviewed and updated, in collaboration with the Council's Business Continuity plans, to take on board lessons learnt. This will also ensure that all risks are appropriately identified, assessed and mitigated, for example through implementing countermeasures or increasing the resilience of specific infrastructure components.

2.2.6   ROADMAP: IS02.06

As part of the service delivered to the Council we will define and develop a Technology Roadmap which will be used to underpin the overall ICT Strategy. This will describe the associated deliverables, their interrelations and the outcomes.

Capita's Enterprise Architect, who will be responsible for the creation of the Technology Roadmap, will work collaboratively with the Council and relevant third party vendors and will ensure that the imminent release of new technology or the retirement of older technology is factored into the roadmap.

Throughout the delivery of the Roadmap to the Council, all designs, plans and implementations will be fully documented to provide a clearly auditable trail, as well as being used to communicate all actions to relevant stakeholders.

The Technology Roadmap will be issued for agreement and sign off within three months of the ICT Strategy approval sign off. Thereafter, it will be refreshed on an annual basis.

An example of a consolidated ICT roadmap extracted from a much larger document for an existing customer is shown below:
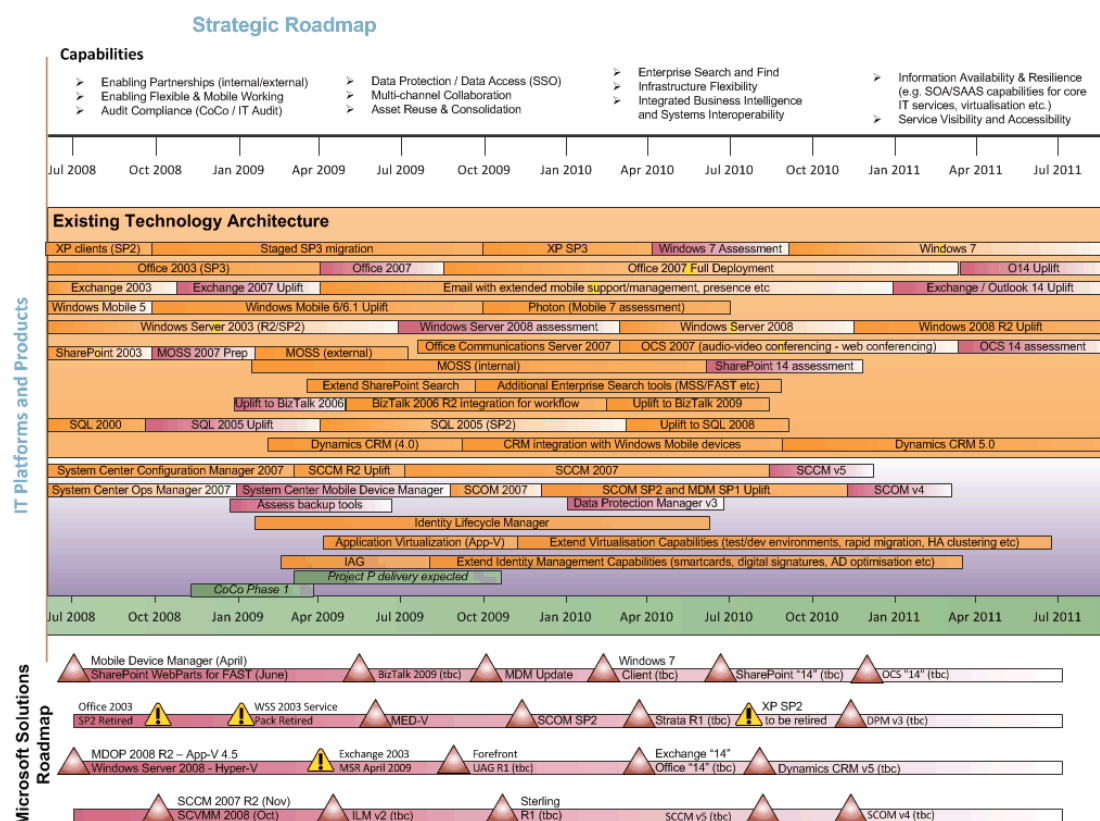
Figure 7 - Example consolidated roadmap

2.2.7 DEVELOPMENT AND MAINTENANCE OF ICT STRATEGY: IS02.07

We will ensure that the ICT Strategy developed for the Council is created and maintained with sufficient time for integration with the Council's business planning cycle, to enable the budgets to be finalised for the following financial year. Consequently, the IS Business Plan will need to be developed and agreed in December of the preceding financial year.

The ICT strategy will be refreshed annually, to ensure continued alignment with the Council's corporate plans and updated business strategy and/or legislative changes.

2.2.8 SOLUTION ARCHITECTURES AND DELIVERY PLANS: IS02.08

Our ICT Strategy and Technology Roadmap will be underpinned by comprehensive solution architectures and delivery plans for the next year, as well as outline plans for the following two years.

Capita follows an Enterprise Architecture approach and comprehensive, industry best practice supporting documentation will be created and maintained for all aspects of the service.

This documentation will cover all service components including the technical infrastructure, applications, network architectures and associated business/technical processes. Capita's architecture model will be based upon the industry recognised TOGAF 9 framework, creating the following architectural views:

▪ **Preliminary** - the environment and constraints in which the business operates, including business goals, objectives and requirements

▪ **Architecture Vision** - a high level description of the new/current architecture articulating new requirements, constraints, benefits and key business drivers

▪ **Business Architecture** - a detailed description of the business processes supported by the solution

▪ **Information System Architecture (Data and Application)** - the detailed understanding of the aspiration for the way the Customer business solution should operate in the future in relation to data and applications

▪ **Technology Architecture** - the detailed understanding of how IS infrastructure and networks support the data and application architectures

▪ **Implementation and Governance** - documents Customer business processes currently performed, including the teams and systems involved.

These architecture models and the TOGAF Architectural Development Method (ADM) method will act as a communication bridge between Capita and the Council and will ensure that both parties understand the magnitude and nature of infrastructure (hardware or software) change and IS support, providing assurance to the Council the services are securely managed and deployed.

An on-line collaboration site will be set up for all Council specific documentation, facilitating controlled access to authorised personnel.

2.2.9   BENEFIT ANALYSIS: IS02.09

We will work closely with the Council in developing outline solution options, reports and business case proposals for any additional ICT enhancements that are proposed during the contract term. Our approach for commissioning Special Projects is described in detail in Schedule 15.

We will carry out an impact analysis and assessment in order to determine the viability of proposed solutions, highlighting any risks, the associated cost of implementation and any additional ongoing service delivery costs as well as the key benefits to be delivered. The development of Strategic (Outline) Business Cases which clearly set out the objectives, scope, outcome, benefits and costs will enable us to work with the Council to prioritise the projects that will be delivered by the IS strategy over the following three years as described in 2.2.6 – Roadmap: IS02.06. First Year and Existing 'In-Flight' Projects: IS02.10.

We recognise the importance of ensuring that the Council's 'In Flight' projects are taken into consideration in planning and resourcing the proposed Transformation Programme to ensure that there is no detrimental impact on their progress.

We will ensure that all projects in progress at the service cutover are effectively integrated into the Transformation Programme and the agreed first year project plans to ensure continuity of service during implementation of the project portfolio.

Our rigorous transition processes and programme and project management methodologies will ensure that any risks associated with the transfer of any in-flight projects in progress at service commencement are mitigated and that there is minimal disruption or delay to these projects.

Our approach will be to undertake a review of the status of in-flight projects during Transition and prior to Service Transfer Date to allow us to allocate dedicated Project Management resources with responsibility for managing the delivery of any in-flight/ other projects that are being implemented from Service Transfer Date.

We will ensure that all projects remain on track by applying appropriate resourcing and effective management, monitoring and communication across all projects.

2.2.10 BUSINESS AND/OR STATUTORY OR LEGISLATIVE CHANGES: IS02.11

We recognise that the ICT strategy and supporting architecture will need to evolve to align with significant changes within the Council's business and/ or to ensure compliance with new statutory or legislative changes introduced.

Our ongoing engagement and communication with the Council, participation and engagement across numerous public sector forums, and access to market intelligence, means that we have a strong insight into the challenges that the Council needs to address and to identify any changes that are required to comply with future legislation and standards. This will enable us to assess the impact on the ICT strategy/architecture and ensure that any necessary changes are made and approved as soon as practicable.

2.3 FINANCIAL MANAGEMENT: IS03.01

We confirm that we will meet all of LBB's requirements relating to IS financial management.

Our strategy for the IS Service supports the Council's aim to move towards unit or transaction based pricing and 'pay as you go' ICT services, allowing the businesses to be charged for the use they make of those services.

Financial Management is essential so that both Capita and LBB clearly understand the real costs in providing the agreed services. Any cost recovery mechanism must be clear and effective in order for the costs to be recovered from the Council and enable it to assess the value for money it receives from Capita. We will provide the Council with effective Financial Management services which include:

- Providing a breakdown of planned and actual costs for each component of the service - reviewed at regular intervals throughout the year

- Ensuring all elements of service costs are visible to the Council, so that they can accurately establish value for money

- Ensuring that pricing policies for service and volume changes are clearly understood and are simple to apply.

Fixed and Variable Charging

We propose a **fixed price fee for the core contract**, based on the Council's stated baseline for users and the asset information provided. By doing this, we have created price certainty for the Council against these baselines and we have underwritten the savings we have offered against the Council's current expenditure for the IS service.

In addition, we have identified those elements of the service that are fixed and those elements that are variable and are driven by demand (for example, those charges that could be affected by the number of Council users, where demand may vary or where charges are based on the number of devices supported by Capita). These elements of charge will be subject to a **volume variation charging mechanism**, initially based on the costs for us to provide the resources to support the Council, but over time developed into a **utility charging model**. Council services will have the ability, for example, to select options for types of device and that, in turn, means we can lower the unit charges further.

By providing an element of volume driven pricing, we believe we can support the Council's aim to only pay for what the Council uses and have offered increased commercial flexibility that recognises the way the Council is changing to a commissioning model, and the expectation that the user base will contract.

We have tried to keep the fixed elements to a minimum (these are generally core infrastructure elements like the Network where we can't flex the contract in line with demand or user numbers but have to commit to a minimum sizing or contract term in order to secure the Council the best commercial rates). It remains our intention however, to move to the more **intelligent utility charging model for as many service elements as possible** by, for example, delivering Cloud based services such as Google Apps, as opportunities arise to replace, refresh or renew solutions, applications and services. We envisage that 50% of IS service charges will be subject to volume variation charges by the start of year three.

As we are undertaking an extensive programme of IS transformation, during which we will update, refresh and modernise the Council's IS estate. We are proposing that during the first two years of the contract, the volume driven charges will relate only to the support costs for elements of the services - where demand is driven by the number of supported users. Within the Financial Model in Schedule 4, Part 2 Pricing, we have shown those elements of the IS service that would be subject to variable pricing in the first two years in this way and the thresholds that trigger an increase or decrease in charges to the Council, which include:

▪ Service Management

▪ Desktop Services

▪ Service Desk.

Within those two years, we will also work in collaboration with the Council to develop the more intelligent utility-based charging model, to be implemented from year three and which we anticipate will be made up of the following components:

- A fixed element covering the infrastructure and service elements, which are required regardless of the number of users supported (or any other variable elements)

- A variable infrastructure charge, which will vary on the basis of:

    - The compute power (memory and processor usage) consumed

    - The volume of storage used

- A variable desktop charge, which will vary on the basis of the end-user devices we supply and support:

    - Fat Client laptop

    - Fat Client desktop

    - Thin client device

    - BYOD (Bring Your Own device)

- A variable third party licensing, maintenance and support cost, which will vary based on user/department selections from a menu of corporate and business software services.

Our proposal represents a path of continual improvement, offering the Council the ability to pay, initially on the basis of supported users, and then moving to a model where the Council can more effectively control and drive down their costs and support more accurate departmental recharging.

Our Business Relationship Manager will lead the engagement with stakeholders within the Council (such as Service Heads) to consult on the proposed options available to services for utility pricing and how it will be implemented in practice as part of the Partnership approach to co-design with its customers. As new options become available, we will then be able to offer an increased level of volume driven pricing and the benefits of any reduction in the unit costs will be passed back to the Council through a reduction in the Monthly Service Charge.

2.4   COMMERCIAL MANAGEMENT: IS04

As the Council's partner, we will manage ICT contracts and any third party suppliers to ensure the services the Council receives are reliable and delivered seamlessly, cost effectively and to the highest standards.

Capita's Contracts Manager will have overall responsibility for all Commercial Management activities and will deploy our established best practice procurement and supplier management processes in delivering this service. We have developed these processes over many years of working with and managing multiple suppliers - on many of our ICT managed service contracts, we are responsible for managing in excess of 100 individual sub-contractors.

We will:

- Align supplier contracts with agreed KPIs and Council business need

▪ Review suppliers to ensure they are meeting business needs and their underpinning contractual obligations

▪ Manage contractual disputes with a formal process

▪ Measure performance against targets to enable us to identify and deliver improvement actions

▪ Maintain high quality services regardless of who is delivering the service.

We have established relationships with industry-leading technology and ICT service suppliers, and a track record of working with them to deliver seamless services. These relationships mean we can procure from high performing suppliers at cost effective prices, especially when we combine the relationships with our extensive buying power and our qualified Procurement Officers.

2.4.1 PROFESSIONAL PROCUREMENT: IS04.01 – IS04.02

Capita has strong levels of procurement expertise. We purchase assets and services at advantageous rates on behalf of the majority of our managed service customers. We also support these customers through major ICT procurements, often leading the process on their behalf. For example, we procure on behalf of Gloucestershire County Council, whose IS estate consists of over 5,000 desktops and 100 servers across 120 sites.

With processes and expertise in place, we will be able to ensure the reliability and integrity of the products and services we procure to support the Council.

With the current budget constraints on local government, price has become even more important in the procurement of IS assets and services we will procure hardware, software and services at the best price using:

Qualified and professional personnel - Capita has an established procurement department with professional officers who are qualified members of the Institute of Purchasing and Supply. Incentivised on financial savings, these specialists will seek out opportunities to reduce costs throughout a contract's lifetime. They will also ensure we comply with the Council's Procurement Policy.

Capita buying power - The Council will benefit from the purchasing savings Capita makes by leveraging its very significant purchasing power. The Capita plc is a FTSE 100 organisation with a £3bn plus turnover that negotiates with significant suppliers on a global basis to provide best value to its customers. As a major client of Cisco, HP, and many other significant vendors, we will generate substantial savings, which we will pass on to the Council

Rigorous supplier management - We have stringent processes for selecting, using, managing and measuring sub-contractors. These ensure we assess and select appropriate suppliers that deliver value for money, through negotiating the optimum terms and conditions and by minimising any contractual or commercial risk. Supplier management is covered in more detail in our response to IS04.07 below.

Capita always purchases goods from bona fide suppliers and vendors to ensure proven integrity of supply and the provision of reliable and cost effective products and services. We source from major Tier 1 suppliers, such as Cisco, HP, Dell and Oracle

(Sun Microsystems), and from proven market leading service providers, such asVtesse and Disaster Recovery Services Ltd, who deliver sub-contracted services on many of our Managed Service contracts. We have long established working relationships with each of these suppliers.

Integrity for supply chains means a system performs its intended function, in an unimpaired manner, free from deliberate or inadvertent manipulation. By sourcing from these types of suppliers and applying our best practice procurement and financial procedures, we will mitigate against the risk of procuring counterfeit products and ensure timely and safe delivery.

Please refer to the Procurement Method Statement for additional detail.

2.4.2 ICT CONTRACT MANAGEMENT AND NEGOTIATION: IS04.03

Supplier Management is one of the key processes within our ISO 20000-accredited service management and support operation. It will enable us to manage, monitor and renegotiate all ICT contracts for LBB, as well as evaluate whether they are a necessary part of the ICT service.

We have extensive experience in negotiating and managing multiple third party contracts on behalf of our customers, including Birmingham City Council, Devon and Cornwall Constabulary, West Sussex County Council, Gloucestershire County Council and the London Boroughs of Lewisham and Bromley. These contracts cover a broad range of services and suppliers, including hardware break and fix, internet hosting, telephony, printing services, data centre hosting and numerous hardware, infrastructure and software suppliers.

In addition to focusing on the quality of service delivery, our suppliers and sub-contractors are regularly benchmarked to ensure the delivery of long term value for money to our customers. Our central procurement team use a dedicated toolset to monitor the 'Market Channel Buy Price' of commodities on a daily basis to maximise cost savings opportunities with Supply Partners and Distributors. Third party vendors have their pricing benchmarked by Capita against prevailing market conditions throughout the term of the contract.

2.4.3 TERMINATION/EXIT: IS04.05

We will proactively manage all third party contracts throughout the term in order to ensure the Council receives the optimum service delivery and value for money and will inform and liaise with the Council when any contract is nearing completion; should any Sub-contractor's performance fall short of the required service levels or where we believe the services can be provided more cost effectively by another supplier.

This will be documented within the Service Management Reports and discussed with the Council at the monthly Operational Review Meetings (or sooner should any supplier performance issue need to be addressed urgently).

We will maintain and monitor a supplier database containing information relating to all sub-contractors and the services/products they provide on behalf of the Council. Whenever a contract is due to end, we will explore options, including extension, re-negotiation, and whether there are any benefits in transferring to a new supplier.

Contracts may also need to be terminated due to poor performance. Our best practice Supplier Management process will ensure that we build and maintain effective relationships with all of the Council's Third Party Contractors. Comprehensive underpinning contracts and KPIs will specify the agreed performance levels and operational processes and procedures in order to clearly identify supplier engagement in service delivery and any under-performance.

We will continually monitor and measure supplier performance throughout the contract term in the same way we expect to have our own performance monitored and measured. Supplier performance will be formally reviewed at agreed intervals to ensure that our commitment to the Council is upheld and exceeded whenever possible. This will ensure that any issues are highlighted and addressed promptly. Should a supplier be unable to do improve their performance, we will select an alternative supplier based upon a clear understanding of the Council's specific requirements/ defined systems specifications.

Our Supplier Management process (described in detail within 2.4.5 Management of Third Party Suppliers: IS04.07 below) will ensure that the most appropriate suppliers are selected. In addition to ensuring that ICT services and products are purchased at the optimum cost, the process will ensure the ongoing delivery of reliable services and products to the Council.

The above approach will ensure the quality of the ongoing services delivered to the Council and value for money. Should a Contract with a supplier or Sub-contractor end or be terminated for any reason, there will be a seamless transfer to a new supplier or Sub-contractor, ensuring business continuity.

2.4.4 ICT ASSET RENEWAL: IS04.06

As part of our Service Asset and Configuration Management (SACM) process, we will maintain a schedule of renewal for all IS assets on our Configuration Management System (CMS).

We will identify the age of hardware during transition, either from an existing database or from Basic Input/Output System (BIOS) date, make and model or break/fix supplier information. We will also review existing software licence documentation and use Snow, a comprehensive software licence management tool, to ascertain software usage across the entire estate.

Once we have completed a detailed discovery activity during Transition we will be able to identify those IS assets that are approaching end of life. This will enable us to:

- Identify opportunities to maximise asset usage (e.g. hardware approaching end of life in one Delivery Unit may be suitable for another, less technologically demanding area)

- Mitigate the risk of the Council being over or under licensed, and reduce costs by removing unused software

- Procure required hardware and software using our proven procurement processes

- Refine our proposed Technical Refresh Programme.

For the Council's end of life equipment and redundant software media, we will provide a safe, secure and environmentally friendly decommissioning service. If equipment is suitable for re-use, refurbishment or recycling, we will reformat hard disks and repair or upgrade as appropriate. Wherever possible, we will recycle equipment for use by local enterprises and individuals and pass on any income this generates to the Council (for more details, see 2.12.26 PC/Laptop/Tablet Disposal: IS12.26.

2.4.5 MANAGEMENT OF THIRD PARTY SUPPLIERS: IS04.07

We will regularly monitor the performance of every supplier against agreed requirements, including quality, service level performance and value for money. We will also review commercial risk and business practice factors. For example:

- Financial performance

- Key personnel changes

- Environmental management

- Business continuity planning

- Market position.

Third party suppliers will also be subject to continual assessment of their ethics, ethos and customer focus, ensuring they continue to align with the Council's vision and needs. All on-going assessments will be included in the monthly service management reports.

Throughout the term of the contract, we will benchmark the pricing of all third party suppliers against prevailing market conditions. As mentioned earlier, our procurement department uses a dedicated toolset to monitor the 'Market Channel Buy Price' of commodities every day to maximise cost savings opportunities with product supply partners and distributors. This service will encompass all services, hardware and software, including those covering schools administration and curriculum as part of the ICT schools service.

Where a supplier falls below a required standard, we will take prompt action to correct the underperformance or risk issue. If necessary, we will change suppliers to maintain service quality, liaising with the Council before terminating or exiting any contract.

Selecting suppliers

To ensure better service and prices for customers, we operate a preferred supplier model, which includes established criteria for selection, including Dun and Bradstreet checks, reference checking and competitive tendering. All suppliers that wish to attain or renew a contract to deliver service to the Council will be subject to our formal assessment and accreditation model, which is illustrated below:
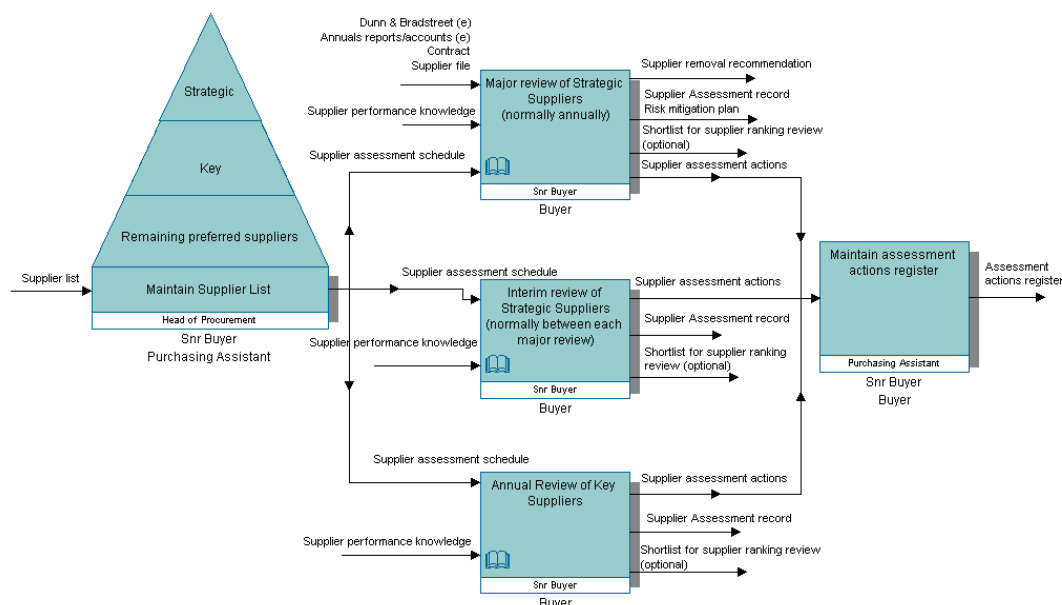
Figure 8 - Capita Supplier Assessment and Accreditation Process

We will assess and measure suppliers against defined criteria, following competitive tendering processes where appropriate. Our process, which was developed and externally audited to achieve accreditation to the ISO 20000 standard for service delivery, includes the following evaluation criteria:

CRITERIA	ASSESSMENT
Specifications	Confirmation of ability to meet all requirements and standards.
Customer service	Relevant policies and practices, customer satisfaction feedback.
Policies and accreditations	Health, safety, environment, quality, information security, service management.
Business continuity	Business continuity and disaster recovery plans.
Capability and performance	Industry experience, references, staff, technology.
Strategic	Market place analysis, location, alliances and partnerships.
Business development	Technology and innovative solutions.
Financial viability	Full financial disclosure, meeting industry key financial

CRITERIA	ASSESSMENT
	ratios.
Risk and insurance	Adequate insurances, risk acceptance.
Legal	Terms and conditions compliance, related contractual legal proceedings, existing or potential conflicts of interest.
Financial	Price, approach, warranties, discounts, payment terms/methods.

We will base the selection of suitable suppliers on a clear understanding of the Council's specific requirements and the defined systems specifications. Our assessments will ensure suppliers can deliver the required goods and services at a reasonable price, and can meet any necessary scalability, performance, resilience and sustainability requirements. We will also agree (or renegotiate) an underpinning contract with each supplier, which will define commercial terms and the service levels to be delivered.

The result for the Council will be best value reliable services and products.

2.4.6 NON-NOVATED CONTRACTS: IS04.08

We will manage all ICT supplier contracts, including those that are not capable of novation to Capita. Our Service Desk will be the first point of contact for all calls relating to the services provided by all third parties, which will give us direct control over Incident, Problem and Service Management. This will enable us to manage the end to end services to the Council effectively.

We will comply with all contract terms (unless otherwise agreed by the parties) to ensure that our actions never put the Council in breach of contract. We will monitor the performance of each supplier against the contracted KPI, providing strong governance. This will ensure the Council receives a seamless, professional and aligned solution where all parties understand each other and work together to guarantee service delivery. Performance reports will be included in the monthly reporting pack. We anticipate the regular service delivery reviews will provide an appropriate forum for managing the performance of the main suppliers.

We will inform the Council immediately of any contractual issues that we cannot resolve ourselves and provide any relevant information and assistance required to address the issue. We will also provide support during any relevant contract extension or renewal.

As part of our process of Continual Service Improvement, we will work with the Corporate transferred procurement team to deliver more beneficial contracts with existing or new suppliers. Should the need arise to re-tender future third party contracts, we will accept novation of these on the reasonable assumption we have been engaged in the contractual process and have no issue with any of the contractual arrangements.

Further details can be found within the Procurement Method Statement

2.5   BUSINESS RELATIONSHIP MANAGEMENT: IS05

We will establish a strong and visible Business Relationship Management function that will provide effective and ongoing management, support and value creation on behalf of the Council. We will work proactively and in close partnership with the Council as a strategic partner and will undertake Business Relationship Management activities to proactively highlight opportunities for developing the services to deliver efficiencies, ensure the services align with the Council's ongoing business needs and are compliant with any necessary legislation, including information management and security standards.

This service element will be led by the Capita IS Business Relationship Manager (BRM) in conjunction with the IS Programme Manager and Enterprise Architect. We will provide the expertise to ensure that the opportunities for efficiencies that ICT can offer are effectively explored with all of the Council stakeholders, supporting the Council in the development of business cases whether for transformation or as part of Continual Service Improvement.

The Business Relationship Management function will feed into the development of the ICT Roadmap and supporting plans. When required, the key Business Relationship Management roles will be supported by relevant specialist and subject matter experts (SMEs) within Capita's wider organisation, in order to ensure that all opportunities for enhancing services are proactively explored and evaluated. We will focus delivery on those enhancements that will realise business benefit and support the Council in meeting its strategic objectives, as well as identifying those changes that are necessary to ensure statutory and legislative compliance.

In delivering this service, we will ensure we develop a deep understanding of the Council's business requirements and draw on our experience and expertise in order to add value and deliver innovation to the core contract. The function will also address process improvements and market focus as well as embracing new technology to ensure continued alignment with the Council's business and ICT strategies.

We will be an agent of change, proactively identifying opportunities where technology innovation can be of benefit to the Council, and promoting new technologies and their benefits to the Council.

Technology Innovation Board

Our experience of implementing an innovation process with other public and private sector customers shows that better results can be achieved if an Innovation Board is formed, with representation from the Council and Capita.

We therefore propose that a Technology Innovation Board is established with members of the Council Delivery Units and the Capita delivery team. This board will operate within the context of Capita's overall approach to Service Design and will meet on a regular basis (usually every six months) to provide a focus for generating innovation ideas and to discuss all innovation opportunities that have been highlighted by Capita. Where appropriate we will involve and work closely with our partners and other third parties, for example Apple and Google. The Innovation

Board will evaluate all ideas presented from a business and technical perspective in order to decide which will be taken forward to implementation - as illustrated below:
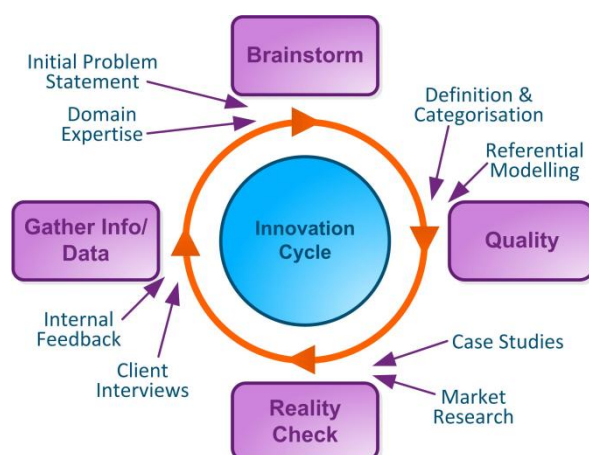
Figure 9 - Capita's Innovation Lifecycle

An important role for the Technology Innovation Board is to provide feedback to the generators of those ideas that are not selected that they may incorporate the feedback into the presentation of new ideas at a later date. This continual feedback loop will help ensure a steady supply of innovative ideas all of which are aimed at producing substantial business benefit for the Council.

Capita's Enterprise Architect, in conjunction with the Technology Innovation Board, will be responsible for developing proposals for those ideas to be taken forward for approval and implementation in line with the defined governance process outlined in Schedule 15. The Steering Group will ensure such projects fit with the Council's overall ICT and business strategies and will ensure that the expected benefits of each project are realised.

2.5.1 INFORMATION GOVERNANCE COUNCIL (IGC): IS05.01

We will actively engage with the Council's IGC to discuss business requirements and suggest technology improvements in support of the Council's ongoing Information Governance. These meetings will be scheduled at least on a quarterly basis, in agreement with the IGC.

Our core business is certified to ISO/IEC 27001:2005 (ISO27001) and delivers services to many customers who operate in highly secure environments. We will ensure these standards are applied in delivering the Council's ICT services.

Our dedicated IS Management Team will liaise with Council's Information Governance Council in order to implement a comprehensive Information Security Management System which will help to protect the Council's IS services, data and employees from Security breaches.

Our Information Security Manager will effectively 'own' the Council's Information Security Policy. Specifically, it is anticipated that this role will:

▪ Direct and agree security standards and policies

- Own and update the Council's existing RMADs (if applicable)

- Approve content filtering and website blocking rules

- Ensure that all Council users comply with the agreed security policies and processes

- Help the Council discharge its Data Controller / Owner responsibilities.

We anticipate that this role will sit within the retained Information Governance Council.

The team will be supported by technical specialists within Capita's broader business, including CESG qualified CLAS consultants, to discuss security related requirements and proposed changes to ensure ongoing Information Governance and compliance with the Council's Information Security Policy and required codes of connection.

2.5.2 SERVICE UNIT BUSINESS REQUIREMENTS: IS05.02

Our Business Relationship Management function will own the relationships with key business stakeholders within the Council, including Service Unit representatives. Our Business Relationship Manager and Enterprise Architect will undertake regular liaison with the Council's key system owners, Delivery Unit representatives and other senior stakeholders in order to understand any current issues, capture requirements and provide feedback on on-going initiatives. By building an open, honest and transparent environment, we will be able to work effectively with the Council on a day to day basis, offering advice and guidance on the use of technology, in order to ensure business needs are met and enable the delivery of optimum services to customers.

We will consult with Delivery Unit representatives to gain a deep understanding of their ongoing business requirements. This will ensure these requirements are taken into account as part of the ongoing development of the IS services provided and that the Commercial and Technical ICT Strategies continue to meet their business needs.

2.5.3 BUSINESS CASE DEVELOPMENT: IS05.03

We understand that the IS services we deliver to LBB will need to evolve and develop on an on-going basis. There will be constant innovations and developments in service delivery and technology that can be deployed to enhance the service provided to the Council.

All proposed new/future Special Projects will be supported by a comprehensive business case which clearly outlines the scope of the project, the cost of delivery and the expected business benefits. Projects will be evaluated and filtered using our two stage business case approach. An outline 'strategic' business case will be created initially to assess and shortlist viable projects. Following that, a full business case will be developed for those projects which meet the required criteria. This approach is described in detail in Schedule 15, Special Projects. In recognition of this, our Enterprise Architect (an experienced business and technical consultant) will work closely with senior stakeholders within the Council, alongside the Capita IS Business Relationship Manager, Service Delivery Manager and IS Service Head to gain a deep insight into LBB's business. We will continually monitor and review the services we deliver to the Council to identify issues and trends, keep abreast of new

technology and advancements and take into account the experiences of our other Managed Service customers.

Through these activities, we will identify opportunities for improving the services by, for example, introducing new technology or tools, improving processes and the delivery of training or skills transfer. We will provide the Council with strategic advice and guidance on the inception and delivery of innovations, proactively bringing ideas for service enhancements and improvements to the Council which will support the Council in achieving its overall business strategy and objectives whilst ensuring alignment with the agreed ICT Strategy.

The quality of services will be improved through a process of on-going Continual Service Improvement, rather than a reactive response to a specific situation or a temporary crisis.

2.5.4   DEVELOPMENT METHODOLOGY: IS05.04

Capita will agree a methodology with the Council for development of innovative and improved services. Our services are underpinned by ITIL best practice and Continual Service Improvement.

Continual Service Improvement

The quality of services will be improved through a process of on-going Continual Service Improvement, as illustrated below, rather than a reactive response to a specific situation or a temporary crisis. Continual Service Improvement is based upon ongoing measurement and analysis in order to identify opportunities which deliver business value.

Figure 10 - Continual Service Improvement

We will ensure that a review of the ITIL Continual Service Improvement Programme takes place on a regular basis, as a minimum at each of the Operational Board Reviews, in order to be of relevance and The Continual Service Improvement Programme itself is at the highest level, and will be in line with organisational requirements and associated rewards. A number of measures will be established to define quality and quantity, such as percentage improvement in known errors against a baseline figure.

Technology Innovation Model

Continual Service Improvement is also facilitated by Capita's Innovation model, utilised as a tool within our overall co-design approach. We recognise that although innovation is not necessarily the product of logical thought, a logical model is required to provide structure to support truly creative thinking. Our innovation

framework is designed specifically to provide this logical structure, which supports the radical thinking required to produce ideas that use existing technologies in new ways.
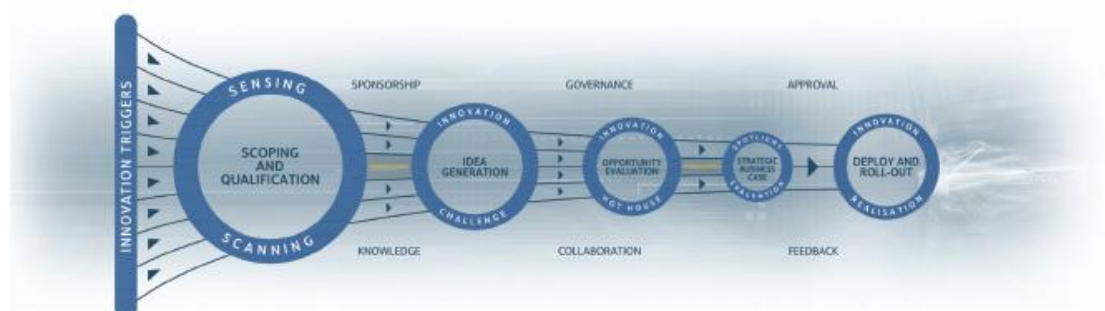
Figure 11 - Capita's Innovation Model

Our Innovation Model, illustrated above, takes an initial vision or problem statement that can be quite broad in scope, for example, 'Improving outcomes for children and young people'. This statement helps to assess the current position and identify measurable future targets. It provides boundaries to the brainstorming activity by describing the specific problem that the Council is seeking to address. Left un-scoped, the exercise would be little more than a conversation about 'blue sky possibilities' and would be unlikely to provide any outcomes of benefit to the Council.

The model enables ideas to spark other ideas for consideration and further refinement. All generated ideas are subjected to a qualification process whereby the 'idea' is tested against real-world factors to see if it has merit. Such factors are presented as perspectives that will have a bearing on the environment in which the idea will operate. These perspectives are likely to be:

- The citizen perspective

- The Council's viewpoint

- Inter-department cooperation

- Technology

- Reports

- An operational perspective.

This process of idea qualification produces case studies that show how each of the ideas would fair were they to be implemented and what benefits the Council could expect were the ideas put into action.

The power of this Innovation Model is that it enables ideas to be assessed alongside real-world examples and conditions - providing stakeholders with something more than intuition on which to make a decision.

2.5.5 OUTLINE BUSINESS CASES: IS05.05

Our Business Relationship Management Team will support the Council in scoping and developing project work based upon business cases.

Our approach for commissioning Special Projects is described in detail in Schedule 15, and our Project Management methodology, Business Transformation and Change (BTC), are described in the Corporate Programmes Method Statement. BTC is based upon the principles of both PRINCE 2 and Managing Successful Programmes (MSP).

We will support the Council in developing and agreeing Strategic Business Cases for proposed projects, in line with our 2 stage approach. These business cases will provide information about the proposed project investment and the forecasted business benefits and will describe the objectives, scope, outcome, benefits and expected cost of the proposed change. Please refer to Schedule 15 for more detail.

2.5.6 DOCUMENTATION OF IMPACTS ON PROPOSED ICT STRATEGY CHANGES: IS05.06

All proposed changes will be formally evaluated in order to understand the impact on the ICT Strategy. This impact analysis will be documented in an agreed format to enable the impact of proposed changes to be discussed with key stakeholders within the Council. This will enable the Council to make an informed decision when approving/ rejecting changes.

2.5.7 FULL BUSINESS CASES: IS05.07

When requested, we will support the Council in developing and agreeing Full Business Cases, building on any Strategic Business Cases which are selected for further qualification. The Full Business Case will include a detailed description of the solution, along with a fixed price, detailed implementation plan and a benefits realisation plan. This activity will be carried out in accordance with our approach for commissioning Special Projects as described in Schedule 15.

2.5.8 BUSINESS RELATIONSHIP MANAGEMENT MEETINGS: IS05.08

We will agree a schedule for ongoing Business Relationship Management meetings with the Council. These meetings will act as a forum for updating Service Users on new technology developments and advising on the relevant use of technology which can be deployed to improve services and ensure they continue to align with the Council's business strategy.

2.5.9 COMMUNICATIONS PLAN: IS05.09

As described earlier in this response, we propose to work closely with LBB during the early stages following contract award to provide a Communications Plan specific to the delivery of IS Services. The objectives of this Communication Plan are to introduce the mechanisms that will be required to:

- Facilitate the introduction of two-way communications to the service stakeholders within the Council

- Convey accurate and timely information to all stakeholders and establish the correct feedback channels

▪ Provide appropriate management information about the service and its progress

▪ Ensure fast responsive processes to resolve any conflicts and issues that should arise

▪ Ensure a communication process is established where Council staff are kept regularly updated on progress of the service.

The Communications Plan will outline the strategy for managing and communicating to the impacted parties and key influencers to ensure effective communications throughout the period of the service in relation to technology developments.

The plan will identify the stakeholders, specify the communication channels and outline in detail any proposed regular meetings and reporting that will be made. This will ensure that effective engagement and communications between Capita and the Council are maintained throughout the life of the service provision.

2.5.10 INTERVIEW AND WORKSHOP PROGRAM: IS05.10

In addition to informal liaison with Council ICT users on a day to day basis, we will set up a number of communications channels to facilitate the regular exchange of information. As part of our co-design approach (set out in greater detail in our Transformation Method Statement), we will engage with each of the Service Units and establish a programme of interviews and workshops to capture information, issues, ideas and requirements in support of the development of the ICT Architecture and Strategy.

These workshop sessions will generate opportunities for further discussion and put forward opportunities identified in other governance and service review meetings and forums for discussion and expansion. These sessions will review progress on agreed initiatives, suggest and agree new opportunities for investigation and development.

2.5.11 SERVICE UNIT ICT OPPORTUNITIES: IS05.11

We will use the information captured during the interviews and workshops described above when reviewing the ICT strategy in order to identify opportunities to exploit ICT at Service Unit level.

2.5.12 STATUTORY REQUIREMENTS AND LEGISLATIVE CHANGES: IS05.12

We will support the Council in reviewing and developing its ICT Strategy and architecture, gaining agreement from the Council where appropriate, to ensure they align with the Council's statutory requirements and any forthcoming legislative requirements. This will ensure that the ICT services Capita delivers continue to meet Government directives.

Capita is well placed to support the Council in this area, being very familiar with the business environment in which the Council operates. We have various roles within our organisation with responsibility for keeping abreast of changes within the public sector, including the drivers and challenges they face and regulatory/policy changes.

As previously described in response to IS02.02 above, we subscribe to Kable and participate in various government forums, including the government's innovation forum and are an active member of Intellect and Whitehall Industry Group. We are

also a member of and attend various public sector forums and subscribe to various local government related and other publications.

These provide insight into public sector initiatives, policies and challenges and will result in feedback to the Council or relevant elements that will impact on the Council's plans.

2.5.13 JOINT-WORKING ICT OPPORTUNITIES: IS05.13

Our Business Relationship Management function will provide advice and guidance to the Council and help drive service evolution throughout the contract. In doing this we will draw on our experiences with similar customers and share ideas for joint working where appropriate, including the development of shared services.

Our access to Government, Local Government and commercial enterprises will enable us to seek out and bring to the Council opportunities for joint working initiatives.

At a local level, our involvement in the Barnet EcoSystem will enable us to identify potential opportunities for joint working with organisations providing services to the Barnet communities.

We already deliver a number of shared service contracts, including ICT and Voice and Data Network services to the London Boroughs of Bromley and Lewisham and ICT services for four Essex Councils. Through our shared service model, we have been able to provide flexibility and realise substantial benefits on behalf of these customers and we will be able to draw on these experiences and expertise in this area to recommend relevant approaches for LBB.

2.5.14 SERVICE UNIT REQUIREMENTS FORWARD PLAN: IS05.14

Changes to the ICT Roadmap as a result of changes in Service Unit requirements will be approved and prioritised in line with the defined process in the Corporate Programmes Method Statement. We will maintain and publish a Forward Schedule of all approved Changes and make it available to nominated stakeholders via an on-line portal.

All changes to the ICT Roadmap will be managed via our ITIL-based Change Management Process, which will be agreed with the Council.

2.5.15 BUSINESS RELATIONSHIP MANAGEMENT FORWARD PLAN: IS05.16

As described in our response to requirement IS05.10, a number of Business Relationship Management meetings will be held with the Council to discuss the status of services / suggested improvements and on-going projects.

The schedule for these meetings will be agreed with senior stakeholders within each Council Directorate in order to create an updated Annual Service Plan. In support of these meetings, comprehensive proposals and reports will be created.

2.5.16 TECHNOLOGY STANDARDS: IS05.17

We have helped many organisations realise the benefits of new technologies and innovation and will advise the Council on long term developments and innovation opportunities which can improve the efficiency of the service and deliver business

results. We have established relationships with numerous key technology suppliers and we will draw on their expertise in highlighting opportunities to enhance the services provided and drive innovation to deliver maximum benefits.

Our Enterprise Architect will work with the Council to:

- Understand where technologies need to be upgraded or replaced

- Evaluate business objectives and constraints

- Develop technology standards and common platforms.

In so doing, the Enterprise Architect will ensure that technology standards with new technologies are evaluated in line with business requirements and will also develop a technical and business roadmap to accurately reflect this. The agreed roadmaps will be maintained and will feed into the agreed Continual Service Improvement Plan (CSIP) and the ICT Strategy, including any changes to local standards, policies and procedures required.

2.5.17 SUMMARY OF SERVICE OUTPUTS

As part of our Business Relationship Management solution, we will deliver the following service outputs:

- Forward (annual) schedule of Business Relationship Management meetings

- Updated ICT Strategy

- Updated Annual Service Plan of proposed service enhancements

- Programme of interviews and workshops with Delivery Unit representatives, as part of our commitment to co-design

- A clearly defined development methodology

- Strategic Business Cases

- Full Business Cases

- Communications plans for disseminating information on technology developments.

2.5.18 BUSINESS RELATIONSHIP MANAGEMENT BENEFITS

Capita Business Relationship Management approach will ensure:

- Informed decision making

- The delivery of a clear ICT roadmap

- Ongoing development of services to ensure compliance with Council policies and standards

- Compliance with statutory requirements and legislation.

2.6 COMMUNICATIONS MANAGEMENT: IS06.01

Successful service delivery for LBB will be achieved through working in close harmony with the Council. Capita takes prides in establishing collaborative working relationships and experience has taught us that optimum service delivery will be achieved through establishing excellent two way communications at multiple levels throughout our respective organisations. Communications will be led by the Business Relationship Manager, who will co-ordinate the communications across all service elements.

When delivering IS Managed Services of this nature, we seek to establish effective two way communications processes which are tailored to suit the specific requirements and culture of the individual customer. Communications during the life of the contract will entail a mixture of information sharing amongst related parties and reporting on the business objectives of the contract. Whilst the bulk of the resources and activities will be provided by Capita, the Council has a key role to play also, providing assistance to ensure the expected benefits of the service are realised.

We will establish effective communications with the Council's ICT user community through a variety of formal and informal mechanisms to ensure that they are appropriately engaged. We will encourage regular communication from IS to the key stakeholders and user base to provide information on performance, future road maps, current initiatives underway and wider IS capability. Our co-design approach to service development will also ensure that users are actively engaged in change programmes.

Those involved in co-design meet together in structured workshop format initially to consider good and bad points about existing services, ideas for improvements or new services. We then use (where appropriate) additional research, observation and shadowing to gain a fuller understanding of needs and potential constraints. The results are developed into Service Concepts, with representative Personas, Journeys and best practice examples used to assess the potential impact of the change on those likely to be affected by it.

The resulting Service Concepts are then re-considered and refined at subsequent workshops. Depending on the complexity of the change, there may be a need to prototype or pilot it before implementation.

The diagram below summarises our co-design approach:

Figure 12 - Co-design approach

Timely communications from Capita to all impacted parties in relation to new/enhanced services and any service issues that have been highlighted will ensure that users are able to utilise the IS services effectively and ensure that any business disruption is minimised.

These two-way information flows will help to ensure that the services we deliver continue to meet the Council's ongoing business needs.

On-site Delivery Team

Capita's dedicated IS Service Head and Service Delivery Manager will ensure that an appropriate service delivery environment is created across the whole of the service delivery organisation. Proactive engagement will be encouraged and feedback from the Council's stakeholders and end users will be sought to maintain and improve working relationships throughout the lifetime of the Contract.

Our dedicated on-site delivery team will provide 'touch' services to the Council's end users. This will be key to our working relationship with the Council and as well as facilitating day-to-day communications will enable our staff to work closely with LBB's system users to gain an in depth understanding of the related business processes and their issues. Our staff are encouraged to provide feedback in order to highlight issues and/ or opportunities for improving services.

Enterprise Architect

A key responsibility of our Enterprise Architect will be to engage with the Council in order to ensure we fundamentally understand the Council's culture, strategies, objectives and priorities. This will enable us to ensure the ongoing evolution of the IS services in order to deliver business value to the Council.

Communications Channels

In addition to informal liaison with Council ICT users on a day to day basis, we will set up the following communications channels to facilitate an exchange of information:

- User Groups and scheduling informal workshops with systems owners and users to obtain customer views and opinions on specific services

- One to one meetings with key stakeholders

- Customer feedback from an agreed percentage of users following Incident closure.

The feedback we receive will enable us to update and/ or provide new support material, including user guides, training manuals, frequently asked questions (FAQ) and the Knowledge Base (within our RMS service management suite). This information will be accessible via the proposed self-service portal.

Communication of Issues and Changes to Council staff

Timely communications to users are essential in ensuring they are kept abreast of any ICT issues or changes and to minimise any service disruption. ICT issues impacting one or more groups of users and any planned service downtime for maintenance will be communicated to users via the Capita Service Desk, usually via e-mail or Announcements on the Intranet or other means in use by the Council. The timing and frequency of these communications will align to the Communications Plans agreed with the Council.

Project related changes which impact the service or processes will be managed as part of the related Programme or Project Communications Plan.

Business Continuity and Disaster Recovery

Capita will liaise with the Council's Business Continuity leads to understand the associated business processes and ensure that all requirements are taken on board in the Disaster Recovery and Business Continuity plans and communicated to stakeholders likely to be impacted.

Stakeholder and Communications Plan

As described earlier in this document, we propose to work closely with LBB during the early stages following contract award to provide a personalised Communication Plan specific to the requirements of the IS services. The objective of this Communication Plan is to introduce the mechanisms that will be required to:

- Facilitate the introduction of two-way communications to the service stakeholders within the Council

- Convey accurate and timely information to all stakeholders and establish the correct feedback channels

- Provide appropriate management information about the service and its progress

- Ensure fast responsive processes to resolve any conflicts and issues that should arise

- Ensure a communication process is established where the Council staff are kept regularly updated on progress of the service.

The document will outline the strategy for managing and communicating to the impacted parties and key influencers to ensure effective communications throughout the period of the service. It will identify the stakeholders, specify the communication channels and outline in detail proposed regular meetings and reporting that will be made in order to ensure that effective engagement and communications between Capita and the Council are maintained throughout the life of the service provision.

The Communication Plan will also include the agreed escalation paths. Ensuring these are declared and understood on all sides will ensure that a clear line exists to the resolution of challenges and issues that may arise during the life of the service. This in turn will help to build trust, confidence and respect amongst all stakeholders associated with the contract. Communications and escalation processes will be defined to align closely with equivalent positions within the Council.

Satisfaction Surveys

It is essential to know what our users really think of the IS services we deliver and as well as capturing user feedback and identifying opportunities for continual improvement through the co-design approach, an important element of communications is obtaining feedback through customer satisfaction surveys to benchmark the services we deliver and highlight opportunities for improvement. This feedback will be fed into the development and improvement of our services, based on our co-design approach.

These are based on the following:

User feedback following Incident Closure

As part of the ongoing communications, we will request and capture user feedback for an agreed percentage of employees immediately following Incident Closure. This will be triggered automatically using the RMS Service Management system auto response service. By capturing user satisfaction statistics at the point at which a user support request is closed the quality and accuracy of the results is improved. This immediate feedback on satisfaction levels allows the Service Desk analysts to respond to user perception of service degradation. Scores will be reviewed and reported on monthly to highlight improvement opportunities.

We have noted that the User Satisfaction KPI proposed by the Council measure is based upon CIPFA ref ITP6 (b) User survey (with a maximum score of 5). Capita typically uses the SOCITM (Society of IT Managers for local authorities within the United Kingdom) user satisfaction survey industry standard to measure user satisfaction. This is based upon a scale of 1 to 7 where 1 is poor and 7 is excellent, providing a more granular measure than the CIPFA approach.

At Gloucestershire County Council, User Satisfaction Survey results have remained consistently high throughout the contract term, with an overall SOCITM score of over six.

Independent Stakeholder Satisfaction Surveys

An annual independent stakeholder satisfaction survey will be undertaken. This will be based on a minimum survey size in agreement with the Council and will include Key System Owners as well as general users.

We have a track record in increasing user satisfaction levels on each of our ICT Managed Service contracts. As an example, we commenced a new contract to deliver ICT Managed Services to English Heritage on 1st February 2011 and a bi-annual customer satisfaction survey is carried out by English Heritage. The following table, which is extracted from the survey, demonstrates that we have succeeded in substantially improving Customer Satisfaction levels since taking on this contract:

QUESTION	MARCH-12	OCTOBER-11	APRIL-11
Overall, how satisfied are you with the services ICT are providing?	Total (satisfied plus more than) 84.5%	Total (satisfied plus more than) 70.2%	Total (satisfied plus more than) 50.8%
Are you confident that Faults you report to the Service Desk will get fixed on time?	Total (confident, very, completely) 90.8%	Total (confident, very, completely) 82.4%	Total (confident, very, completely) 66.4%
Are you confident that Faults you report to the Service Desk will get fixed to your satisfaction?	Total (confident, very, completely) 94.8%	Total (confident, very, completely) 85.6%	Total (confident, very, completely) 70.4%
Are you confident that IT Service Requests you raise will be completed on time?	Total (confident, very, completely) 79.4%	Total (confident, very, completely) 76.4%	Total (confident, very, completely) 63.5%
Are you confident that IT Service Requests you raise will be completed to your satisfaction?	Total (confident, very, completely) 87.6%	Total (confident, very, completely) 81.7%	Total (confident, very, completely) 72.5%
Do you find ICT staff positive and helpful?	Total (some, most, all) 100.0%	Total (some, most, all) 100.0%	Total (some, most, all) 99%

QUESTION	MARCH-12	OCTOBER-11	APRIL-11
Are you kept informed of progress when you have reported a fault or requested a service?	Total (some, most, all) 95.9%	Total (some, most, all) 88.6%	Total (some, most, all) 81.0%

We aim to continually improve user satisfaction throughout the contract term by looking at service shortfalls, continually surveying user perception and responding to feedback and addressing any issues highlighted in the Continual Service Improvement Plan.

Capita's comprehensive communications management approach and open, customer focussed approach will support the ongoing improvement and delivery of IS services throughout the contract term.

2.7 IT DELIVERY SERVICES - PROGRAMME MANAGEMENT: IS07

We will be responsible for the delivery of all programmes which deliver IS components. Overall responsibility for Programme Management will fall under the single NSCSO Transformation Team which is shown in the diagram below:
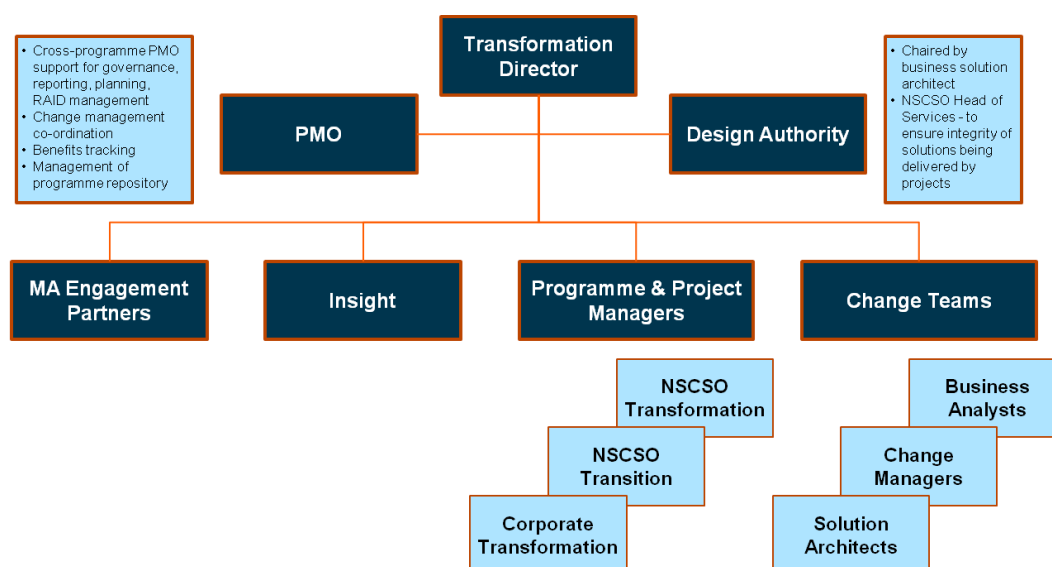
Figure 13 - Transformation Team Services

The Transformation team will fulfil the core programme and project management component and manage IS related business change.

An integrated Programme Management Office (PMO) will be responsible for providing the required levels of governance, reporting, change management and benefits tracking across all IS programmes and projects delivered.

Our programme management methodology is based upon the principles of the Office of Government Commerce's (OGC) MSP (Managing Successful Programmes) methodology and will ensure the structured and effective delivery of all IS

programmes. Our Programme Managers are all qualified to MSP Practitioner level, as a minimum and we will deploy the associated standards to ensure that all programmes we deliver on behalf of the Council are delivered on time, within budget and meet the specified outcomes and forecasted business benefits. The diagram below illustrates Capita's Business Transformation and Change (BTC) Lifecycle.
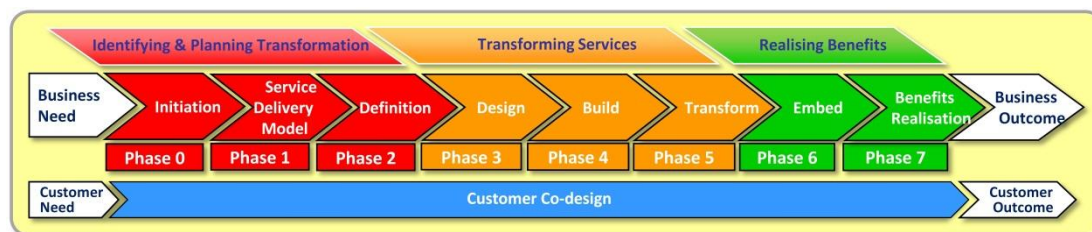
Figure 14 - Capita's BTC Lifecycle

Our BTC Lifecycle will provide a foundation for the agreement and successful delivery of an IS strategy and IS delivery programme that will align with the Council's business objectives and target operating model. It will evolve over time as the Council's business needs change and to ensure compliance with any necessary regulatory changes.

The BTC governance model that is outlined in detail in our Corporate Programmes method statement will provide the guidance and rules to ensure that programmes and projects are set up properly at the outset. It will provide appropriate quality controls and monitoring processes to ensure the successful delivery of the agreed IS development plan (roadmap) in order to deliver the planned outcomes and realise the committed benefits.

2.7.1   ICT PROGRAMME DELIVERY: IS07.01

Capita will work with the Council to develop and deliver an annual IS Programme which will be managed by the Transformation Team, with support from the IS Service programme and project capabilities. We recognise that the Council's business priorities and challenges are constantly evolving and our solution includes a dedicated and experienced Enterprise Architect who will work closely with the Council, providing valuable and appropriate support to the Council in this area. The Enterprise Architect will lead the Capita team in contributing to the IS Programme and will meet regularly with the Council through the co-design process and insight delivery team to understand where the Council's IS technologies require upgrade or replacement. We will discuss proposals and associated priorities for any highlighted activities and projects in order to jointly agree and prioritise the annual IS Programme, developing an Annual Service Plan (roadmap) which will realise the agreed aims.

We recommend that a joint approach is undertaken to Benefits Mapping as a key component of Strategy and Roadmap development and will work with the Council to map the relationships between:

▪ External drivers (such as business pressures, statutory obligations and reductions in budget)

▪ Investment objectives (such as making a cashable saving or efficiency gain)

- Direct benefits

- Business and IS Change (changes that must occur in order to ensure success)

- Technology enablers (technologies which support or directly achieve the benefit).

We will ensure that this IS Delivery Programme reflects the requirements of the Council and aligns with the Council's ICT Strategy and over-arching Council Programmes, as defined by the Steering Group.

The Capita IS Service Head and Enterprise Architect will work closely with the Council, engaging proactively with key stakeholders to ensure that we fully understand these imperatives. This will enable us to evolve the IS Delivery Programme and effectively prioritise any identified projects for inclusion.

Our engagement will enable us to effectively map the Council's objectives to the technology enablers and business changes that will support delivery of them and clearly identify the associated benefits that the programme will deliver. This will help to ensure that the Council meets its investment objectives and satisfies the external drivers to which the Council is subjected.

A major strategic review of the IS Programme will be undertaken at least annually when the budget position for the following financial year is made available. Progress against the agreed programme will be assessed and a view taken about any revised spending requirements/project delivery dates in order to meet that year's budget.

An example of a consolidated strategic technology roadmap that we developed for an existing customer is shown below. This forms part of a much larger document which contains fuller descriptions.
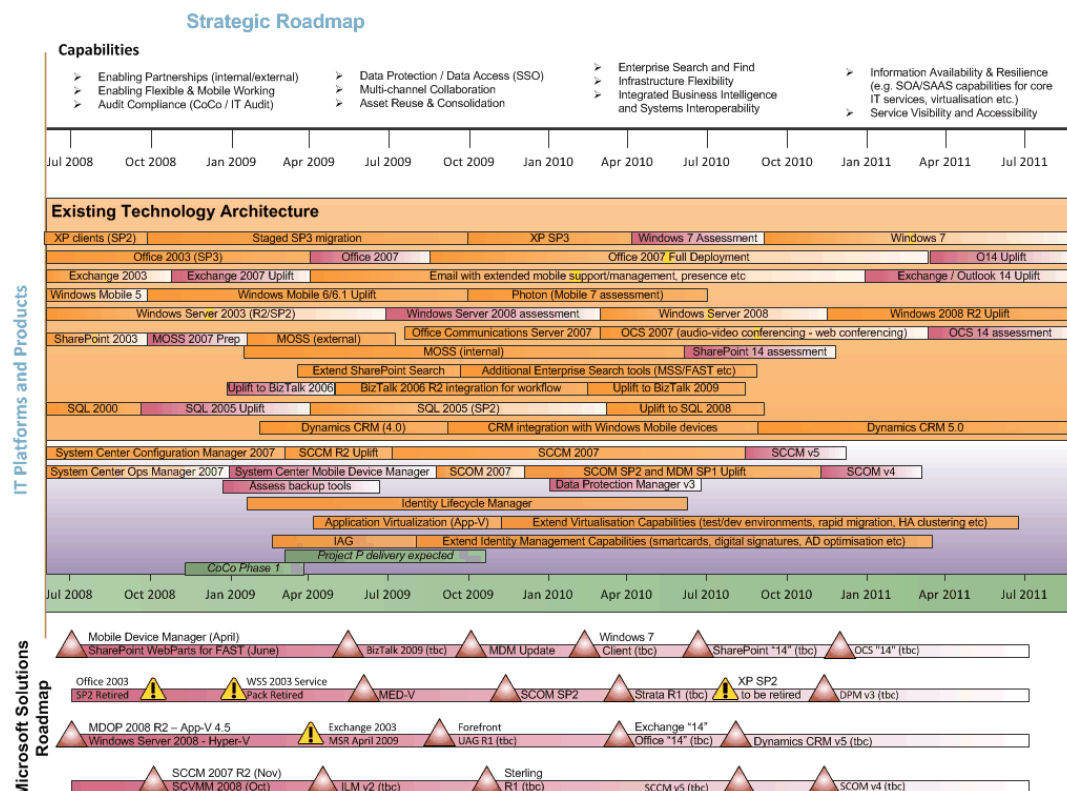
Figure 15 - Example ICT Programme

2.7.2 SERVICE DEVELOPMENT PLAN: IS07.02

Updates to the Annual Service Plan will be made to take account of agreed developments and ensure that we deliver tangible improvements throughout the year. This plan will be aligned to the Council's annual business planning cycle from April to March in order to facilitate budgeting. Service development is intrinsically linked to Continual Service Improvement (CSI), which is a key ITIL process delivered as part of our service to the Council. CSI is a flexible, forward looking process, which if managed correctly drives improvement through the entirety of the service, using a set of guidelines and methods.

The Service Development Plan will reflect the first year's priorities that have been identified in the jointly agreed ICT Programme. It will contain a clearly defined approach to driving benefits in terms of both efficiencies and cost by engaging with the latest technologies and procedures, using the dedicated on-site team.

2.7.3 ADAPTING TO CHANGE: IS07.03

We recognise that the Council's business priorities and challenges are constantly evolving. As a consequence, the IS Programme will need to adapt to change in line with the Council's priorities, as well as to meet the requirements of any statutory or regulatory changes. Our Enterprise Architect and IS Programme Manager will facilitate this process and any changes to the IS Programme and Annual Service Plan will be managed using the agreed change control process.

This process will ensure that urgent new requirements are incorporated into the programme in a systematic and controlled manner. A single Change Management

process will be adopted that will cover all changes (i.e. there will not be a separate IS change process). Communication will be vital to this process and we will ensure that the appropriate stakeholders are engaged with and kept informed of the progress, of any changes that are delivered.

2.7.4 MANAGEMENT INFORMATION: IS07.04

All projects implemented as part of the over-arching Council Programmes, with the exception of those driven by statutory legislation or other external factors, will be subject to a sustainable Full Business Case and this will be reviewed throughout Programme delivery.

In order to ensure the forecast benefits are realised, we will ensure that detailed programme metrics are captured for all IS projects and programmes that we deliver.

The Management Information required will be agreed jointly with the Council and will include appropriate benefits realisation measures (including those where the benefit is achieved by a non-ICT function). These will be regularly reviewed with the Council as part of ICT programme delivery.

2.7.5 MANAGING THE ICT PROGRAMME: IS08.01

Our proven BTC framework will ensure the delivery of regular incremental technical change, through:

- Successful IS Programme delivery within timescale, budget and quality

- IS Programme and Annual Service Plan aligned to business strategy

- Realisation of planned business benefits in accordance with the agreed Business Cases

- Maximised Return on Investment (ROI).

Benefits realisation is central to our BTC approach as described in the Corporate Programmes method Statement. Our Benefits Manager within the PMO will proactively and formally manage the forecasted benefits throughout programme delivery to ensure that LBB's planned benefits are realised. We will utilise Verto, a benefits tracking tool to monitor and report on all programmes and projects and ensure the Council's ROI is maximised.

We have demonstrated our capability to effectively manage complex IS Programmes at a number of Councils, including Gloucestershire County Council, Birmingham City Council, the London Borough of Lewisham and the London Borough of Bromley. We have realised benefits for these customers through Programmes of transformation and change and have become trusted partners with these organisations.

2.8 DELIVERY SERVICES - PROJECT MANAGEMENT

Our overarching method for the project and programme management of change is our Business Transformation and Change (BTC) framework which is based upon MSP and PRINCE2 principles. This approach is described in detail in the Corporate Programmes Method Statement.

Our IS Project Managers are accredited PRINCE2 Practitioners.

We will deploy this established and proven methodology to ensure effective control and successful delivery of all projects delivered on behalf of the Council. We will utilise appropriate tools and techniques to ensure effective governance throughout project delivery. The level of governance applied will vary depending on the scope and complexity of the project.

The methods and controls we will deploy, including establishing effective governance structures and effective stakeholder engagement, will ensure that projects are delivered on time, within budget and meet the specified outcomes and forecasted business benefits. Gateway reviews will be held at key stages of each project to validate that the project is on track and that the business case is still viable. Project controls include:

- Formal review and steering group meetings and use of programme and project boards

- Clear project reporting mechanisms, including regular weekly reporting

- Regular checkpoint calls with the Council and the relevant delivery teams

- Production and maintenance of a log to capture Risks, Assumptions, Issues and Dependencies (RAID) and regular review and management of each issue/ risk

- A clearly defined process to deal with changes

- Focus on operational and user acceptance with emphasis on a smooth handover into a state operation

- Clearly defined processes which focus on benefits realisation - with the exception of mandatory projects, for example to cater for legislative change, all projects will be subject to a business case and benefits realisation plan

- Product quality reviews - all project deliverables will be jointly reviewed and signed off as the project progresses

- Benefits management – we will use our project tracking toolset, Verto, to manage project benefits and provide dashboard information. This information will be accessible to the relevant Council staff to enable them to track Council and NSCSO projects.

2.8.1 PROJECT MANAGEMENT FUNCTION: IS08.02

We will deliver a project management function to ensure the consistent and repeatable delivery of high quality IS projects which align with the Council's IS Strategy and are effectively prioritised to support the Council's operational objectives.

In delivering the project management function, we will:

- Establish and maintain the project management processes and procedures in agreement with the Council and ensure that these are effectively communicated to all staff engaged in project delivery

- Ensure project governance processes and standards are adhered to in order to ensure the quality of project delivery

- Maintain the ICT project portfolio and prioritise projects in agreement with the Council

- Support business case development and ensure that projects align with the Council's strategic goals

- Manage project resource scheduling, assigning staff and resources to projects

- Track project delivery and milestones

- Capture project metrics

- Identify any training needs and provide coaching and mentoring

- Provide ongoing project management

- Ensure regular project status reports are available to decision-makers

- Coordinate communications across business units

- Conduct regular quality assurance reviews

- Carry out Post-Implementation Reviews (PIRs) and capture and record lessons learned

- Ensure that project data and project team evaluations are recorded and distributed to decision-makers.

We use a number of tools to facilitate the effective planning, delivery and management of programmes and projects. These include Microsoft Project to support project planning and scheduling activities and the Verto project tracking tool and benefits management tool. We also increasingly use collaboration tools to facilitate communications within the project team and to provide effective management and version control for all project documentation, including plans, specifications, reports, and risks, issues and action logs.

For individual projects, the Council will be required to nominate a Project Sponsor with responsibility for formally authorising the business case for the project and agreeing the scope, budget and target delivery date before project commencement.

2.8.2 PROJECT INITIATION DOCUMENT: IS08.03

We will focus on preparation activities across the on-site team to minimise any project delivery issues. All projects will commence with an initiation process that is focused on communicating and agreeing all project components and ensuring that all stakeholders are aware of their responsibilities.

Before any project work commences, we will create a comprehensive Project Initiation Document (PID), which will need to be signed off by all relevant parties. This document will include:

- Project scope

- High level business case including:

    - Forecasted benefits, including benefits realisation plan

    - Costs

    - Timescales

    - Constraints and dependencies

- A list of the deliverables

- Project delivery organisation structure

- Key roles and responsibilities

- Functional and non-functional requirements

- Business and IS resources required

- Initial high level project plan

- Communications plan

- Project quality plan

- The agreed project governance arrangements and project controls

- Initial RAID log.

The document will form the baseline of the project against which the project budget is set and all Changes are managed.

2.8.3   PRINCE2 PROJECT METHODOLOGY: IS08.04

We will deploy our BTC framework (described in the Corporate Programmes Method Statement) and which is based upon the principles of PRINCE2 to all projects managed and delivered by Capita on behalf of the Council during the Contract Term. This is an APMG accredited standard.

The size and complexity of each project will dictate how the PRINCE2 processes, components and techniques will be tailored in order to ensure that proper control and governance are combined with cost effectiveness and management efficiency. This structured approach will ensure the co-ordination of IS resource requirements across multiple programmes, fully integrated with the Service Development Plan, allowing the effective delivery of all projects.

The majority of our project managers are formally accredited PRINCE2 practitioners, with project support staff qualified to PRINCE2 Foundation level. We have a pool of experienced project and programme managers who have successfully delivered major assignments working to the highest standards. We will ensure that the resources assigned to individual programmes and projects are appropriately

experienced and skilled in relation to the scope, complexity and type of projects being delivered.

2.8.4 PROJECT MANAGEMENT PROCESSES: IS08.05

We will ensure that all mandatory and other agreed project management processes are implemented. Our established PRINCE2 based project management processes, procedures and associated document templates will be tailored as required to integrate with any related Council procedures and internal constraints. These will ensure that a consistent, repeatable approach is adopted for all projects.

Our high level project management process lifecycle is illustrated below:
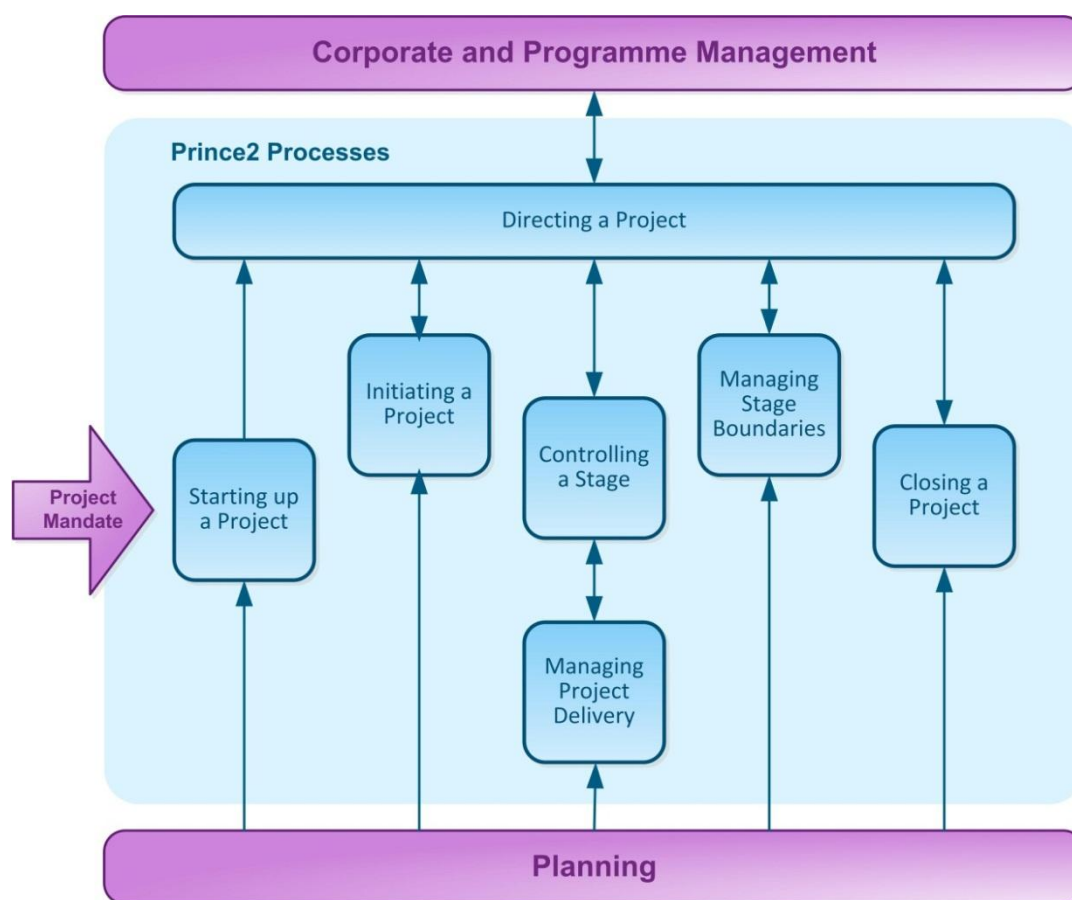
Figure 16 - High Level Project Management Lifecycle

This high level process is supported by detailed processes and standards, including report and documentation templates.

Project Management processes for each defined project 'stage' are stored on Capita's intranet site and are accessible by all staff. An example of a lower level project management process is illustrated below:
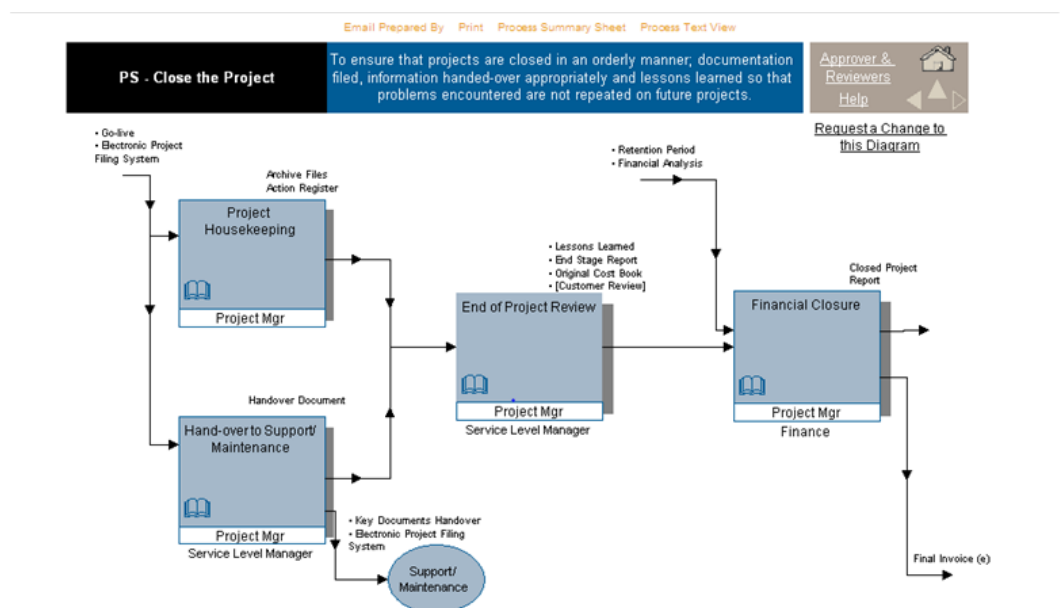
Figure 17 - Example Project Management Process - Close the Project

Each of these processes is underpinned by detailed procedures. These processes will also cover elements such as Documentation Review and Sign-off, Version Control and Change Management. All of these will be agreed with the Council and refined as necessary to ensure effective project control and delivery.

Our robust Project Change Control process and will ensure that changes to project scope and/or approach are not undertaken ad-hoc, whilst ensuring that the process does not generate risk by its inability to respond to the need for change in a timely fashion. The Change Management process is also in place to ensure that Changes are not undertaken simply for the sake of Change, as Changes can have a detrimental effect if not qualified and managed properly.

Features of our project management methodology that will be applied to all projects delivered for the Council include:

▪ A clearly defined and documented Project Organisation Structure including a single point of contact for the project management team

▪ Definition of clear roles and responsibilities including Council roles and responsibilities

▪ Setting up of a Project Board, if required, with meeting frequency as defined with the Council during the initiation stage

▪ Creation of a Project Initiation Document (PID) before project work commences, containing as a minimum a project plan, a list of deliverables and resources to be used. This will form the baseline of the project against which the project budget is set

▪ Creation of an overall Project Plan that addresses key management aspects of the project, including scheduling and dependencies with emphasis on dividing the

project into manageable and controllable steps. Ensuring visibility of project plans through the Verto tool

- Creation of a Project Quality Plan and Communication Plan and agreement on the project location

- Effective management of risks in line with the Council's Corporate Risk Management Strategy; establishment and maintenance of a Project Risk Log and Risk Management Plan to ensure that any risks threatening project success are dealt with effectively and, where appropriate, the preparation of contingency plans for specific risks

- Establishment and maintenance of an Issues Log to ensure that all significant matters of concern arising throughout the project, including any proposals for change, are logged and tracked through to an acceptable resolution

- Ensuring effective project start-up, usually through a formal project kick-off meeting, with key representatives from Capita and the Council's project team to ensure a common understanding of the Customer's requirements and shared ownership of their achievement

- Establishment of a project filing structure to ensure that all project management, quality and specialist documentation is captured and can subsequently be made available

- Creation of project documentation in line with the agreed standards

- Product based planning that focuses on the deliverables created by the project Liaison with the Council's Project Manager on a day-to-day basis to ensure that the project is running to the customer's satisfaction and that there are no surprises for either party

- Establishment of formal project reports as the main progress reporting mechanism including a status update/highlight report. The frequency of the reporting will be agreed with the Council but as a minimum will be provided in advance of each relevant Project Board. The report will typically contain:

  - Red/ Amber/ Green (RAG) status by work stream

  - Progress against key milestones and quality gates

  - Key achievements and progress since the last report

  - Exceptions from the plan

  - Key risks and issues with current and/or proposed mitigating actions

  - Key events due next reporting period

- Creation of a clear benefits realisation plan, for example to ensure that new working practices are adopted / legacy system decommissioned

- Utilisation of formal change control, exception and escalation procedures

- Delivery of regular stakeholder and management throughout the project lifecycle

- Clear and timely communications to provide clear visibility to Capita and the Council of any relevant issues and constraints and on-going project costs/budget.

We will ensure that all activities, risks and issues are proactively managed to minimise adverse impacts on project implementation and ongoing service delivery. Weekly checkpoint meetings and calls will be set up to facilitate this. Key risks and issues will be included in the weekly project report which is circulated to the key stakeholders in Capita and the Council.

Each product or deliverable will be subject to a quality assurance review and/or test activity as defined within the Quality Plan. This plan will also outline the criteria against which each key deliverable will be signed off as acceptable by Capita and the Council.

During transition we will agree with the Council criteria to define what work will be delivered under the project process defined in Schedule 15 Special Projects Approval Procedure.

2.8.5 COMMUNICATIONS APPROACH: IS08.06

We will ensure that each project has a clear project organisation that clarifies the organisational approach and commitment for both customer and supplier. Beyond standard PRINCE2 techniques, we believe that stakeholder management techniques are key in understanding how to relate to all key stakeholders, and in anticipating those organisational impacts that might not be fully represented through the formal project structures.

An explicit communication plan will be created for each project and this will be embodied in all project processes to ensure effective and timely communications to all key stakeholders.

The communications mechanism will be agreed with the Council. It will typically include presentations to key stakeholders at agreed forums and meetings, a publication on the Council's intranet site, an email or a face-to-face briefing. The type of communication will depend on the target audience.

Examples of the type of meetings that typically form our communication approach are shown below:

MEETING	ATTENDEES	FREQUENCY	MEETING OBJECTIVE
Project Board	Project Board Members	Monthly	Overall management of the project including issue and risk resolution and management.
Team Meeting	Project Manager Project Team	Weekly	To ensure all team members aware of progress, issues and plans for next period. To discuss next actions, findings and provide feedback from Project

MEETING	ATTENDEES	FREQUENCY	MEETING OBJECTIVE
			Review Meetings.
Capita Internal Project Board	Capita Project Manager Capita Contract Manager	Monthly	Management of the project ensuring correct resources are deployed to meet target.

2.8.6 FLEXIBLE RESOURCING: IS08.07

We recognise that the Council will need to increase its flexibility with regard to the availability of resources, to support key Council events such as local Elections, Referenda, end of year Annual billing or major application implementations. We are also aware of an increasing need to support a 'flexible workforce', which operates outside of the standard working hours.

We have extensive resources at our disposal, based both locally in London, as well as nationwide, which can be called upon within short timescales at the request of the Council. We are therefore confident in our ability to make appropriate resources available to support the Council in delivering its annual and seasonal activities.

2.8.7 PROJECT MANAGEMENT SUCCESS FACTORS

In our considerable industry experience, the following components are a critical success factor in ensuring the successful delivery of complex projects:

- A strong project executive with a clear vision of what is required and the authority to resolve critical issues

- A clear business case for the project that expresses the objectives and scope of what will be achieved with what resources, which enables linkage to benefits expectations and benefits realisation activities that need to be sustained beyond the lifetime of the project

- Definitive requirements

- Strong change control processes

- Early agreement of all relevant standards for the project

- An effective initiation process

- Planning as an holistic team activity, involving regular interactive and multi-disciplinary joint customer-supplier planning sessions

- Effective walkthroughs with key parties at key milestones in order to identify unforeseen dependencies or bottlenecks

- Proactive prioritisation and mitigation of risks and/or issues

- Active contingency planning that recognises possible risk scenarios and puts in place modular response planning that can be triggered as needed

- Dedicated specialist technical and business experts for each area of critical technical/business risk

- Effective teamwork, ensuring a common vision, enthusiasm and commitment to success.

These principles and activities will be applied in managing the delivery of all projects that we will deliver on behalf of the Council.

Capita's project management processes will help to eliminate the risk of selecting inappropriate solutions and therefore ensure demonstrable value for money for each project, as well as ensuring that projects are delivered successfully through effectively agreeing and managing scope, time and budget.

2.9 DELIVERY SERVICES - SERVICE MANAGEMENT: IS09:01

We will manage and maintain the IS environment to ensure the services it delivers meet the agreed service levels and Key Performance Indicators (KPIs), comply with the relevant legislation and are aligned with best practice. The Capita support framework, illustrated below, is fully aligned with the IS Infrastructure Library (ITIL) and is accredited to the ISO20000-1 standard.
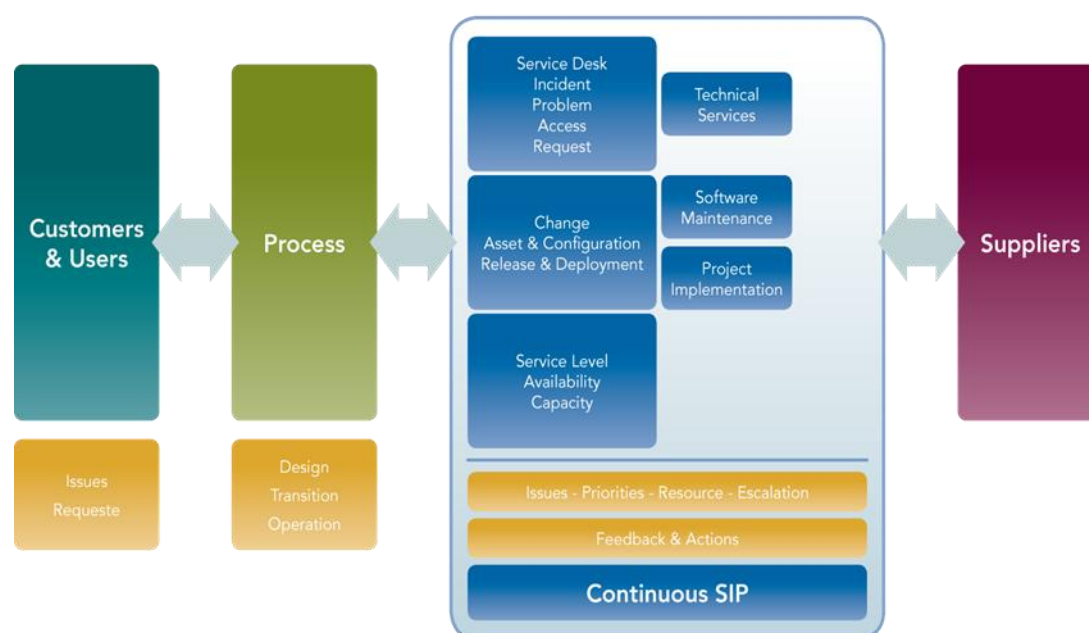
Figure 18 - Capita's Service Management Framework

This standardised approach provides a comprehensive, consistent and coherent set of processes for IS Service Management, enabling the achievement of business effectiveness and efficiency in the use of information systems. Using the ITIL best practice SDM ensures there is a continual drive to deliver improving services to our customers.

Following the service transfer date, we will implement our established and fully documented set of ITIL V3 best practice Service Management processes, ensuring these are refined where necessary, in agreement with the Council, to comply with any specific Council requirements/ internal business processes and procedures. This activity will be completed within five months of the service transfer date.

Service Delivery Model and Organisation Structure

Our proposed service delivery organisation, illustrated below, is based around a hybrid service model. This model enables us to provide the best possible service through blending the efficiencies and economies of scale generated by having a centralised support team with the immediacy and local knowledge that can only be delivered through having a dedicated onsite team to support the Council.
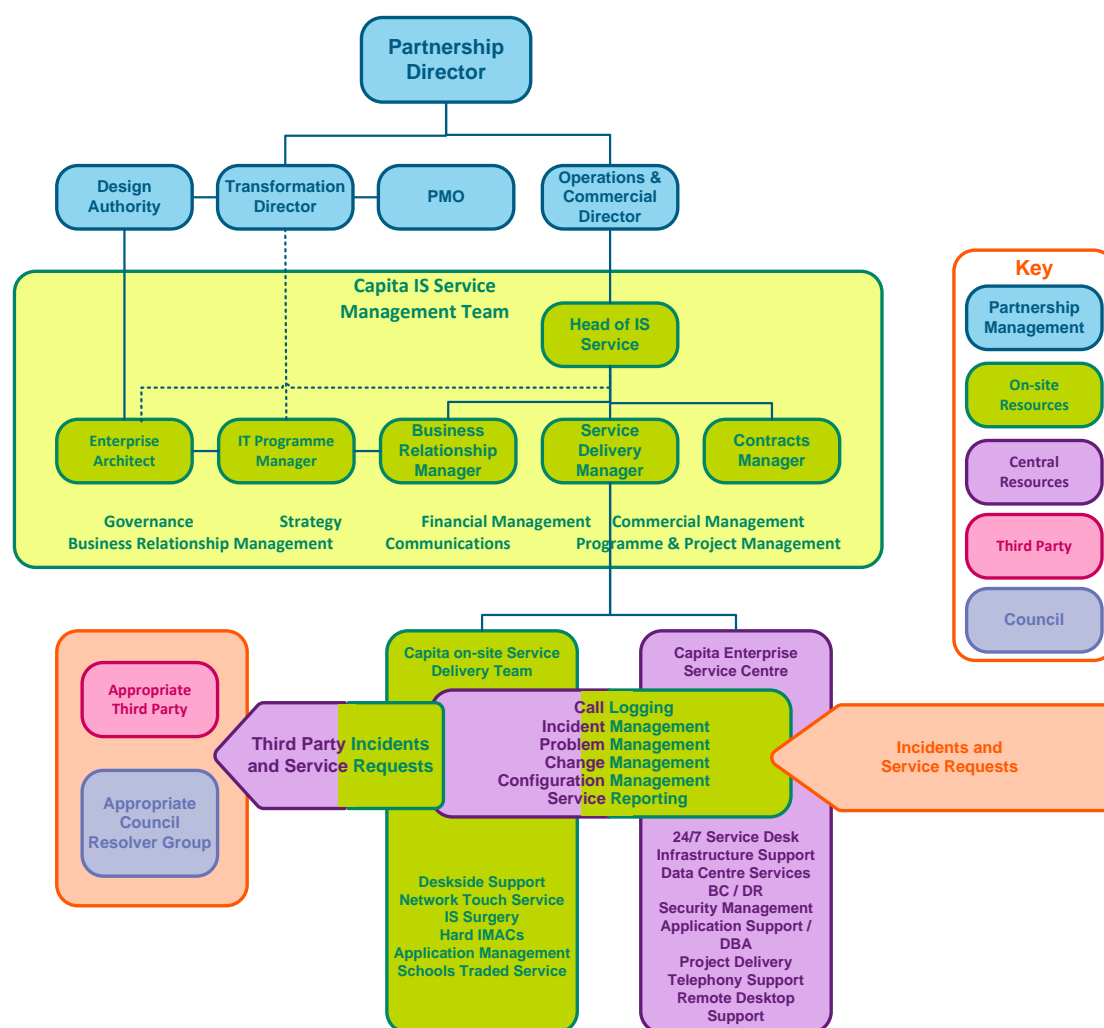
Figure 19 - Capita's Service Management Organisation Structure

This approach also provides an over-arching governance capacity from our Enterprise Services team, who will ensure that the processes implemented conform to industry best practice and accreditation standards. The Service Desk, which will be the main contact point for the ICT service for most users, will be provided from our Enterprise Service Centre based in Chippenham. It will provide a flexible and robust

enterprise capability to enable users to raise faults and request new services at a time that suits them.

We are confident that this approach will provide the best possible operational and organisational solution to deliver efficient and responsive services in the most cost effective manner.

An experienced IS Service Head will control and manage the overall service relationship and will be the point of contact with the Council from a service development perspective. The dedicated onsite Service Delivery Manager will be responsible for the operational delivery of the day to day services ensuring that they operate to and deliver within the agreed Service Level Agreement (SLA) and performance targets. The Service Delivery Manager will also manage the on-site delivery teams and third party suppliers and will be the main point of contact with the Council with regard to day to day operational service delivery.

We will work closely with the Council to ensure that we share the experiences of our other ICT Managed Service customers and to ensure we capture emerging requirements in line with the defined communications approach. User Groups will be established to engage with key system users to capture issues and suggested improvements. Together, the Capita IT Service Head and Service Delivery Manager will work closely with key stakeholders within the Council to ensure the safe, secure and effective delivery of the services throughout the duration of the contract.

Service Management Toolset

We will use our comprehensive Service Management Toolset to proactively monitor the ICT infrastructure and effectively manage the services delivered in line with the defined Service Level Agreements, ensuring that the agreed performance targets are met. This toolset includes:

- RMS – Capita's central Service Desk tool which supports all service management activities, including service reporting

- Centennial Discovery – automated asset discovery and management

- Snow – software licence management

- Forefront Identity Manager – user access management and password reset self service

- System Centre Operations Manager (SCOM) – automated monitoring of data centre/servers, supporting Capacity Management, Availability Management, Event Management

- SolarWinds – network monitoring, supporting Capacity Management, Availability Management, Event Management

- BOMGAR – remote desktop management and support

- RDP – remote server support.

Service Desk

Capita's ITIL aligned, ISO20000 accredited, Chippenham based Central Service Desk will provide a service based upon the core hours as specified by the Council of 08:00 to 18:00 Monday to Friday, excluding English Public Holidays, with the capability to provide on call support as required outside of this and Incident logging 24/7/365. The Service Desk is the core component of the support structure we provide, as illustrated in the below diagram:
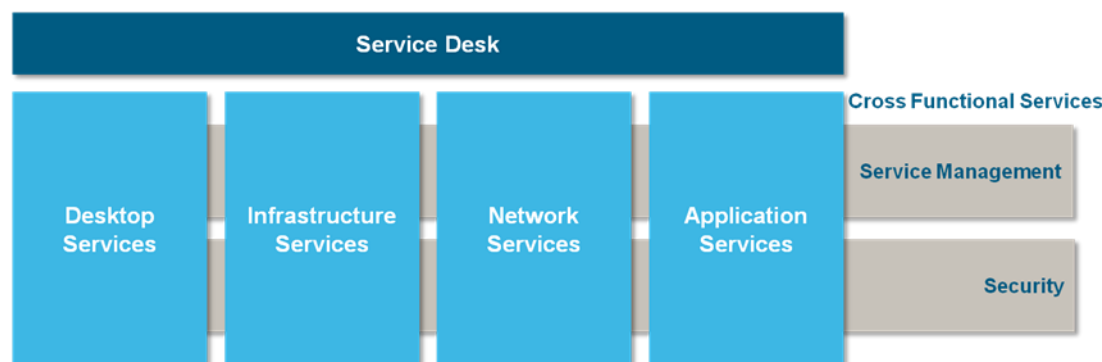
Figure 20 - Service Desk Interfaces

Our Service Desk function will provide a single point of contact for all service issues and requests and will aim to restore normal service as quickly as possible. Calls to the Service Desk will be automatically routed to an available Service Desk Analyst best suited to handle the call. All Analysts will have been given specific training for the Council's Service and will have the appropriate skills and experience to facilitate a prompt response and subsequent resolution.

We will continually work to increase the number of Incidents resolved at first line, by delivering a First Time Fix (FTF). This may involve fixing a fault, fulfilling a service request or answering a query, i.e. anything to enable the users to return to normal working. The Service Desk will be contactable via a single dedicated telephone number, a dedicated e-mail address and a self-service web portal for all users.

The Capita Service Desk will ensure that Incidents and Service Requests are progressed in line with agreed Service Levels and that the end user, and the Council, is kept informed at every stage of the resolution lifecycle. All Incidents logged with the Service Desk will be automatically assigned a unique reference number which will be used to track and monitor the progress and status of all Incidents and will be used in all future related communications.

We will ensure that all planned service outages are communicated and agreed with the Council in advance. These will be scheduled to minimise any business disruption and where feasible will be scheduled out of the core service hours. In the event that there is an unplanned service outage as a consequence of an Incident or an emergency outage is required to resolve a potential Incident this will be communicated via the Service Desk to all impacted users.

Please refer to 2.15.1 for a more detailed description of our Service Desk function.

Incident Management

We will investigate all issues logged with the Service Desk using our best practice Incident Management process. The purpose of Incident Management is to restore normal service as quickly as possible following a service outage and to minimise the adverse impact on business operations. The scope of Incident Management includes any Event that disrupts, or could disrupt, a service. This includes Events that are communicated by users, as well as Incidents detected and reported by technical staff or monitoring tools.

In some instances the Incident may need to be passed to a third party, or one of the Council's resolver groups, for resolution. In this case, we will manage and, where necessary, work with the third party throughout this process, so that the resolution appears seamless to the End User. We will ensure that normal service operation is restored as quickly as possible, in order to minimise any impact on the End User and the Council. Incidents received by the Service Desk will be logged and allocated a Priority level, against predefined criteria, which will take into account the urgency of the Incident and the level of its business impact. The numbers of users impacted may be an indication of the severity but in some cases the loss of service to a single user will have a major business impact and would therefore result in the Incident being assigned a high priority.

Capita's approach to Incident Management is illustrated below:
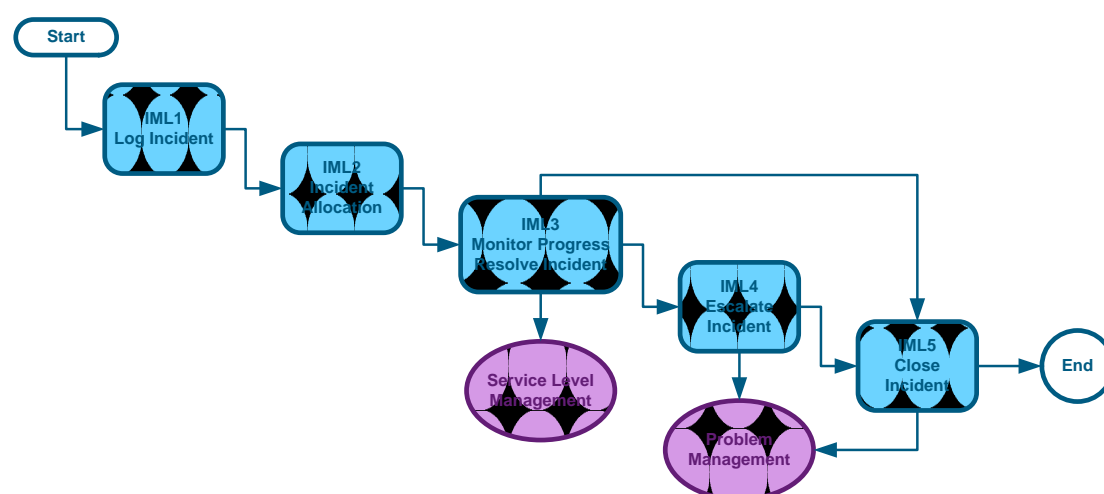
Figure 21 - Capita's Incident Management Process

Where two or more Incidents clearly relate to the same underlying cause they will be logged by the Service Desk as separate Incidents but cross-referenced, with the first Incident being taken as the 'Master'. In addition to supporting prompt Incident resolution, this information will facilitate correct Incident prioritisation.

Formal Major Incident handling processes will be defined and agreed with the Council and will be invoked when appropriate to ensure that impact is minimised, and service levels are resumed as quickly as possible. Communication to affected stakeholders is vital during a major Incident and will follow a pre-agreed schedule, for example every 30 minutes for the first four hours of the Incident. Our standard approach to handling Major Incidents is illustrated below. This has been put in place across all contracts that we have.

Major
Incident
Alert

Major Incident Assessment

Major
Incident → Process as a Standard Incident

New Major
Incident → Advise Reporter of Existing Major
Incident Reference Number

Flag as Major Incident

Follow Procedure for Linking
Duplicates to Major Incidents

Pass to Resolving Team

Communicate Major Incident Details
to the User Community and Other
Interested Parties

Manage Major Incident Through to
Resolution

Communicate Major Incident Details
to the User Community and Other
Interested Parties

Major Incident Closure

Problem Management

Figure 22 - Capita's Major Incident Process

Upon closure of a Major Incident, we will undertake a Major Incident Review to identify what lessons can be learnt, both good and bad; what could be done better next time and how to prevent a Problem from reoccurring. These outputs, which may include a Major Incident Report (MIR), will be produced and shared with the Council to help mitigate the re-occurrence of similar Incidents.

Incidents will be closed in accordance with the Incident Management Process using Positive Call Closure. Positive Call Closure involves contacting the Incident originator to check that the Incident has been resolved to their satisfaction and that the call may be closed. The Service Desk Analyst will attempt to contact the call originator a total

of three times before the call will be automatically closed. Once a call is closed, the originator is still able to reopen the call if they are not satisfied with its closure (only typically used if they were not able to be contacted within the three attempts). Positive Call Closure is a key aspect of improving customer satisfaction levels by involving the end user in the entire Incident procedure.

User Feedback

Obtaining user feedback will be an integral activity of the Service Desk and once the call has been closed a percentage of users will be asked to complete a satisfaction survey to ascertain how the service is perceived and highlight any potential areas where the quality of delivery can be improved. We will develop the survey with the Council to ensure that all relevant areas are covered. The results of the survey will be discussed at the regular Operational Review meetings and fed into service improvement initiatives, driven by our co-design approach.

An escalation procedure will be put in place, following agreement with the Council, which will provide for technical and managerial escalation routes as required. In a similar vein a dispute resolution process will exist to enable a formal mechanism for the resolution of any disputes that cannot be solved via discussions with relevant service delivery individuals.

Checks will also be undertaken to ensure that the Incident has been fully documented and to decide whether a Problem should be logged, if the underlying cause of the Incident is unknown.

Problem Management

A Problem is the cause of one or more Incidents. The cause is not usually known at the time a Problem record is created, and the Problem Management process is responsible for further investigation. Successful Problem management is vital to service management as approximately 20% of Problems cause 80% of service degradation. The scope of Problem Management includes diagnosing causes of Incidents, determining the path to resolution and ensuring that this is implemented in line with the Change Management process. Problem Management is used to prevent Problems and recurring Incidents and minimising the impact of Incidents that cannot be prevented.

There are two main types of Problem Management:

- Reactive Problem Management – this falls within the Service Operation phase of the Service Lifecycle and is concerned with managing and resolving Problems as they occur

- Proactive Problem Management – this activity falls within Continual Service Improvement. Capita will:

  - Carry out monitoring and use trend analysis to identify areas where Problem management can be effectively used to prevent future issues

  - Work closely with the Council's Service Heads throughout the contract term in order to better understand their departmental priorities and issues and

undertake proactive Problem Management in order to reduce IS Incidents and improve service availability.

Each Problem will be assigned a Priority level dependent upon the frequency and impact of related Incidents and the severity of the Problem from an infrastructure perspective, for example how long it takes to fix or how much it costs. The Problem Manager will review the number of Incidents linked to the Problem on a regular basis and if necessary increase the Priority level. Our approach to Problem Management is illustrated below.
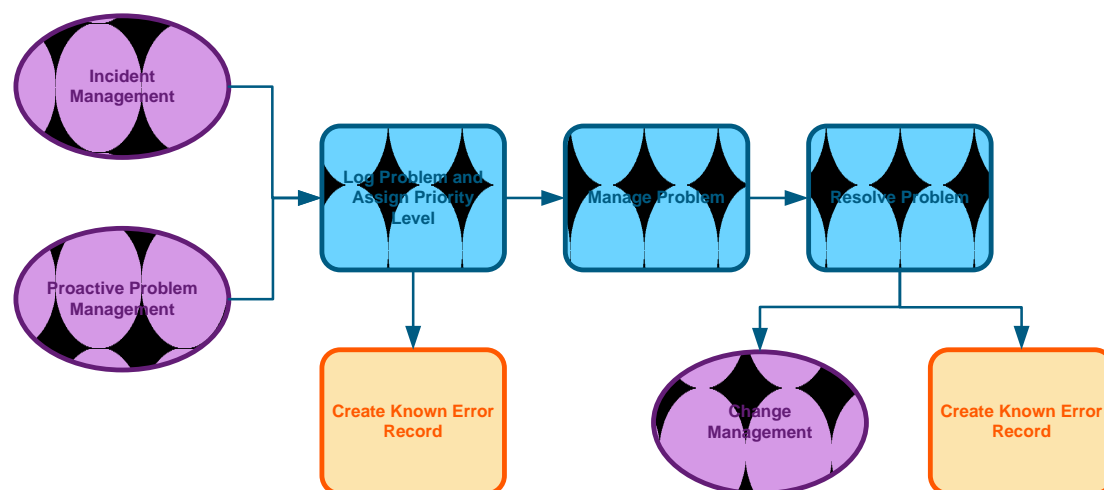
Figure 23 - Capita's Problem Management Process

We will maintain a Known Error Database (KEDB) within RMS which contains Known Error Records. Once a Problem has been logged by the Service Desk it will have a Known Error Record created for it which will detail all pertinent information about that Problem, including progress towards resolution. If a workaround is implemented to reduce or eliminate the impact of a Problem whilst work is undertaken on a permanent resolution, then the Known Error Record will be updated to reflect this. The KEDB will be accessed by the Service Desk and will facilitate the prompt resolution of any related Incidents that may be logged going forward, enabling normal service to be restored quickly.

To enable effective diagnosis, we have staff trained to ITIL Problem Practitioner level with experience in a range of problem solving techniques, such as Fault Tree Analysis. Where a workaround is identified during root cause analysis this will be recommended for implementation to provide business continuity for the service.

Once the Problem has been closed and the KEDB updated to reflect this status, the Problem Manager will undertake a lessons learned review to:

▪ Determine how effectively the Problem was managed

▪ Identify how to prevent it reoccurring

▪ Identify and schedule any necessary follow-up actions.

The lessons learned will be shared with the Council at the monthly service review and will be incorporated into Continual Service Improvement so that the information

gained can be applied to improve the service. If necessary, wider communication will be undertaken to inform user groups of the outcomes of the lessons learned review.

In some circumstances, a decision may be made to rely on the workaround as a permanent solution to the Problem, in which case the Problem record remains open. This approach will not affect the service delivered to the Council.

Continual Service Improvement

Continual Service Improvement (CSI) is a key component of Capita's ITIL based service, as successful implementation of effective CSI can drive real innovation by providing a service that adopts an attitude of proactively addressing service issues and acting as a mechanism to ensure that legislative and regulatory controls are adhered to.

Monitoring and Incident trend analysis forms the basis for CSI, providing reactive insight, however we will also strongly encourage proactive input from end users, to engage with CSI and to suggest changes where there is clearly identifiable room for improvement. It is important to engage user groups through co-design, because due to their exposure to the service that is being delivered they will have a clear view on what is successful and what is not, in terms of functionality.

Clear involvement from the Council is fundamental as a goal of CSI is to capture changing business needs or requirements and translate them into practical solutions that can be delivered through the ITIL aligned Change Management process. Equally, any changes of a legislative or regulatory nature need to be assessed in terms of their impact upon the Council's business to ascertain whether they affect it and if so how will compliance be delivered. The diagram below illustrates the approach that we use to ensure that CSI is a continual rather than a sporadic process.
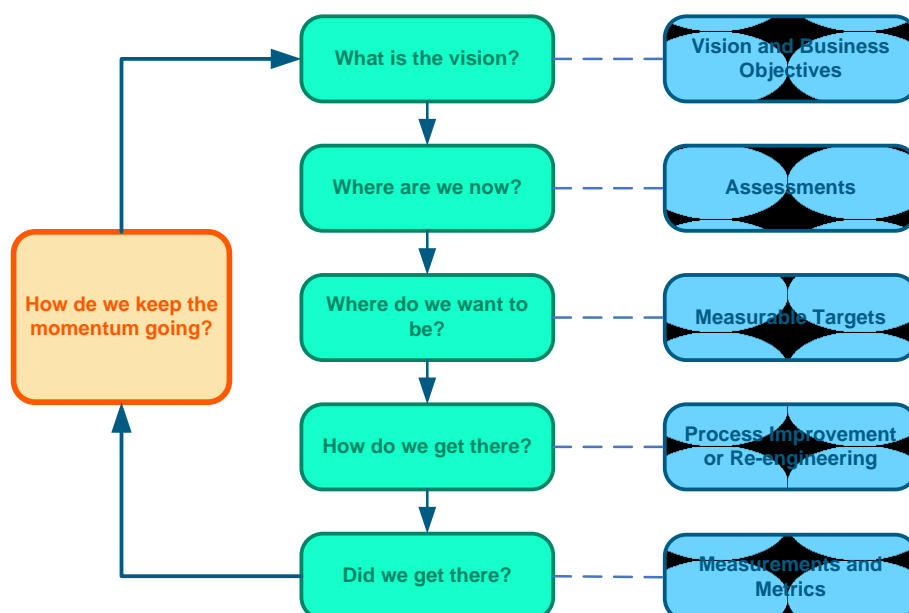
Figure 24 - Capita's approach to Continual Service Improvement

Change Management

Our Change Management processes will facilitate the implementation of beneficial changes whilst ensuring there is minimal disruption to IS services, maintaining the proper balance between the need for Change and the potential detrimental impact of Changes. We will ensure that changes are deployed in a controlled way and are formally evaluated, prioritised, planned, tested, implemented and documented. We will produce a Forward Schedule of Change (FSC) which will be shared with the Council to ensure that End Users are notified in advance regarding planned downtime.

Our ITIL based Change Management process will facilitate the efficient and prompt handling of all Changes, ranging from small or minor Changes to major complex Changes. The process ensures that both proactive Changes, for example to realise business benefits through reducing costs or improving services, and reactive Changes, for example to resolve errors, are deployed in a controlled way in order to manage any risk. This ensures that Changes are implemented successfully minimising any business disruption, reducing any rework, and minimising the impact of any related Incidents upon the service. The approach taken by Capita to undertake Change Management is illustrated below:
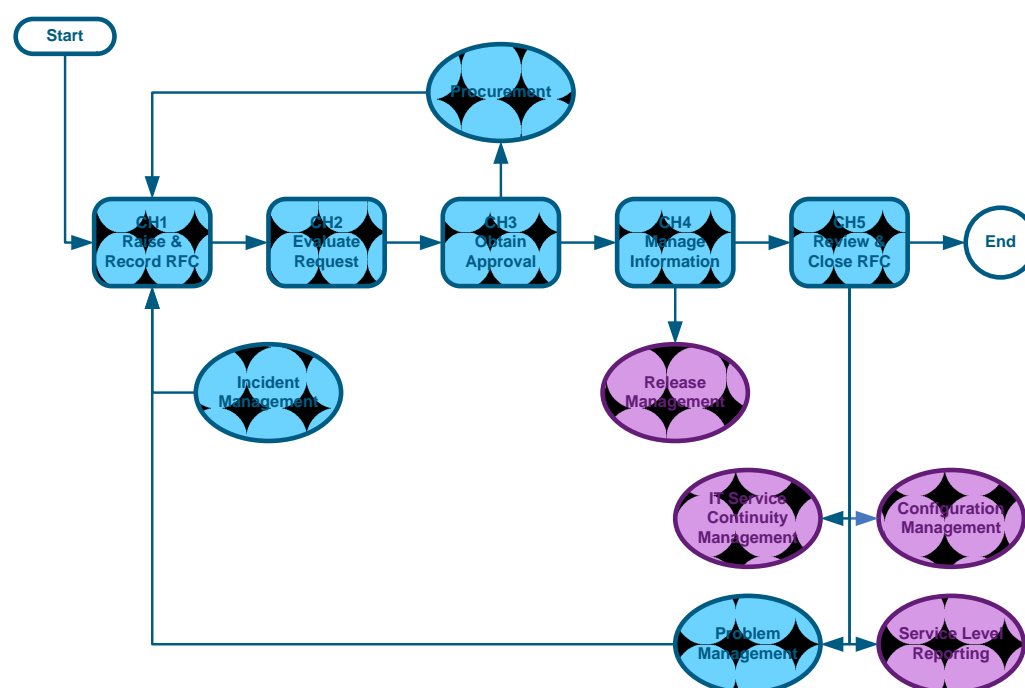
Figure 25 - Capita's Change Management Process

We will establish an ITIL based Change Advisory Board (CAB) aligned to the Change Protocol described in Schedule 14, with the Council to authorise, or reject, all Changes. These recommendations will be dependent upon the impact on existing services, the cost of the Change and other relevant factors.

For urgent major problems, there may not be time to convene the CAB and an Emergency Committee (EC) procedure will be implemented to ensure that there is a fast-track method for Changes to limit business impact, but with documentation

following on behind to provide a full audit trail. No Changes will be implemented without the express permission of the CAB or the Emergency Committee.

We will participate in the CAB and EC and the Council will be required to nominate members to the CAB and EC to ensure that Changes can be assessed from the business viewpoint. Face to face meetings will not always be required and electronic communications will be used wherever possible. A Request for Change (RFC) template will be agreed upon during Transition, incorporating existing examples, and will be completed for all non-standard internal and third party changes. This template will be completed by the Change Initiator, the person requesting the change, and submitted for appropriate authorisation.

Capita's Change Manager will carry out an initial screening of all RFCs and will reject any that are totally impractical, are incomplete or duplicate or any Changes that have already been approved for Release. Incomplete RFCs will be returned to the initiator for updating and resubmission and the initiator will also be informed of the reason why an RFC was rejected, following the initial screening.

All RFCs that pass the initial screening will be grouped and submitted to the CAB via the Change Manager for formal review and assessment. Each RFC will be reviewed by the CAB, plus any other parties deemed necessary by the CAB or Change Manager, assessing the potential impact of the RFC. The initial impact assessment, as recorded by the Change Initiator on the RFC form, will be used as a starting point, but the CAB may wish to explore some additional areas in evaluating the Change and assessing any associated risk.

Typically an impact assessment will consider items such as:

- The effect upon the infrastructure and customer service, as defined in the SLA, and upon capacity and performance, reliability and resilience, contingency plans, and security

- The impact on other services that run on the same infrastructure (or on software development projects)

- The impact on non-IS infrastructures within the organisation – for example, security, office services, estates

- The effect of not implementing the change

- The IS, business and other resources required to implement the change, covering the likely costs, the number and availability of people required, the elapsed time, and any new infrastructure elements required

- The current Forward Schedule of Change (FSC)

- The relative priority of the Changes being reviewed

- Volume of Change planned for specific dates.

We will maintain communications plans and will ensure that all relevant staff are made aware of and understand their involvement in, preparing for the Change implementation.

Configuration Management

Configuration Management involves the unique identification, recording and reporting of components, their versions, constituent components and relationships. It delivers logical and physical models of the services, assets and the infrastructure by recording the relationships between Configuration Items (CIs). This enables different stakeholders and other processes to access information via a range of different views.

Items that should be placed under Configuration Management include, but are not limited to:

- Hardware

- Software

- Licences

- Documentation.

Our Configuration Management System (CMS) is a relational database populated to hold all information pertaining to the Service Management processes, including interdependencies and relationships that are configured to create service infrastructures, groups and resource pools.

We will ensure that the CMS is updated to reflect all Changes including data received from other third parties engaged in service delivery. The database will be backed-up as part of Capita's Disaster Recovery and Business Continuity plans to ensure the timely recovery of the service in the event of a disaster scenario.

As part of an ITIL aligned Service Asset and Configuration Management (SACM) process (see the diagram below), we will utilise Centennial Discovery to undertake Asset Management, whilst RMS Service Desk will be employed to deliver Configuration Management.
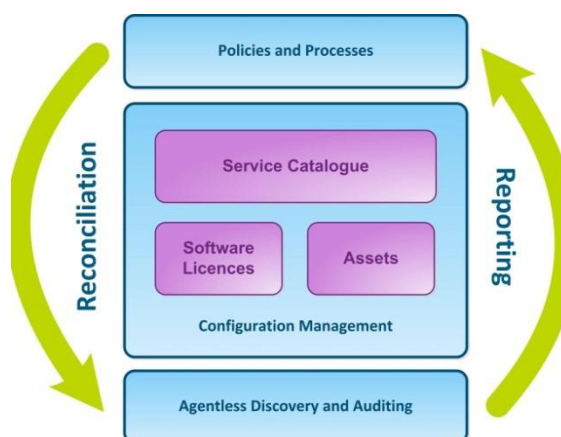
Figure 26 - Capita's Service Asset and Configuration Management Process

We will also use Snow, an effective Software Asset Management tool that can significantly reduce licensing expenditure whilst mitigating compliance risk. Through monitoring across all applications in the estate the tool identifies which software is

actually used and thus allows the owner to make informed licensing decisions based on data.

Snow enables the management of the complete life-cycle of software assets from purchase, to registration, to installation and usage analysis, right the way through to retirement. Snow will automatically re-harvest unused licenses to allow the licence environment to act in the most cost-effective way.

We will comply with all requirements in terms of obtaining software licensing for all products utilised in the delivery of the service to the Council, this also includes compliance with all appropriate legislation.

We will administer and control the distribution and installation of all software in accordance with the relevant license agreements and will ensure the CMS is kept up to date with all software license information. The CMS is fully integrated with the Service Desk.

Operational Board Reviews

The formal review of services with representatives from the Council is an essential activity as part of service management and is the main aspect of customer engagement within the contract. Regular (monthly) Service Review Meetings will be scheduled and will provide an opportunity for representatives from the Council and Capita to see an overall picture of the 'health' of the service being provided and to discuss any issues that may have arisen. The review meeting is largely based upon the monthly service performance report, on-going project information and Continual Service Improvement.

The Service Delivery Manager will be responsible for producing the monthly service reports, which will detail the performance of the service for the previous period, outlining any Problems and issues and also highlighting any planned changes due to take place in the following period. This report is available in both paper and electronic format and is critical to the management of the service levels and any service credit calculations. The content of the report will be tailored to the specific preferences of the Council but will, as a minimum, provide an overview of the service and granular detail about KPI performance.

A physical discussion 'round the table' provides the best possible forum for the exchange of views, and clarification of service matters. This would be the preferred method especially at times of major change or serious service issues. The reviews will include:

▪ Outstanding Actions

▪ Performance in Last Period (Service Report)

▪ Service Penalty/Waiver

▪ Change Planning

▪ Service Satisfaction

▪ Service Improvement

▪ Continual Service Improvement.

IS Policy Management

Our business is based upon a set of policies that influence the manner in which we do business. In delivering the IS services for the Council we will be responsible for ensuring that we comply with the relevant Council policies, legislation and controls and good practice. These include:

▪ Business Continuity

▪ Data Protection

▪ Environmental

▪ Health and Safety

▪ ICT Disaster Recovery

▪ Information Security

▪ Network security and compliance with the required Codes of Connection

▪ Quality

▪ Site Security

▪ Software licence compliance.

We will support the Council in any internal or external compliancy assessments and audits to ensure that we continue to conform to the required external standards and to assess and improve our way of working.

Drop in Sessions and emergency 'as you wait' service

We have noted the Council's requirements to provide a 'Drop in' surgery and emergency 'as you wait' service and in order to facilitate a seamless transfer to the new services, we will continue to deliver this service for End Users for the first two years. This service will be provided by locally based staff.

The surgery will enable Council employees to go to a preferred location to gain immediate assistance for all laptops, Blackberries and supported applications. All work undertaken will be logged within the RMS Service Desk tool to provide a full record and enable any resulting Service Requests and Incidents to be managed resolved in accordance with the agreed SLA.

As well as providing ad-hoc advice and support to users, the facility will also enable users to discuss and understand the new services and the support organisation being implemented and meet some of our service support team.

However we have found that this type of service has not been required on our existing ICT Managed Service contracts due to our customer focussed delivery approach and effective engagement and proactive communication with end users.

The introduction of new access channels, including self-service mechanisms and easy access to an up-to-date and comprehensive Knowledge Base will ensure that End Users can easily access information and will naturally mitigate against the need for this type of surgery. We therefore do not envisage the surgery being continued beyond the end of year two. This approach will also contribute to the realisation of significant cost savings.

We have a track record in increasing user satisfaction levels on each of our ICT Managed Service contracts and the new IS service for the Council will incorporate a number of mechanisms which will provide users with easy access to information and enable the prompt resolution of issues and queries, ensuring that users are able to make effective usage of ICT and perform their jobs efficiently.

The 'Drop In' service will be augmented with a self-help portal (accessed through the overarching customer self-service portal). This will create an enhanced service for all users, including those working in schools, by providing easy access to relevant information, the ability to raise, log and diagnose the cause of an Incident, check the status and progress of existing Incidents, access responses to frequently asked questions (FAQ), as well as providing a method for resetting passwords, 24 hours a day. This quick and easy method of resetting passwords has proven to cause less inconvenience and improved productivity for the end user.

2.10   INFRASTRUCTURE - NETWORK SERVICES: IS10

Capita provides Infrastructure and Network Services to the majority of its Managed Service customers. We will provide a service that meets the needs of the Council and which will be managed using our ITIL best practice processes. We will develop these services through transformation projects during the life of the Contract to ensuring continual alignment to the business requirements of LBB, providing a stable, robust and flexible platform for the IS needs of the Council users and residents.

Network Services will be provided as part of the overall managed service and will be supported by the Service Desk as the first point of contact. The Service Desk will manage any issue regarding the Network and will be supported by our Enterprise Services team to provide Service Management and Security services as illustrated below:
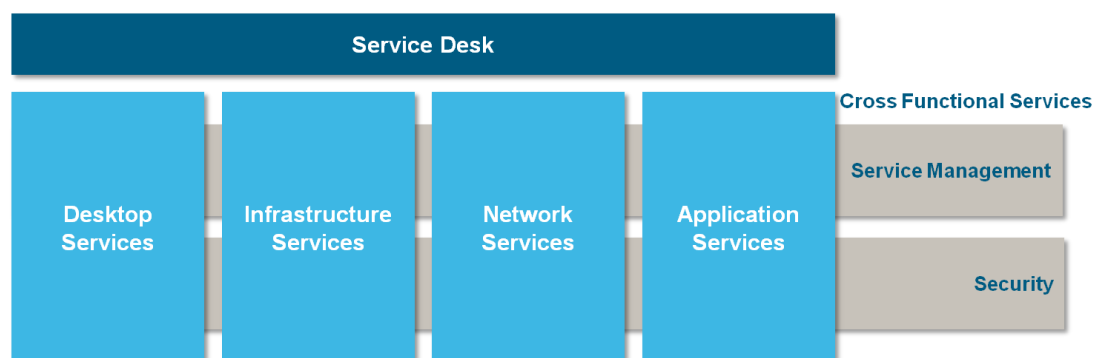
Figure 27 - Shared Service Towers and Cross-Functional Services

2.10.1 QUALITY SERVICE DELIVERY: IS10.01

As a well-established network design, implementation and support organisation, Capita has a wealth of experience in the design, provision and support of data networks for its Managed Service customers. We will ensure the Council infrastructure provides a robust and efficient data network which meets the business needs of the Council.

We provide these services to the vast majority of our ICT Managed Service clients, using appropriately accredited network support engineers. This experience and support infrastructure will be deployed to provide the appropriate level of network support skills to the Council. We will be focused on rapid resolution and communication with the Council at all stages.

Our Central Service Desk will provide a single point of contact for all calls relating to the network. End-to-end processes will be managed through the Service Desk, including liaison with third party providers in order to provide the Council with seamless support services. Our on-site team will ensure that service is responsive and incorporates a high level of local knowledge ensuring the achievement of the SLAs.

We will proactively manage the Council's data network infrastructure, including supply and control of IP Addressing, Domain Name Schemes, DHCP Schemes and Network Segmentation Design, providing the resources and tools to deliver Network Services to support both staff working on-site and those working remotely, at home or while mobile. ITIL based processes will be deployed in support of these services and we will act as the Council's agent when raising, monitoring and escalating to third party providers. We will monitor and manage the Council's data network through an implementation of SolarWinds Network Performance Monitor which will be customised to the Council's network.

SolarWinds will monitor real-time network capacity, availability, response, and performance statistics for all main and satellite sites, on a 24x7x365 basis, and automatically raise appropriate alerts within the RMS Service Desk tool to ensure all layers of the network are delivering the required performance. Additionally, SolarWinds will provide data for trend analysis to identify potential issues before they arise though Capacity Management.

We will provide advice and guidance to the Council on new and emerging data network technologies. We will identify where they can be of benefit to the Council, leveraging Capita's Central Services team of Network Consultants to provide the Council with a degree of knowledge and understanding of new and diverse technologies commensurate with a large technology company

Our Network Management Service incorporates all activities within the related scope defined by the Council. We will:

- Conduct all service and change requests in accordance with Capita's ITIL-based processes (which include the allocation of unique reference numbers, time stamps, categorisation, prioritisation, timescale for resolution and call closure only once a satisfactory resolution has been delivered)

- Deliver a service which is focused on first time resolution, which includes rapid escalation and proactive management

- Administer, install, manage, maintain and support all network assets and data circuits and cabling infrastructure as stipulated. We will manage a buffer stock of devices and components in order to facilitate rapid replacement where required

- Manage Network Services assets through the whole life-cycle including; planning, design, installation, configuration, move and disposal

- Provide advice and guidance across all elements of the Network Management service – to ensure that the Council achieves the required levels of security and compliance

- Conduct real-time capacity, availability and performance monitoring via SolarWinds, which will monitor all standard indicators of the data network against agreed thresholds and automatically raise appropriate alerts within the RMS Service Desk system. Additionally, SolarWinds will provide data for trend analysis to identify potential issues before they arise

- Respond to, and resolve, short term constraints and anomalies. We will use the SolarWinds Engineers Toolkit to allow its network engineers to carry out detailed analysis of issues (such as packet analysis) and facilitate resolution. We will proactively provide regular reports and recommendations to overcome medium and longer term concerns

- Maintain a current and detailed asset and Configuration Management System (CMS) and related artefacts including a list of Network Services assets and licences updated regularly and reviewed at Service Review meetings on a monthly basis and an annual audit of all Network Services assets. This will be supported through the implementation of SolarWinds Network Configuration Manager

- Implement a comprehensive set of routine maintenance services including address allocation, configuration of routing and restriction tables, firewall rule changes and patch management

- Ensure that all access to communications rooms is restricted to agreed parties and recorded at all times

- Deliver a remote access solution to meet the Council's reliability, availability and security requirements and in accordance with its Security Management policies and processes. Capita recognises that this solution is used by a diverse range of users, including third parties, partner agencies and various externally located users, who require this service in order to conduct their day to day activities

- Provide a comprehensive Security Management Service which includes routine administration, prevention and detection and recovery services as against access violations and malware attacks

- Work with the Council to identify and document standards against which the Council's data network will operate, be used and be developed, in accordance with industry best practice, manufacturer's recommendation and business need

▪ Novate all current data circuit contracts to Capita during Implementation, and undertake subsequent provision of circuits during the lifetime of the contract based upon the current estate.

2.10.2 ISO27001 STANDARDS - IS10.02

In delivering the IS services, including any future Cloud based services, we will ensure compliance with the Council's Information Security and Information Management Policies. Our core business is certified to ISO 27001 and we will apply these standards in the context of the Network Services for the Council in order to provide a secure infrastructure for all of the Council's ICT hardware and software assets.

Security Monitoring and Audit

We will ensure all security related activities are continually monitored, reviewed and, where possible, improved. We will also liaise with officially appointed advisors and accreditation bodies to ensure all services and systems are fully accredited and changes are managed securely and with approval. In support of these activities and projects we will employ CLAS consultants and appropriate risk identification, measurement and management methodologies and toolsets, as described in the Government INFOSEC standards.

We undergo security audits to ensure compliance with relevant security policies, procedures and standards as defined in ISO 27001. In addition, Capita facilitates further audits and testing of services holding protectively marked material (RESTRICTED and above). We protect the operational business environment from deliberate or accidental security breaches and provide a range of services consistent with ISO27001 and Security Policy Framework. This includes Asset Classification and Control, Personnel Security, Physical and Environmental Security, Computer and Network Security, Systems Design and Maintenance and Business Continuity Plans.

Capita's Security Manager will be responsible for the security management services supported, as required, by our internal consultants. The Service Desk will be the primary point of contact for Incident reporting, management and resolution, Change Requests, service extensions and ad hoc requests including the provision of reasonable advice and guidance on all service related matters associated with the security service.

In the event of a security incident, Capita uses a standard methodology for all contracts. Our Security Officer maintains a central security log and is responsible for responding to security incidents at all managed service sites. We will take appropriate action to manage and resolve Incidents as efficiently and appropriately as possible, and restore business-as-usual. Because we use a centralised security officer, risks and issues encountered at one client are more likely to be prevented at others.

Capita are experienced in gaining and maintaining accreditations across a number of Code of Connections (CoCo) such as GCSx, GSi, and xGSi. We will ensure all infrastructure and policies continue to comply with internal and external legislation.

Our staff will be familiar with the Council's system security policies and procedures before accessing customer systems. We will control areas the Council considers to be sensitive with appropriate systems and procedures that limit access to authorised individuals only. We will actively promote security best practice through training, where required, and by communicating potential threats and recommendations on how to mitigate the risk of a security breach. For example, Capita communicates best practice recommendations for creating and storing passwords and recognising fraudulent emails and phishing sites.

Where appropriate and possible, we will deploy security patches across the Council's ICT infrastructure within 24 hours, subject to the relevant Change Management process. Capita will also work with the Council to test the latest service packs against all major line of business applications so they can be deployed onto the live environment.

We will monitor for the installation of unauthorised software or attempts to remove or bypass any security measures. Our Configuration and Change Management processes will monitor for changes to the estate and Capita will monitor the Event Logs on servers and any other pertinent logs. We will report any attempted breaches to the Council.

All Capita staff will receive regular communication on the Council's security policies and security related issues to ensure Capita maintains and fosters a culture of awareness.

Our Enterprise Architect will ensure that the Council's security agenda is understood with special emphasis on compliance obligations as they evolve over the life of the contract. This will contribute to the development and maintenance of the Technical Roadmap, for development and/or replacement of countermeasures and to advise and guide the development of Council security strategies and responses to future requirements.

We will support the Council in regularly reviewing its Risk Management and Accreditation Documentation Set (RMADS) to ensure continued compliance with the Council's existing and future CoCo. Capita has a team of CESG accredited CLAS Consultants, whose role encompasses monitoring appropriate security procedures and informing all Capita managed service contracts of any changes in requirements. We will advise the Council of any such changes and recommend, where appropriate, how to mitigate the impact on Council services and their delivery mechanisms. The RMADS review will include a risk assessment of the infrastructure, including the Capita data centre(s) and data and voice networks.

Capita will ensure staff and contractors have the necessary security clearance to undertake work as per their role.

We will proactively advise users of critical security threats and the potential remedial action that can be taken. This will include ensuring that by default users cannot access removable media without appropriate approval from the Council and reporting on the use by approved users and attempted use by non-approved users. All security patches, upgrades etc. will be tested in accordance with the agreed ITIL based Release Management process prior to deployment across the Council's ICT infrastructure.

Our recognised ISO 27001 accredited third party specialist will provide the Council with an annual penetration testing service to verify the health of the Council's internal server and desktop estate. The third party will outline any vulnerabilities and recommendations in a report, which Capita will share with the Council and agree any necessary actions.

In the event of a security Incident, we will investigate it and produce a Major Incident Report within five working days of the event. This report will cover the reason the incident happened, why the risk had not been identified and mitigated and what measures need to be put in place to prevent re-occurrence. Capita will also provide the Council with monthly, quarterly and annual reports.

Physical security of equipment and infrastructure

Capita will make all desktops in public areas tamper proof and secure cabling and peripheral equipment. We will also restrict the ability to connect unauthorised storage devices and equipment to the desktop.

We will protect all designated server and equipment rooms from intrusion and maintain the integrity of the supporting infrastructure by managing, where appropriate, intrusion protection; physical protection of cabling and infrastructure cabinets; physical protection of server cabinets; fire suppressant systems and environmental control systems.

Access security

Capita will maintain a single access management process and a single set of policies related to managing rights and access. This will ensure all Council staff have appropriate access to the appropriate services and enable them to perform their role effectively. We will define and maintain the process and associated polices and align them with the Council's information security policy.

We will control and administer passwords using our standard operational processes and tools such as Active Directory and will provide, maintain and support the authentication service for all users. This will include information security and single sign on for user access to network based resources, applications and services, wherever technically feasible, including new applications and network/hosting services provided by other suppliers.

Users will be automatically prompted to change their logon passwords in line with agreed expiry timescales. Capita's Service Desk will ensure that administration level accounts are appropriately named, controlled, audited and issued on a restricted basis. We will manage all aspects of access management, in conjunction with the Council and according to best practice to ensure that:

- Integrity is maintained

- The structure accurately models the Council's estate and staff

- Permissions and roles are accurate

- Passwords that are stored or transmitted to users are separated from the associated username or encrypted

▪ All 'default' passwords are changed

▪ There are no generic passwords or accounts.

We will add, delete, reset or change users' accounts or passwords in accordance with the agreed Change Management process. This type of activity is core to all Capita managed service contracts.

Service Desk staff will provide or revoke access to key systems or resources according to standard management procedures. We will train the Service Desk and service delivery team and give staff access to the tools they need to perform the required tasks.

For new services, the Request for Change (RFC) will detail the users or groups of users that require access to the service and the access management process will verify that all users are still valid. Verified users will be given access to the relevant IS services and systems, based on the execution of an agreed policy and rules approved by the Council. Capita will not clone rights between users.

We will participate in the design, implementation and maintenance of the agreed options for authentication services. Capita will ensure the authentication services enable users to logon to any connected access device and securely access any applications, print services and data they are authorised to access. Capita will also maintain or delete any local access or reference files as required by the Council.

Authentication services will be managed as a standard Service Request. On receiving an authorised RFC, Capita will register new users, delete registered users, change access rights to applications and register and initialise any new authentication devices for use.

2.10.3 DISASTER RECOVERY SERVICES: IS10.03

We note that the Council's DR Strategy is currently under preparation and will supply Disaster Recovery services in order to meet the LBB Corporate Business Continuity Plan. In doing this we will work with the Council to ensure that Disaster Recovery plans are developed and maintained to ensure that the Council always has Disaster Recovery provisions in place to meet its Recovery Time Objectives (RTO). We will work with the Council to ensure that both Disaster Recovery and Business Continuity issues have been considered and addressed in the Council's plans.

Management and support of the data centre environment will be critical to the Council's business continuity. Capita has a wealth of experience delivering highly resilient infrastructure services to its clients and will provide a fully compliant solution for Infrastructure Hosting, Support and Maintenance that is secure, robust and flexible.

We will migrate the Council's server environment to a new, purpose built, state of the art data centre at our Spring Park Campus in Corsham, Wiltshire to provide the primary data centre hosting services. This site has been chosen due to its extremely high levels of security, availability and sustainability, mitigating against loss of service and providing a low risk and cost-effective solution for the Council.

We will also develop and maintain ICT Service Continuity and Disaster Recovery (DR) Plans and will undertake a formal review of all related processes on an annual

basis. The outcome of which will be robust and resilient services which minimise the likelihood of, or effect of, ICT being affected by disasters.

Data Centre Resilience

Our Spring Park Campus is a new, ultra-high efficiency data centre facility has been designed and constructed in accordance with:

- A comprehensive security regime, accredited up to IL6 (where required)

- Enhanced physical security, based on a risk management system compliant with ISO 27001 (information Security Management) and JSP 440 (Controls)

- Accreditation to BS25999 (Business Continuity)

- Accreditation to ISO 14001 (Environmental Management Systems)

- Tier III High Availability

- Sustainable construction techniques, utilising 100% recyclable materials and a local sourcing policy.

The data centre provisioning team are official endorsers of the EU Code of Connection (CoC) and members of such data centre specific industry organisations as; the Green Grid, AFCOM, the Uptime Institute and American Society of Heating, Refrigeration and Air-Conditioning Engineers (ASHRAE).

The resulting facilities combine Tier-III high-availability with very low additional energy used in the cooling systems and process losses. The Power Usage Effectiveness (PUE), which is the standard measure of efficiency for data centres, is below 1.3 annually; even at low IS loads (against an industry standard of between 2.2 and 2.8). With a carbon footprint that is almost half the industry norm, Capita's data centre facility at Spring Park adds significantly to the Council's green credentials.

Data Centre Power Infrastructure

The facilities are fed via diverse physical routes from the National Grid and two independent Medium Voltage (11kV) sub-stations. These diverse supplies are backed-up by (N+1) redundant emergency diesel generators that are 100% rated for continuous generation. Fuel for at least 100 hours is stored on site and fuel replenishment services are contracted on a 24/7/365 basis.

The critical power system is designed with a Tier-III topology, incorporating the facility to carry out maintenance without shut-down, i.e. concurrent maintenance, over a ten-year period yet retaining a protected power supply for the critical load at all times. High efficiency, battery free, N+1 redundant, Uninterruptible Power Supply (UPS) systems are configured with dual-paths, both active and passive, to the critical load. Compartmentalisation and 1-hour fire-rated enclosures ensure that any single emergency cannot affect the power supplies to the critical load.

Data Centre Cooling Infrastructure

The cooling system is designed to continuously maintain the ambient air temperature, humidity, rate-of-change of temperature and air-filtration quality to well within the industry standard Thermal Guidelines (2009) for Class-1 devices, published by the ASHRAE.

In accordance with the latest practices for energy efficiency, embodied within the 2009 EU Code of Conduct, the system combines the control of the server inlet conditions with the energy advantages of 'free cooling'; using the ambient external air as the primary cooling medium. In this way mechanical cooling using a refrigeration cycle and the compressors is avoided for 99.8% of the year and the energy efficiency of the complete system is maximised.

Disaster Recovery Solution

As part of Service Transformation, we will implement a robust Disaster Recovery solution which will utilise our Cody Park data centre in Farnborough as a secondary DR data centre. Our aim is to implement this DR solution for the Council's Platinum Applications within the first six months of the contract, with a full solution in place within twelve months of the service transfer date.

Gigabit Ethernet connectivity, illustrated overleaf, will be provisioned from the Council's site at Hendon Town Hall to Capita's data centre and DR site, based in Farnborough. These circuits will be physically diversely routed providing a highly resilient, high bandwidth and low latency data centre connectivity. Dedicated internet connectivity will also be provisioned at each data centre.
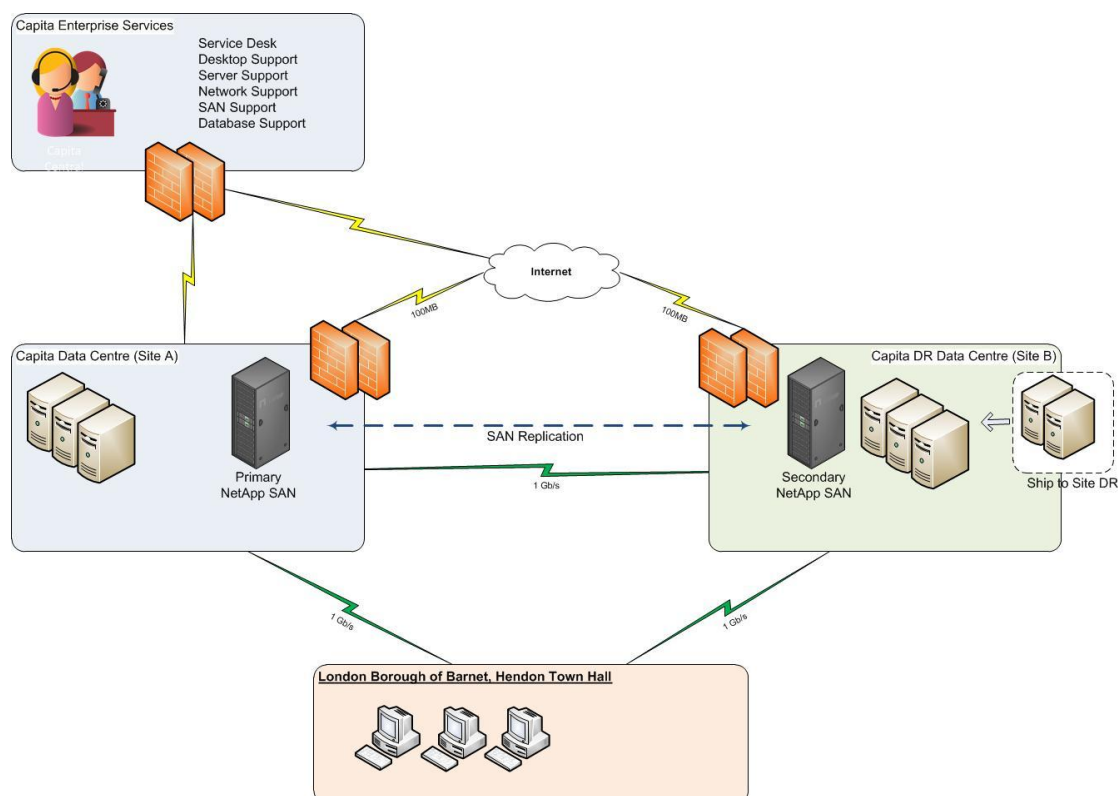
Figure 28 - Proposed Data Centre Connectivity

The Council's server infrastructure will be hosted on Capita's Dynamic Hosting Private Cloud infrastructure at these data centres. Servers which are not suitable for hosting within the Cloud environment, such as certain variants of Unix Operating Systems, will be physically hosted across the two data centres.

In the event of a major disaster within one of the data centres, Critical Community Cloud based services will be re-started within the other data centre, resulting in minimal loss of service. This will be achieved by the data being bi-directionally replicated between sites. Our proposed disaster recovery solution delivers the following capability:

- **Platinum and Gold systems** – in the event of a major infrastructure or DC failure, those systems not hosted at the failover site will be recovered at the failover site using production infrastructure (and taking down silver/bronze systems if necessary). This will enable us to deliver an RTO of 2 hours. SAN replication for these systems will be configured to deliver an RPO of < 30 minutes.

- **Silver and Bronze systems** will be recovered on hardware shipped to the failover site, based on a Ship to Site service provided on a contract designed to deliver an RTO of 48 hours. SAN replication for these systems will be configured to deliver an RPO of 1 hour.

Interim 'Ship to Site' DR Solution

We recognise that the Council's business is at risk as there is currently no DR solution in place. In order to protect the Council's key services in the event of a disaster, we plan to implement an interim solution at the outset of the contract which will encompass a 'Ship to Site' disaster recovery solution for the Council's Platinum and Gold systems.

In the event of a disaster impacting the Council's current data centre, we have assumed that there will be a site within the Council's existing estate that can host a mobile data centre (the equivalent size of a large shipping container) with proximity to data connectivity and power. Once the DR plan is invoked, we aim to ship pre-configured and system loaded equipment to site within four hours. Specialist recovery engineers will attend to provide the necessary technical support in linking the replacement equipment to the Council's infrastructure.

2.10.4 PENETRATION TESTING: IS10.04

We will work with LBB to identify any weaknesses that may be present and which could potentially put the infrastructure at risk of an attack which would compromise the confidentiality, integrity or availability of the Council's systems and/or data. The Capita Security Manager will be responsible for scoping and commissioning external penetration tests of the live services and managing vulnerability scanning activity in line with this requirement. These tests will be carried out annually in advance of the GCSX compliance audit.

We will also verify that only necessary services are presented to the internet. Where specific testing requirements exist (e.g. for GCSX IS Health Check or PCI-DSS) these will be taken into account and the scope and frequency of the testing will be adjusted accordingly.

The Security Manager will liaise with the external test team and internal IS resources as necessary to ensure that all pre-requisites for testing are met and the test team's time is used most appropriately during the engagement. Capita partners with leading international testing specialists where necessary (e.g. for CHECK testing or PCI-ASV scanning) and due to the volume of work we commission, can ensure value for money in engaging with this specialist resource.

On completion of the testing, the Security Manager will review the findings reports, and collate a response plan to ensure that vulnerabilities exposed in the test are mitigated appropriately in line with the Risk Management Policy. Mitigation activity will be prioritised to ensure that resources are deployed cost effectively; the highest impact vulnerabilities will be dealt with first, with lower impact and informational findings being assigned an appropriate priority.

In the event of a security Incident, we will investigate it and produce a Major Incident Report within five working days of the event. This report will cover the reason the incident happened, why the risk had not been identified and mitigated and what measures need to be put in place to prevent re-occurrence. We will also provide the Council with monthly, quarterly and annual reports.

2.10.5 REMOTE ACCESS: IS10.05

Capita has a wealth of experience of implementing and supporting remote access technologies including:

- VPN using a VPN client

- SSL VPN

- Citrix Secure gateway

- Standard dial-in using PSTN/ISDN

Primary remote access will be an SSL VPN remote access solution based on Citrix NetScaler Access Gateway, illustrated below, which will be integrated with LBB's existing RSA implementation to give a two factor authentication.
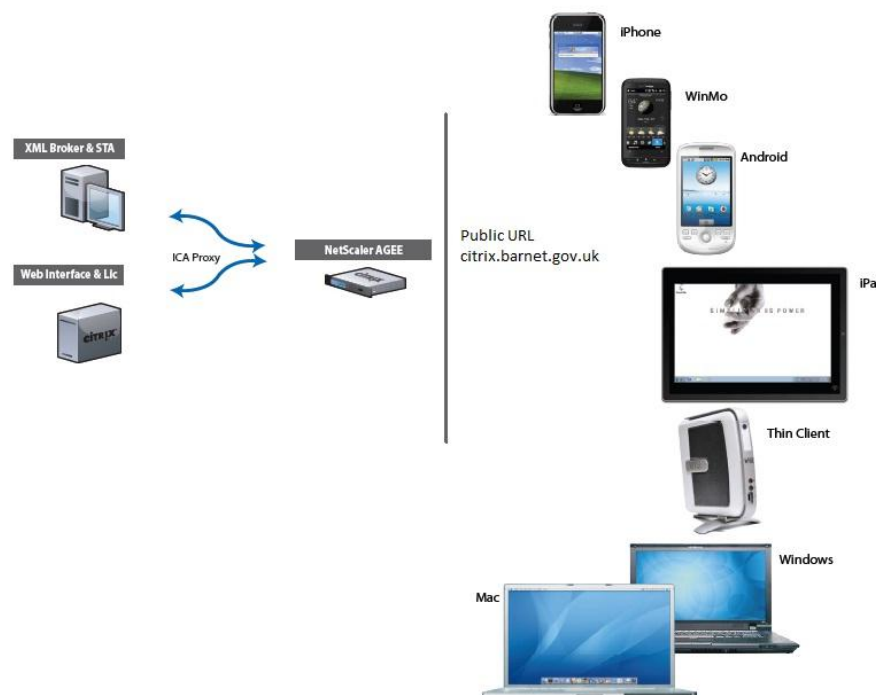
Figure 29 - Citrix Access Gateway

Citrix Access Gateway SSL VPN will securely deliver any application with policy-based SmartAccess control. With Access Gateway, organisations are empowered to cost-effectively meet the anywhere access demands of all workers – enabling flexible work options, easier outsourcing and non-employee access, and business continuity readiness – while ensuring the highest level of information security.

Citrix SmartAccess provides the control to configure the most secure access to data and applications by dynamically adjusting access based on device configuration, location, and identity. Endpoint analysis interrogates connecting client devices to determine their security configuration and checks for anti-virus software, personal firewalls, operating system patch levels, and client-side certificates. Access Gateway can quarantine client devices that do not meet the minimal acceptable criteria—allowing the user to update their device, or adapt the level of access given to clients based on their current access scenario. For example, a user may have full access (read, save locally, print, etc.) to a set of files when utilising their office PC - but may be restricted to read-only access in less secure remote access such as Internet cafes or home PC.

Citrix Access Gateway provides secure access to all applications and data from an extensive range of endpoint devices including desktop and mobile devices including Windows, Apple, Android, and Thin Client devices.

The remote access solution will be managed in line with the Council's agreed Remote Working and Security Policies and will ensure that Users are restricted to only those applications and services that they have access rights to. Access for third parties, for the provision of support, will also be controlled in line with the Council's Information Security policy.

Capita will perform security, application and infrastructure updates for remote access users to ensure consistency and alignment with the Council's policies. Our remote access solution will allow Users appropriate internet access for web-browsing.

We will use our automated toolset to inspect all remote access devices and ensure compliance with the Council's security standards and processes. We will inspect and if necessary quarantine any device that fails to comply with these standards.

2.10.6 DATA CENTRE MANAGEMENT: IS10.06

Capita's Data Centre

The impending closure of the LBB data centres necessitates a full data centre migration (DCM) programme with services transferred to Capita's Tier III /ISO27001 accredited data centres. We propose to utilise our Spring Park Campus in Corsham Wiltshire to provide primary data centre facilities. Within the first year of the contract we will also replace our proposed initial 'Ship to Site' Disaster Recovery solution and utilise our Cody Park Data Centre in Farnborough as the secondary DR data centre.

Capita's Spring Park Campus is a new, highly secure and ultra-high efficiency data centre facility which is built using the latest data centre technology and on an unsurpassed scale. It offers total flexibility and scalability and provides the following functionality and capability:

- Comprehensive security regime accredited to ISO 27001

- Multi-layered physical and logical model

- Up to IL6 accreditation (IL3 as standard)

- Corporate grade availability

- Electrical and cooling systems accredited to provide uptime / availability (99.982%) to Tier III High Availability standard as defined by The Uptime Institute (TUI)

- BS 25999 business continuity accreditation

- Modular strategy enables scalable and predictable deployment

- Highest levels of sustainability - typically generating savings of 40 – 50% purely on power usage compared to legacy data centres.

- ISO14001 accredited.

Our data centre is extremely cost effective without compromising security, availability or the environment.

The following diagram illustrates the cost savings which are inherent in our data centre solution and which have been included in our proposal to the Council:
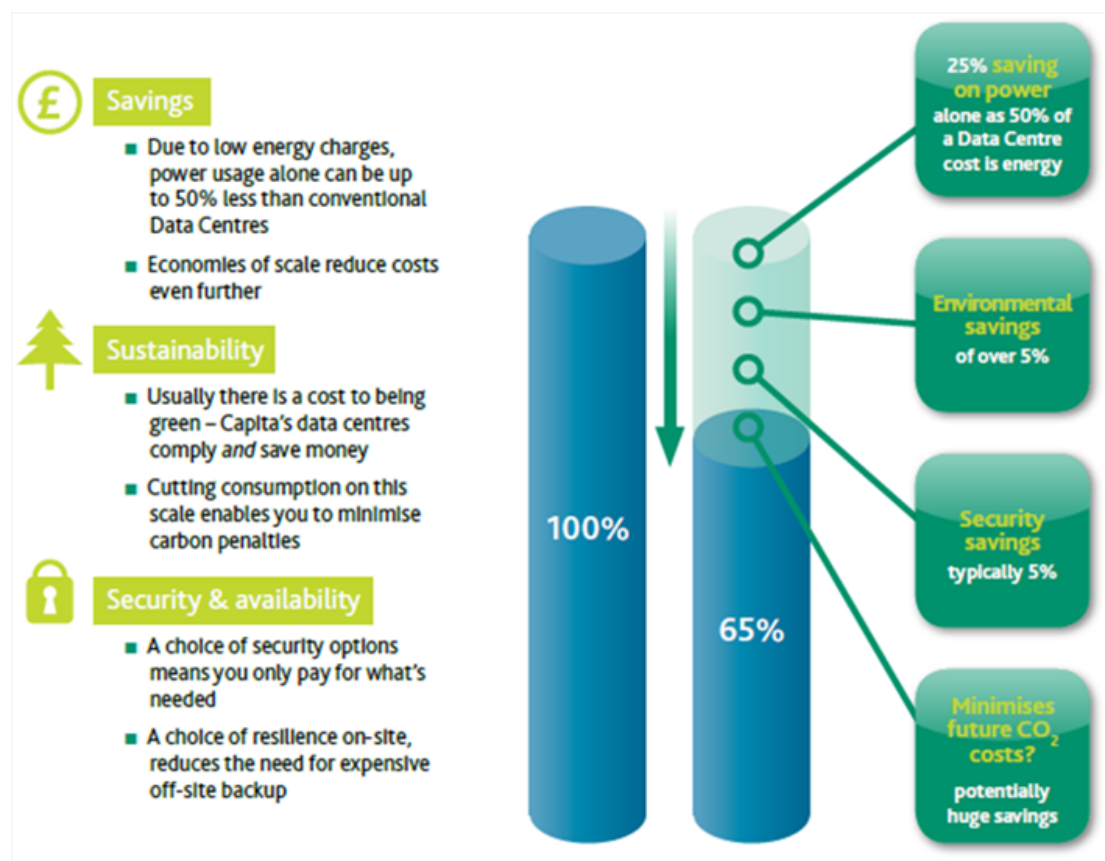
Figure 30 - Efficiencies that can be realised through Capita's data centre

The data centre infrastructure and environment are described in detail in 2.10.3 Disaster Recovery Services: IS10.03 and 4.2 Data Centre.

We will deploy our automated toolset and ITIL best practice processes to manage the data centre infrastructure.

Migration to the new Data Centre

Capita takes a highly flexible approach to data centre hosting and the greatest potential operational cost savings come from a full outsource with all primary services being hosted in our virtualised Dynamic Hosting private/public cloud environment.

Our data centre migration model will see the expansion of the Council's existing virtualisation capability, followed by further physical server consolidation and then data replication to our data centre locations. Once complete, we will use 'swing kit' to move any residual physical estate thereby ensuring a significantly reduced implementation risk and offering a complete and water-tight roll-back option.

Following completion of the data centre migration, we will provide a fully managed service for all of the infrastructure located within the data centres. This includes full monitoring and proactive maintenance, patching and upgrades to operating systems, change management, problem management and reporting.

2.10.7 DATA ENCRYPTION: IS10.07

Capita has deployed hard disk encryption and removable media controls to many thousands of end user devices, and have thus developed a range of technology and supporting process offerings to meet this requirement. We will ensure that the appropriate level of encryption is used on all client computers to ensure compliance with both existing compliance regimes (Government Connect Security Policies) and those that may emerge throughout the lifetime of the contract.

Disk encryption will be deployed to all laptop and tablet devices in Pre-Boot Authentication mode to ensure that no access to local data or services is possible without the appropriate credentials. In order to support this, a range of end-user facing processes are required, delivered via the Service Desk and desktop resolver groups. These include password reset processes and one-time unlock processes for users who have forgotten or mis-typed their credentials.

Removable media encryption will be managed in accordance with the appropriate security policies. In accordance with the Council's existing working practice, a management authorisation and approval process will be used to determine which users can access removable media. Implementation of approved access will be made via directory group memberships which will deliver the appropriate policy to the local agent installed on all desktops, laptops and tablets. This policy will control whether a user can access removable media, and if write access is granted, will ensure that encryption controls are deployed to protect stored data.

Reporting services covering usage and license consumption, incidents, faults and investigative work will be provided at agreed intervals.

2.10.8 WEB FILTERING: IS10.8

We recognise that the Council will require access to the Internet as a business tool and application platform. This access needs to be controlled effectively in order to protect LBB's corporate network from internet based threats and the loss of confidential data, and to ensure its users are protected from accessing malicious or inappropriate web content.

We will provide a fully managed and supported web access control mechanism on behalf of the Council which will enable secure internet access 24/7/365. The service solution will support all users on the corporate network whether they are working on-site with a corporate desktop or laptop machine or working remotely via a virtual private network (VPN) connection. It will also support the internet access controls required to monitor and manage the activities of Internet enabled mobile devices.

We will implement Policy based access controls to ensure controlled access to Public Internet web sites, Public Internet web based resources via secure protocols, and Private Secure Internet portals. Access to these external Internet resources will be authorised and managed through Capita's ITIL best practice Access Management process, ensuring that associated changes are applied promptly. The process will ensure that only authorised users can access these portals by verifying the user and the reason for requiring access. Capita will establish procedures to ensure that access is revoked for leavers and updated in line with any job role changes. It will proactively monitor and control user access and report on any anomalies.

The URL filtering service will help protect the Council from the ramifications of inappropriate Web use and assists in blocking access to websites by URL, time of day, or file type. The service can also be used to set usage thresholds, based on time or volume, to help protect corporate bandwidth and productivity.

The service is highly configurable and can be tailored to the Council's policies to promote acceptable Web usage, enabling LBB to:

- Block access to specific file types, websites or over 80 broader website categories

- Monitor and control website access and Internet use across the organization

- Create flexible time-based rules that limit access to non-work-related sites to specific times

- Enforce Web use policies on sites with dynamic content through the use of multiple categories for a single website URL

- Protect corporate bandwidth and productivity with time or volume-based Internet consumption levels.

We will work closely with the Council to agree and implement the required web content and URL filtering rules both for public and internal usage, in line with LBB's defined policies.

2.10.9 SECURE EMAIL: IS10.9

Capita has implemented a number of secure mail services including GC Mail deployments.

We will maintain the Council's existing GC Mail service in line with the control responses provided in the Council's last CoCo submission to meet the necessary audit requirements and ensure compliance with GCSX standards. Monitoring of server availability will be provided; monitoring at the Exchange application level will be in line with the Council's existing capabilities.

As PSN services mature, we will evaluate the use of managed mail platforms providing per-user pricing and simplifying infrastructure management; cost benefit analysis and strategic recommendations will be made formally to the Council when these services are considered mature enough to support your requirements.

2.10.10   ANTI-SPAM: IS10.10

Capita recognise the importance of minimising the amount of unsolicited email reaching the Council's network and has provided Anti-Spam services to a number of its existing managed service customers. Capita will continue to use the Symantec MessageLabs service that the Council currently uses and will novate the existing contract.

Symantec MessageLabs will be implemented and configured to filter inbound and outbound email and quarantine unwanted mail, executable file attachments and viruses, based on the Council's policies and rules. The quarantine facility will be interactive to allow spam material to be released on an individual basis.

This tool will prevent email spam from reaching the Council's network and ensure that only virus-free email is delivered to the mail servers. Employee productivity will also be improved by virtually eliminating the need to read and delete unsolicited messages. We will provide management information on the effectiveness of the service at service review meetings at agreed intervals. We will also review the service and make any necessary recommendations to improve the service.

2.10.11 OCCASIONAL HOME-WORKER: IS10.11

The standard remote access solution will be deployed for occasional users using the SSL VPN remote access solution based on Citrix NetScaler Access Gateway. This will be integrated with LBB's existing RSA implementation to give a two factor authentication.

The remote access solution will be managed in line with the Council's agreed Remote Working and Security Policies and will ensure that Users are restricted to only those applications and services that they have access rights to. Access for third parties, for the provision of support, will also be controlled in line with the Council's Information Security policy.

Capita will perform security, application and infrastructure updates for remote access users to ensure consistency and alignment with the Council's policies.

We will use our automated tools to inspect all remote access devices and ensure compliance with the Council's security standards and processes. We will inspect and if necessary quarantine or deny access to any device that fails to comply with these standards.

We will use our standard ITIL processes to ensure that user profiles are added, deleted and modified appropriately, as well as Access Management to provide or deny inappropriate access to Council services, applications and data.

2.10.12 SAN: IS10.12

Capita will configure its core monitoring toolset (SCOM for servers and SolarWinds for networks) to ensure accurate and effective proactive monitoring of all Council services including storage arrays.

Capacity Planning

Capacity Management will be underpinned by the Capita Event Management process, ensuring that descriptive events are generated when particular thresholds are breached.

The scope of monitoring will be implemented to meet the needs of the Council and we will ensure that we work with LBB to provide meaningful information that enables the prioritisation of cost effective improvements. We have used this information in other accounts to ensure the right investments are made at the right time.

For some customers, we have re-ordered projects where necessary to make sure that infrastructure changes are made at one time to make operational efficiencies as well as minimising the impact on the service and the end customer. In doing this we have been able to save costs in infrastructure purchases to support both projects,

and through combining testing in order to make better use of the customer's resources (time and effort) and only requiring a single test environment.

We will also work with the Council to define and agree the monitoring of thresholds for storage services. These will be initially defined during transition and reviewed monthly for the first six months, following which we will revert to our normal quarterly review cycle. The specified thresholds will act as warnings that capacity is getting close to the agreed limits and actions will be taken to reduce the service load or to dynamically increase the capacity. In all cases we will endeavour to manage the service within the capacity tolerances provided. As a last resort, we will make recommendations for increases which will follow the change management process ensuring that the Authority understands the impact of the either making or not making the change.

The Capacity Management service will operate in alignment with the Council's business strategy with consideration to business change (both increases and decreases). We will ensure that storage capacity and resource capacity are planned and managed to meet the needs of the Council.

Our infrastructure teams will manage known peaks and troughs within the scope of the storage environment that exists today. We will develop a design that meets the known requirements including some allowable fluctuations in storage capacity (as agreed). As we ensure there is sufficient capacity for these known fluctuations we will not need to seek formal change approval for every small increase as it will be managed within the scale of the scoped service at no extra cost.

We have a deep understanding of the core periods for each Council that we work with and we understand that LBB will have similar seasonal variances (e.g. start of school term time, financial year end etc.). We will ensure that the capacity is managed for these agreed periods, and excesses outside of that will be managed through agreed and approved changes.

As part of our internal sign-off process, all storage array configuration will be provided with comprehensive documentation, detailing the configuration. The Capita operations team will update the default documentation set to match the specific configuration of each new storage instance.

Storage Area Network

We will implement a sophisticated, resilient and secure shared data storage infrastructure at our data centres for LBB. The service is based on modern, state-of-the-art hardware, implementing storage virtualisation with a high level of redundancy within each data centre. Data is replicated between data centres over a high capacity fibre link.

The following tiered storage options will be provided:

▪ High availability data with replication over fibre channel with and data replicated to our DR site using SAN and database replication methods dependent on system requirements

▪ High availability data over fibre channel within on-site storage arrays

▪ Archive data using tape back-ups.

As part of the transition process at the start of the Service, we will audit the existing Council storage and back-up arrangements. Where arrangements do not comply with best practice, we will implement new storage and archive procedures.

We will work closely with the Council to assess its detailed archiving, retention and compliance needs, building a portfolio of appropriate complementary technology solutions coupled with robust policies for data retention, disposal and management. We will use existing multi-tiered storage solutions within its data centres to provide a scalable, affordable platform for data growth and management.

Documentation

Capita uses standard templates and incorporates version control within the CMDB to keep the documentation in sync with ongoing storage developments. Our storage architecture is built upon industry standard tiers and RAID levels.

Storage Management

We recognise that the appropriate storage, archiving, and availability of data are critical to the business of our customers. We are well versed in delivering and supporting such technologies and will ensure that data is accessible to Council users at the point of use within the confines of the Council's Security Policy.

Capita's Data Storage and Archiving Solution will manage the Council's data storage technology including:

▪ Storage devices, including disks and tapes

▪ Network Attached Storage (NAS)

▪ Storage Area Networks (SAN)

▪ Direct Attached Storage (DAS)

▪ Appropriate use of mirroring, digital storage replication, including databases

▪ Archiving of data requiring infrequent access.

We will monitor, manage, and administer the Council's existing EMC Clarion and the proposed replacement NetApp Storage Solution and work with the Council to identify trends and develop future plans and strategies.

We will deliver and maintain:

▪ Access to data from any point of connectivity within the Council's infrastructure – by using network accessible storage and ensure the availability of network, data storage and client end point devices

▪ Transparent location of data – by ensuring the performance of the data network, the network storage and appropriate applications is sufficient to ensure data is provided in a responsive manner regardless of the point of connection

- A managed storage solution in which data allocation is monitored and reviewed

- The ability to manage storage requirements locally or centrally, for example by policy, quota etc.

- The management of storage technologies such as SAN, NAS, DAS etc. and subsystems such as Redundant Array of Independent Disks (RAID).

We will work with the Council to identify appropriate retention policies and enforce them, including the legal requirements for data retention. In a number of its Managed Service contracts, Capita assists customers with legal requirements for over 25 different retention periods ranging up to 100 years and perpetuity. These policies will define where data is stored, for how long, in what format and who may access it.

Specifically, we will:

- Manage access to data based on Directory Services to ensure appropriate security is maintained

- Maintain and adhere to file storage naming conventions and manage data placement within the hierarchy based on the agreed service levels placement decisions

- Manage storage and archive related Incidents, Problems, Changes and Service Requests through RMS and in line with the agreed ITIL best practice processes

- Provide End Users with an agreed quota of storage for use, compliant with the Council's policies. Control access to personal storage through the Directory Services, monitor the use of personal storage and provide appropriate notification as capacity limits are approached

- Defragment and de-duplicate the storage solutions as required.

2.10.13   SHARED NETWORK DRIVES: IS10.13

Capita will leverage its managed storage service to host the Council's data and will maintain data integrity by migrating the existing data structures whilst retaining existing permissions. The managed storage service and managed backup service will maintain the confidentiality, availability and on-going integrity of LBB data when enabling data sharing between departments within LBB. We will ensure that access to shared network drives fully conforms with the LBB Information Security Policy and data access restrictions for business groups.

We will ensure that shared network drives are configured and maintained even after the implementation of the thin client platform to ensure a consistent user experience. The configuration is achieved via the discovery and design activities and the maintenance will be supported by the Windows support team.

The tooling provided by the managed storage service and the existing capabilities migrated from the existing estate will ensure security auditing on file access. Integration with active directory will ensure that access restrictions are applied by user and/or business group.

The managed storage service and our managed backup service will also ensure that the data is backed up and restored on demand. Capita will, in agreement with LBB, maintain and implement a backup and restore strategy and policy for all user, system and application data that covers:

- Data volumes to be backed up

- Frequency of backup for each data volume

- Type of backup

- Backup retention and rotation schedules.

Data will be protected both through controlling physical access to the premises and ensuring that the backup tapes/discs are stored securely. These security controls will ensure the integrity of the data and will enable the Council to meet the necessary regulatory and business policy data retention data requirements.

The managed storage service employs technologies such as single instance storage and de-duplication to ensure that the data is optimised to reduce the size of the data footprint, as illustrated below:
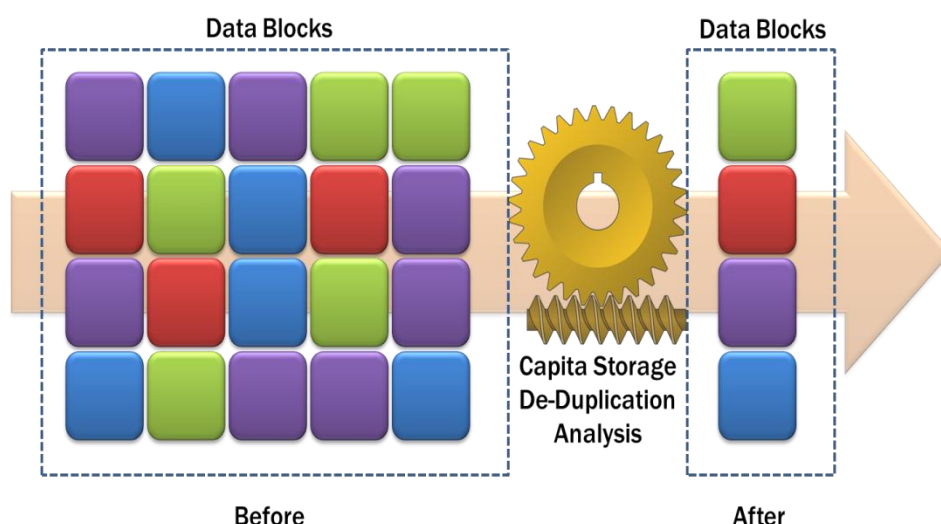
Figure 31 - Data De-Duplication

Capita will ensure that the LBB information security policy is applied to shared drives, by leveraging tooling within Active Directory and Citrix product stack such as Citrix Policies and NetScaler.

2.10.14   SERVER SUPPORT: IS10.14

Server Management

We will deploy our ITIL best practice Security Management, Capacity Management and Availability Management processes to ensure that the availability, security and capacity of the servers aligns with the Council's business requirements.

We will continually (24x7x365) monitor the availability and overall efficiency of all the Council's servers, services and applications and take appropriate action to restore the normal situation should any issues be highlighted. We will ensure the availability of all systems in line with the agreed performance targets.

We will deploy Microsoft System Centre Operations Manager (SCOM) to support the expertise of the support team to monitor the Council's servers and application services and identify technical and performance issues. Integrated with RMS, capacity or availability alerts raised by SCOM will create an Incident within RMS, ensuring all such issues are investigated and resolved appropriately.

In addition, SCOM integrates with Capita Capacity Availability Reporting System to provide proactive Capacity Management and Reporting. We will advise the Council of any issues affecting current performance and will also proactively manage capacity issues. We will recommend any configuration tuning, upgrades to software, hardware or network infrastructure that are likely to be required. We will follow ITIL based Change Management procedures to control all changes to servers, applications and systems. All system upgrades, point releases and patches will be applied in line with the agreed schedules to ensure that systems remain on a vendor supported version. We will, also manage the replacement of servers working with the Council to identify equipment to be included in any refresh programme. In delivering this service we will ensure compliance with recognised industry best practice guidelines and will ensure we keep the Council informed of emerging changes.

Server Backup and Restores

Capita will continue to support and maintain the current Backup and Restore environment in line with both the business need and industry best practice. During the life of the contract, we will develop the facilities to meet the Council's future needs. Capita will, in agreement with the Council, maintain and implement a backup and restore strategy and policy for all user, system and application data that covers:

- Data volumes to be backed up

- Frequency of backup for each data volume

- Type of backup

- Backup retention and rotation schedules.

Capita will ensure that all data backups are securely stored in a remote location within reasonable proximity to the Council's offices. After the migration of servers to the Capita data centre tapes will be located within a reasonable proximity to this site. Data will be protected both through controlling physical access to the premises and ensuring that the backup tapes/discs are stored within fireproof safes. These security controls will ensure the integrity of the data and will enable the Council to meet the necessary regulatory and business policy data retention data requirements.

2.10.15 REMOTE SITES ACCESS LAYER SWITCHES: IS10.15

Capita will provide, as part of the Network Service, the access layer switches. The switches will be configured and maintained as part of the managed service and will be monitored 24x7x365 as per the rest of the network.

Our Central Service Desk will provide a single point of contact for all calls relating to the network. End-to-end processes will be managed by Capita, including liaison with third party providers in order to provide the Council with seamless support services. Our on-site team will ensure that service is responsive and incorporates a high level of local knowledge ensuring the achievement of the SLAs.

We will provide our full range of ITIL services for the access switches as we will for the rest of the supported network infrastructure.

2.10.16   SERVER MAINTENANCE, PERFORMANCE MONITORING AND PATCHING: IS10.16

Capita provides server management to the large majority of its managed service customers and as such is very experienced in managing server estates. We will deliver an integrated support service for all server systems identified within the Council's estate. We will manage, maintain, support, administer and control the Council's server systems to ensure that they efficiently and effectively support the Council's business and the impact of any Incident is minimised.

We will manage the server estate using our standard ITIL processes for all aspects of the service and will implement appropriate tools to monitor the availability, performance and capacity of the server estate. We will install and configure Microsoft System Centre Operations Manager (SCOM) to manage availability and capacity of the servers.

All support will be co-ordinated through our Service Desk, using the RMS Service Management Suite (RMS), to record, monitor, track and escalate calls. Capita's monitoring tools will be installed and configured to monitor standard indicators and will automatically raise an Incident within the Service desk through an electronic interface. Incidents will be raised against a set of rules in line with the relevant SLAs. However, we will set additional thresholds so that engineers are alerted before issues impact the operational service, allowing proactive diagnosis and problem resolution before users are affected.

In the first instance, Incidents will either be raised automatically by one of the monitoring tools, by Users contacting the Service Desk or by support engineers who encounter an issue. For Server issues the incident will be allocated to Capita's Enterprise Services Team, where a team of skilled engineers will undertake any corrective or remedial action that is required. Capita's Enterprise Services team is comprised of Support Engineers covering a range of Technical disciplines. Experienced engineers are on call 24/7/365 to ensure contractual obligations for all Capita's customers are covered. These engineers are supported by a Senior Duty Manager 24/7/365 for escalation and guidance. Capita will use third party support contracts where appropriate, such as for hardware break and fix.

We will provide access to third parties when necessary, facilitating access (physical or remote) in line with the Council's Security Policies, tracking and escalating any issues with the relevant Service provider.

We will ensure that our staff maintain the appropriate skill levels in order to support the Council's Core technologies, as part of a Training Plan developed and regularly reviewed for all Capita staff.

Performance Monitoring

We will monitor all standard indicators of availability, performance and capacity on the servers against a set of defined rules, ensuring that any issues with availability, performance or capacity are automatically detected and raised. This will include the monitoring of critical services, applications and batch jobs to ensure they are running correctly.

We will also collect performance data in order to facilitate trend analysis of load and performance on the Servers. This data will be analysed to proactively identify trends so that future capacity issues are identified and mitigated before they impact the operational service.

Patch Management

Capita will implement the Council's approved Patch Management policies and will implement all maintenance releases, hot fixes, minor upgrades and service packs, working with third parties where required. All patches will be managed through the relevant Change Management process. Server Operating System Patches will be distributed using Windows Software Update Service (WSUS) and HP Systems Insight Manager (SIM).

Our ITIL based processes will ensure that patches are managed in line with agreed procedures and that the Change, Configuration and Release processes are adhered to.

Patches will be regression tested in each environment before release to the live environment. However, despite comprehensive Release planning and thorough testing, there will always be a risk that a Release or Patch may fail due to a defect in the new version of the software following implementation in the production environment. Procedures will be created, specific to the Council's contract, to manage the back-out of the Release or Patch should it be unsuccessful for any reason and these will be incorporated within the Release Plan.

Back-out plans will be drawn up and tested as an integral part of Release Management, enabling the production data and software to be quickly rolled back to the last stable version, and in an orderly way, without the loss of valuable information. This will allow time to evaluate the problem and find a resolution, minimising any possible negative impact on the service and the integrity of the IS system. Back-out plans will take into account the agreed availability within the relevant contract specific SLAs.

2.10.17   PRINTING SERVICES - MANAGED PRINT SERVICE: IS10.17

We will work with the Council to implement a print strategy that provides an end-to-end, best value print, fulfilment and mailing service which will seek to drive printing to the most appropriate devices and locations to take advantage of lower printing costs.

The principle of the new solution is to ensure quality printing / copying / faxing and scanning is available throughout Barnet, supporting the Agile Workplace Programme (AWP). In terms of the Print Room, this is an opportunity for the Council to update its technology and following a validation of requirements, provide the following:

▪ 'Online' finishing options to speed up a number of processes such as booklet finishing

▪ Advanced job ticketing software where staff can submit jobs via an online portal and Document Centre administrators are able to properly manage their workflow

▪ Print management software for departmental cross-charging, if this is an option the Council would like to pursue.

To achieve this we will deliver:

▪ A comprehensive Change Management programme ensuring a smooth transition from the current to the new solution

▪ A new standardised general use MFD solution integrated with Pull Printing in line with the Council's flexible working environment objectives and end-user requirements

▪ A new print room solution in line with Council's requirements, including general output, finishing and wide format

▪ A proactively managed output solution ensuring a maximum four hour response and a guaranteed 98% uptime

▪ Full Pull Printing across all general access MFDs to ensure Barnet has transparency and individual accountability in terms of usage

▪ Advanced print management software which will provide the Council with complete transparency of usage across the entire fleet. This will also enable Barnet to implement rules based printing and encourage the usage of the print room more.

A plan ensuring the entire document output solution is managed throughout the agreement period ensuring benefits are realised continually.

Specific initiatives we will implement include:

Desktop Printing - OneM@il

In addition to predictable, high volume forms and correspondence, all general white mail generated by contact centres and office staff, for example in response to bespoke customer queries, will also be redirected for print fulfilment and despatch through our specialist document production centres. This is achieved by deploying our Hybrid Mail solution, OneM@il.

OneMarket Technology

Our OneMarket solution provides:

▪ Automated document workflow, with no single point of failure

▪ Well maintained, vetted and audited supplier chain – ensuring the highest standards of data security, quality, environmental and colour management values

▪ Automated reporting and invoicing functions, delivering MI on all jobs received and processed

▪ Removal of paper trail requirements

▪ Creation and configuration of documents to produce an efficient production stream with a guaranteed SLA to meet Customer requirements

▪ Instant pricing against agreed rates.

Please refer to the Estates Method Statement for full details of our proposed print services.

2.10.18   EXPERIENCE IN DELIVERING INFRASTRUCTURE NETWORK SERVICES

Capita currently provides data network management services for all its Managed Service customers. The number of network sites supported varies between contracts, as illustrated below:

MANAGED SERVICE CONTRACT	APPROXIMATE NUMBER OF NETWORK SITES SUPPORTED
Service Birmingham	1,000+
London Borough of Lewisham	140
London Borough of Bromley	100
Sheffield City Council	125
Devon and Cornwall Constabulary	207
Gloucestershire County Council	279
English Heritage	148
Serious Fraud Office	2
West Sussex County Council	400+

The outcome of Capita's approach is a highly available network infrastructure, which is cost-effective and provides a high performance infrastructure backbone on which key business applications rely. Examples of Capita's network services being supplied to existing contracts are provided below.

London Borough of Lewisham

Capita provides, manages, supports and maintains the data network at London Borough of Lewisham as part of its wider Managed Service Outsourced Contract, supporting 4000 users across 140 locations. These 'end-to-end' services encompass all types of network and telephony equipment, related consultancy services and the procurement, installation, support and maintenance of all related infrastructure elements, ranging from switches, routers, call managers through to handset hardware. Benefits to the Authority include:

- A modern platform which enables improvements in productivity and customer service

- Significant reductions in the cost of operating network and telephony networks.

Gloucestershire County Council

At Gloucestershire County Council, monthly network availability (over the WAN) has been between 99.97% and 100% for the past 3 years. Also, Capita has implemented a Wireless Network provision within Shire Hall to support Elected Members, providing a seamless service for Members that gives a consistency of experience and systems access whether working in the Council offices or remotely.

2.11 TELEPHONY: IS11

We recognise the investment that LBB has and is continuing to make in its CISCO based IP telephony service, and it is our intention to take over the management of this service at the outset of the contract. As part of the ICT transformation programme, we will be seeking to migrate the service into Capita's managed voice service (MVS), a high availability shared service which will also provide a roadmap towards full implementation of unified communications.

MVS will also be implemented in the Contact Centre to provide the workforce management facilities and advanced contact management technologies required to deliver the service improvements and efficiencies.

We will manage LBB's existing video conferencing facilities and, again as part of a transformation programme, look to develop these in support of agile working and unified communications strategies.

2.11.1 IP TELEPHONY TECHNOLOGIES: IS11.01

We will take over the management of the Cisco telephony existing service, which we will remotely monitor and manage from one of our Network Operations Centres to ensure the required service levels are met. The same centre also provides support for the MVS.

Our standard ITIL processes, including Event Management will be deployed to manage any faults/ issues. Monitoring systems are used to collect alarm conditions across all elements of the solution from the core, the voice quality across the network and connectivity of end devices. This is done on a proactive basis where faults or issues alerts are acted on prior to any service degradation or disruption. Standard network monitoring tools will be used to provide basic monitoring. It is anticipated that

Cisco Unified Operations Manager will be required to provide full telephony monitoring.

We will ensure the solution continues to be maintainable by keeping software revisions in line with manufacturer's guidelines. At a point in the future, the Cisco telephony platform will need a significant investment in a hardware refresh. Capita will look to reduce this capital expenditure by introducing our MVS as a replacement service.

The managed voice service (MVS), illustrated below, supports a range of technologies (Avaya, Cisco and Microsoft Lync) that are provided from within the Capita network and is charged on a utility basis with a small setup fee which covers the initial discovery and configuration activities to be undertaken, including delivering handsets on site. There is no additional equipment required on site as the service is delivered across the resilient WAN connections from Capita into the Council's network that will have quality of service enabled for voice traffic.
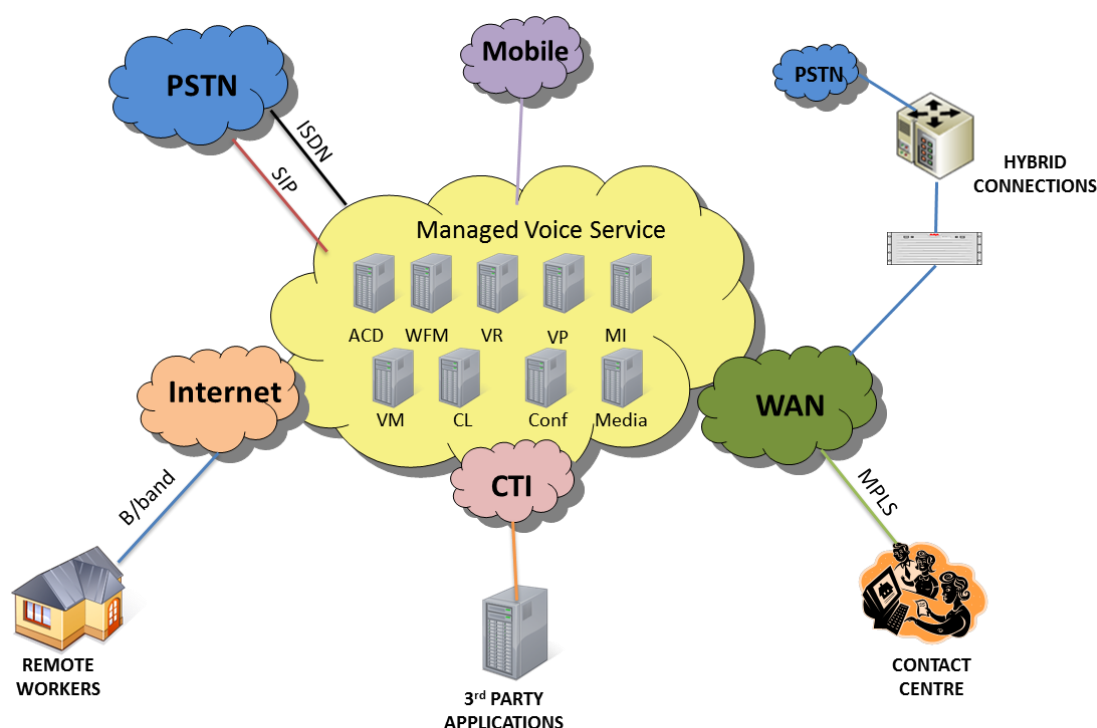
Figure 32 - Capita's Managed Voice Service

All software and hardware updates undertaken are included within the monthly service charge. We will work with the Council so that minimal disruption is caused where updates require the system to be restarted. (These are typically done out of core hours).

MVS provides both traditional PBX functionality for general desk based and remote users with Unified Communications features and functionality plus enhanced contact centre capability.

Capita MVS will be implemented in the Contact Centre when it is moved to its new location. The Contact Centre service within MVS is based on Avaya Aura to provide the advanced Automatic Call Distribution (ACD) functionality that enables

comprehensive call routing and agent skill grouping along with call queuing and management information reporting. Verint IMPACT 360 is also provided to enable voice recording to allow for quality monitoring and compliancy as well as workforce management to ensure that the correct resources are made available based upon traffic profiles. Both of these services can assist in making the Council's contact centre more efficient in respect of resources, can increase agent moral as they have some control over their work patterns and also helps improve the customer experience. This will be integrated into the back office service to allow for a joined up service and assist in the one-time resolution.

MVS will be deployed in a phased manner and we will work with the Council to determine a detail project plan and user profile to enable a user type template. As the service is delivered across the WAN, we can deploy a pilot solution in a short time scale and then extend service out to the wider user community as required and gradually migrate with the need for a 'big bang' approach limiting any disruption to the telephony service.

2.11.2 IP TELEPHONY STRATEGY & MANAGEMENT: IS11.02

We will work with and provide advice to the Council based on industry best practice to enable the Council to maintain, review and enforce strategies, policies, standards and procedures for IP telephony based on both the existing Cisco installation but also working forwards covering the transition and ongoing development of the managed voice solution.

The strategic direction will come jointly from the Council's business strategy and the ongoing IS Strategy. It will take actions forward from the annual IS and business strategies and the annual review of the Capacity and Availability plans.

We will periodically review availability of recommended end user equipment and in consultation and with the agreement of the Council update the Product Catalogue with the new telephony products. The same process would be applied for any new types of equipment to satisfy new and emerging business requirements.

Our aim will be to resolve the majority of IP telephony Incidents from our central facility. In the event of a site visit being required we will utilise local support staff working in conjunction with our centralised support function. The migration to the managed voice service will reduce the amount of equipment that is remote to the core service and thereby reduce any potential delay in despatching resource to site.

We will maintain control and ownership of the resolution of Incidents and Problems including those 'owned' by third parties in accordance with ITIL best practice for all IP Telephony components listed in the asset register as well as all other telephony elements to make up the solution through our Service Desk function.

We will manage the maintenance and licence renewal of the Cisco IP telephony devices included on the asset register and manage the lifecycle of the equipment with a suitable replacement to maintain supportability through the life of the contract in line with vendor recommendations. Within the managed voice service, this will be undertaken as part of the service provided to the Council and included within the service charge. However, it will be undertaken in consultation with the Council prior to any major changes that may include service disruption or changes to a way of working.

2.11.3 VOICEMAIL: IS11.03

Capita will work with the Council to define the necessary standards and procedures for voicemail service to ensure that the system is supported and maintained in accordance with the agreed strategies but also ensuring that it is not open to fraudulent use. We will work with third parties to rectify any issues that arise, either via remote interrogation or attendance on site as necessary to bring the platform back into service. Part of the support will be maintaining up to date technical documentation, schematics and asset registers as well as ensuring that any third party integrations are maintained in line with the latest software and hardware versions following ITIL best practices.

We will also maintain the solution in line with vendor recommendations ensuring that the latest hardware and software revisions are in place in conjunction with interim security / bug patches applied as necessary.

We will maintain control and ownership of the resolution of Incidents and Problems including those 'owned' by third parties in accordance with ITIL best practice for all Voice mail components listed in the asset register through our Service Desk function.

Capita will also provide support for end users, enabling remote support and advice on how to access the service, set-up mail box configurations and reset passwords. A user guide covering the functionality of the voicemail system will be made available to all users.

2.11.4 VOICE RECORDING: IS11.04

We will maintain and support the existing call recording solution until the contact centre is migrated to our MVS solution, which will provide an enhanced service and capability.

Voice recording will be provided using Verint Impact 360. This is a fully integrated product that has been developed jointly between Verint and Avaya, market leaders in Contact Centre services, to provide the best functionality. It will be provided across both our data centres, with no single points of failure.

By default, all calls terminated and originated via the agents within the contact centre will be recorded. However, the service can be configured so that calls can be recorded in line with the agent skill group they terminate in, so that the Council can decide where recordings need to be taken. The typical period for call retention is six months, when recordings are used for quality monitoring purposes though this time can be extended for compliancy reasons or where a call is flagged to be retained. A Centralised Archive Manager (CAM) with connectivity provided to SAN supports archiving. Voice recordings that are older than 30 days will be archived on storage provided within the data centres.

Supervisors will be provided with access to call recordings via a secure browser interface, illustrated below, where they will be able to enter search criteria to extract recordings quickly and efficiently.

Figure 33 - Typical output from a voice recordings search

These calls can be replayed (using a suitable equipped device with sound replay), flagged for retention or downloaded locally for review. This interface also provides the capability to extend the retention period as required and stored within the SAN within the Capita data centres. An audit log is captured that monitors access and activities to the Viewer service for additional security.

All users requiring access to the voice recordings will be trained during the implementation phase of the managed voice service. This will be done by a qualified trainer and presented to a group of users. In addition, it will be possible to identify a local super user that can also be trained so they can be used to train any future trainers. In addition to the training, Verint provide a comprehensive user guide that covers the Viewer capability and will be made available to The Council agents.

Additional training days could also be purchased if required on an ad-hoc basis to ensure that the Council is getting the most out of the application.

2.11.5 CALL CENTRE SUPPORT AND MAINTENANCE: IS11.05

Capita will maintain and support the current IP contact centre which consists of Cisco Contact Centre Express, Verint Call Recording and Checkmate Wallboard systems, ensuring it is maintained in line with vendor recommendations and software patches and updates applied as necessary. This will also cover the general day to day administration of users, including profile changes, ACD configurations and connectivity to Active Directory as necessary to provide log-in security and monitoring.

Capita will undertake the resolution of Incidents and Problems (including those 'owned' by third parties as appropriate to ITIL best practises) for all Call centre components listed in the asset register.

We proposed that the managed voice service is deployed during the relocation of the contact centre. This will enable increased functionality and capability to support voice ad also provide additional service such as multi-channel access (SMS, Email Web Chat, and Social Media), self-service scripting through the use of natural language IVR applications, voice recording and work force management.

The managed voice service has a test environment that reflects the core services and configuration available within MVS. This is used to carry out changes to hardware, verify software updates and patches and also to provide a platform to test out new technologies prior to implementation of live production platforms.

All Contact Centre users will be provided with extended training to ensure that they are proficient in the new service. The new service will be deployed prior to any change over from the existing IPCC solution which will enable agents to get up to speed on the solution without being interrupted by day to day activities. This will mean that there will be limited number of training issues arising on 'go-live' day. We will provide floor walkers for the first couple of days, who will be able to assist users instantly.

A full set of technical documentation will be made available and maintained including comprehensive technical documentation and schematics and licensing arrangements. We will also maintain   User documentation and training notes on how to operate the systems within the contact centres. There will be an agent set for answering calls and a set for Supervisors that will cover the Management Reporting and Voice Recording/ Workforce Management applications.

Where required we will provide one to one training to individuals on usage.

A Model Office design will be agreed with the Council early in the contract delivery and built during the Transition phase. This environment will be based on a standard desktop build and be used to test all Call Centre software patches and upgrades including providing support to the users of the Call Centre. This will be performed as part of the full patch release process described elsewhere in this document. There will also be the facility to return it to a known good configuration at the end of each cycle of use.

2.11.6 CALL CENTRE REPORTS: IS11.06

We will utilise existing reporting systems to provide metrics and report on the visibility of all incoming/outgoing calls and response time to measure performance and availability of the IPCC systems for as long as it is in service.

Following the migration to the managed voice service, we will be able to enhance the reporting capability using the Call Management System that can provide over 200+ standard reports both as textual or graphical representation, an example of which is illustrated below. These can be either in real-time or historical. Additional reports can also be created by users as business requirements decide. Data from reports can be exported to other data manipulation programmes.
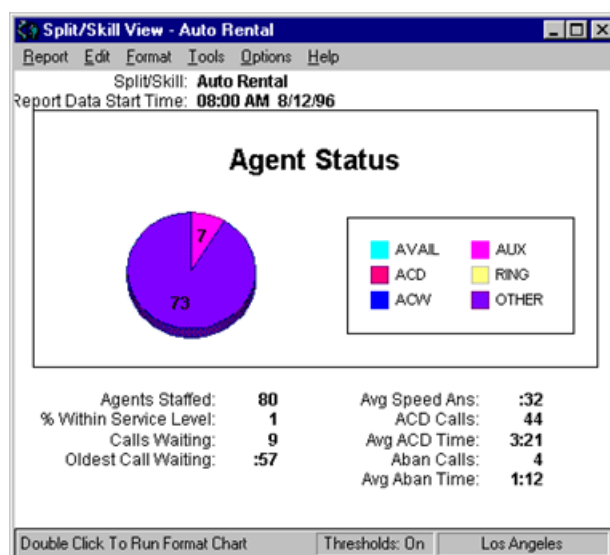
Figure 34 - Sample Call Centre Report

Connection from the CMS platform can also be terminated on a Plasma screen that can be used within the contact centre to allow agents to see information covering traditional wall board reports (calls waiting, call taken calls within SLA etc.) but also in graphical form making it easier to display pertinent data.

A full set of technical documentation for Call Centre Reporting will be made available and maintained which will include detailed schematics and licensing arrangements, as well as User Notes on how to operate these within the contact centre. Where needed, we will also provide one to one training in usage of the reporting functionality to individuals.

2.11.7 CONFERENCE CALLING: IS11.07

We will utilise the existing facilities with the Cisco UC solution to deliver telephony conferencing and maintain control of the resolution of Incidents and Problems, including those passed to third parties, for all call conferencing components listed in the asset register. The solution will be supported by our Network Operations Centre which will monitor and maintain the conferencing services in line with vendor recommendations.

Capita will also provide additional audio conferencing services to extend the capabilities of the Cisco solution through agreements with third parties, especially around the provision of extending the participant numbers and the provision of a 'meet-me' type conference service. This service provides a chair code to open the conference and a participant code for participants to use.

2.11.8 VIDEO CONFERENCING: IS11.08

Capita will support and maintain the existing facilities to deliver video conferencing and maintain control of the resolution of Incidents and Problems, including those passed to third parties, for all video conferencing components listed in the asset register.

We can also provide conferencing solutions from desk to desk based solutions through to multi-screen Telepresence video conferencing solutions and will work with

the Council to identify where benefit can be realised through the extension of video conferencing solutions.

2.12 DESKTOP SERVICES: IS12

We confirm that Capita will meet all of the Council's requirements relating to desktop services.

We recognise that responsive and effective Desktop Services significantly improve User performance, directly impacting the effectiveness of the Council's business. It is our intention to take on all aspects of management of the desktop and associated services using the optimum blend of local and remote support resources.

We will provide the Council with a professional Desktop Service, ensuring PC hardware devices and associated software are effectively supported to maintain agreed levels of availability and performance. We will implement desktop policies and provide facilities for remote users, including mobile and home-workers that align with the Council's security and HR policies and ensure that performance and security are not compromised.

The service will deliver complete lifecycle management of all personal desktop equipment within contract scope including PCs, laptops, tablets, printers and other related peripherals and will also be responsible for connectivity to the office for all office, home-workers and mobile staff who use Council provided equipment.

Desktop Transformation

Key to the success of the desktop service is the development of a technology vision, strategy and roadmap that will support the Council's current and future working styles. This will be a key component of the ICT Strategy. Our technology vision includes a positive move to web based and Citrix thin client based delivery, enabling us to support an increasingly mobile workforce. This also enables the adoption of a 'bring your own device' (BYOD) policy, and we will work with the Council in defining the criteria that will allow this to happen in a secure manner that enhances rather than reduces usability and performance. To support this, our solution includes the provision of 250 instances of the Becrypt USB solution to provide secure access to Council systems from any untrusted (user owned) devices.

Citrix Upgrade - within the first year of service, we will upgrade the Council's existing Citrix capability, and will implement technologies and application packaging techniques that will reduce the footprint of traditional implementations without adversely impacting performance. In implementing the Citrix environment, we will re-publish all existing applications to ensure a consistency of configuration. Our vision is that Citrix will be the default delivery standard delivery platform for all Council application, ensuring a consistency of user experience.

Google Apps - having analysed the projects currently underway in the London Borough of Hillingdon and Warwickshire County Council (as well as our own internal implementation), we are convinced that Google Apps can deliver benefit to the Council, not solely in terms of the reduction in costs associated with the delivery of email and other collaborative working technologies, but also as a catalyst for business transformation. We propose, within the first two months following Service Transfer, to implement a pilot that will allow the Council to assess the impact of such

a totally web based service on its business and to jointly address any concerns regarding security, performance, usability and integration with existing business applications before extending the Google service to all users in accordance with the Council's Information Security Policy.

During Transition, we will review the Council's current Microsoft Enterprise Agreement to determine the value of continuing with it, primarily in light of the extent to which the Council is able to adopt Google Apps.

Hardware Refresh Programme - we will implement a Managed Desktop Solution which will ensure that all desktop devices are refreshed and maintained in line with the scheduled refresh programme. This rolling hardware refresh programme is based upon increasing the usage of Thin Client devices to take advantage of the new Citrix environment. The programme will refresh 20% of all desktop devices each year, as illustrated in the following table.

	Year									
	1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**
Laptops (20%)	120	113	109	106	103	101	99	98	96	94
Thin Clients (80%)	480	451	435	422	411	404	397	390	383	377
Total devices to be replaced	600	564	544	528	514	505	496	488	479	471

For the purposes of providing a firm price to the Council, the table above does not assume any adoption of BYOD. The adoption of BYOD would be treated as a Change under the Change Protocol in Schedule14. Any costs associated with implementing this change in policy and processes would be charged to the Council. However 100% of the ongoing benefit of any reduction in support or refresh costs will be passed back to the Council through a reduced Monthly Service Charge.

In line with dialogue and the information provided by the Council's Core Finance stream we have assumed that the Council provide IT capital funding of £3.4m. We understand this funding is made up of £2.56m from the IT capital programme (£1.56m in 2012/13 and £1m in 2013/14 and a further £878k Corporate IM released in 2012/13). Our actual refresh expenditure for ICT assets over the contract term equates to £6.2m and the additional £2.74m (the total spend of £6.2m less the £3.4m provided by the Council) over and above the Council's capital budget has been charged back as part of our ongoing Monthly Service Charges.

Bring Your Own Device and Staff Discount Scheme

To help promote greater adoption of employee Self Service and realise the benefits of BYOD we will implement our Employee Discount solution, LogBuy, as part of our Employee Portal investment. This scheme provides advantageous discounts to employees and currently has a user base of over 800,000 employees from more than 550 client organisations. The benefits of the scheme are:

- **Council Employees** are offered exclusive discounts on exciting products and services

- **The Council** can offer a popular fringe benefit and reduce its IT support costs

- **Merchants** have access to a large and attractive customer group

▪ **Capita** benefits from increased take up of employee self service

The scheme attracts economies of scale that generate value for all parties. Our size means we can offer great discounts and be selective in terms of products and services. The LogBuy portal is easy and simple to understand and is always available, wherever the users are, both geographically and technologically. Discounts are offered on products and services across the country and the system can be accessed via the Employee Portal, the internet from the employee's home, as well as across all mobile platforms.
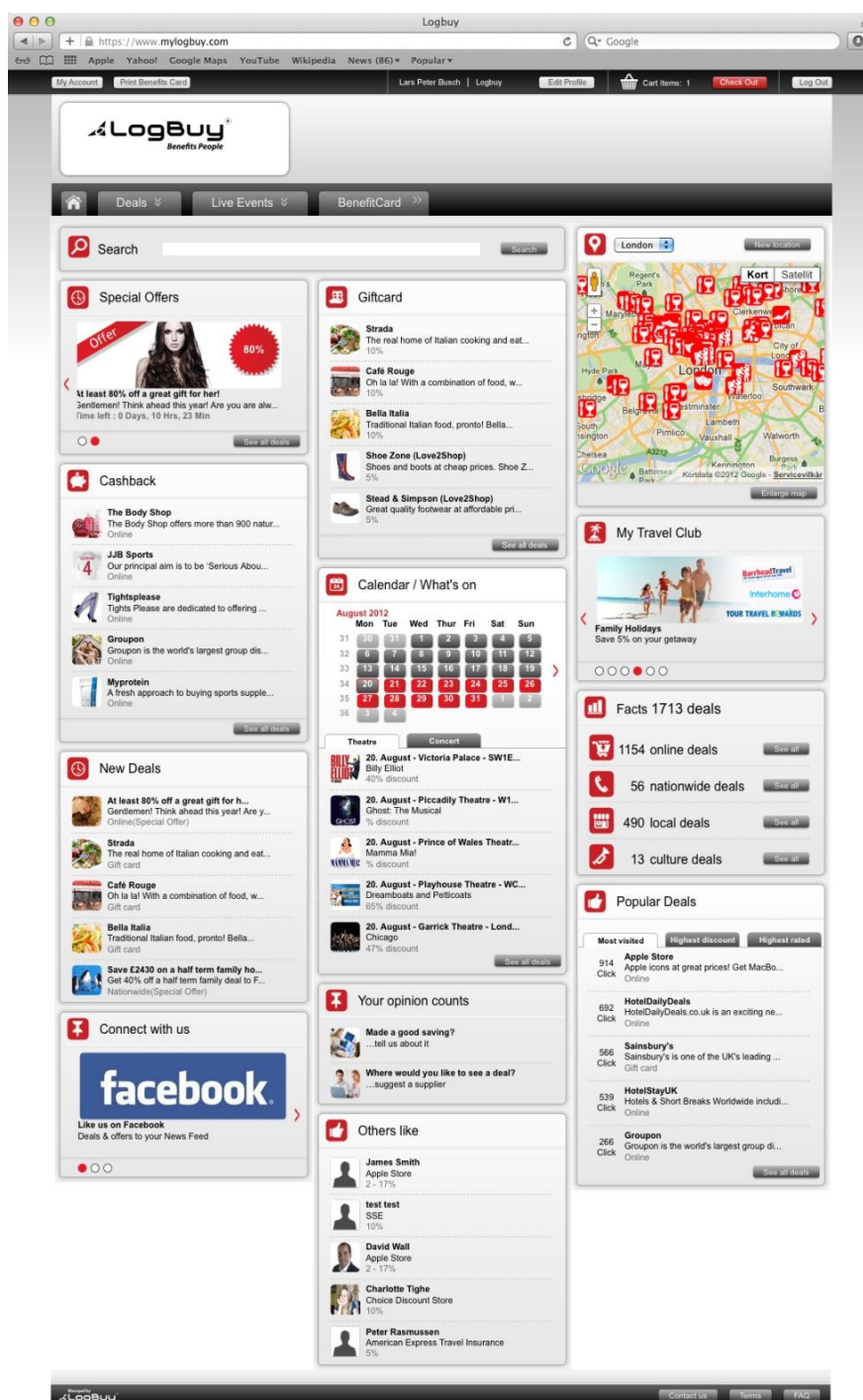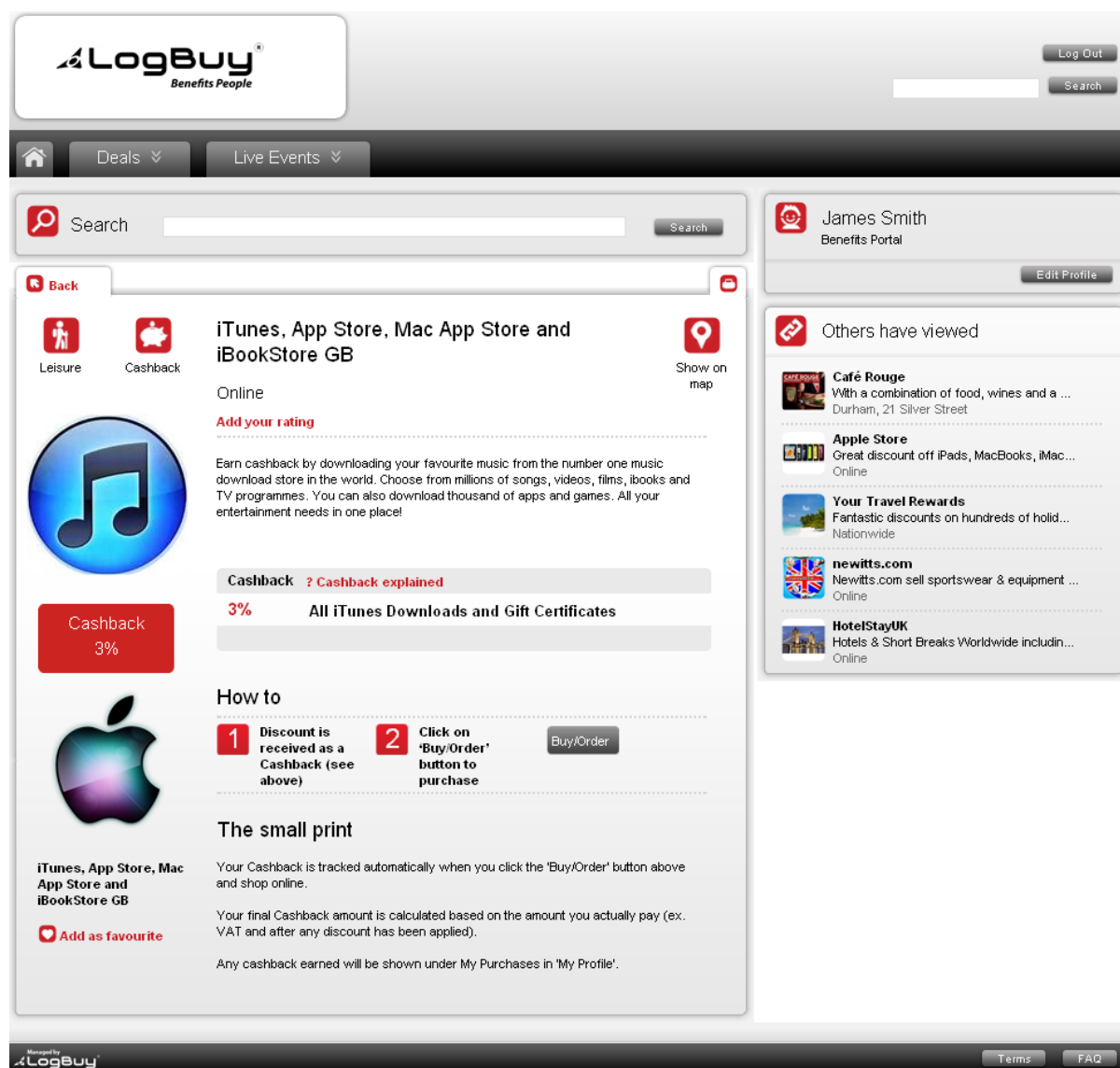
Figure 35 - Typical LogBuy screens

Utility Based Pricing Model - as indicated in our response to IS03 Financial Management, we will provide the Council with the option of a utility based pricing model by the commencement of year 3. In the area of desktop services, we anticipate that this will be based on the provision and support of the following Product Catalogue items:

- Fat client desktop

- Fat client laptop

- Thin Client

- BYOD.

Increased Efficiency

We anticipate, as a consequence of increased use of remote management tools, implementation of self-service and elimination of recurring incidents, to reduce the levels of resource involved in IS surgeries and home visits (IS12.18 and IS12.24). We will collect and monitor feedback to ensure that this does not adversely impact the level of service that these face-to-face services currently deliver.

2.12.1 APPLICATION SUPPORT: IS12.01 AND APPLICATION SUPPORT: IS12.19

Capita will meet all of the Council's specified requirements in this area to ensure that the desktop applications are reliable and fit for purpose. The service will be delivered during the standard support hours and will encompass:

- Management and delivery of related change projects, including patching, minor upgrades and major upgrades

- Management and resolution of related Incidents, Problems and Service Requests, including management of third parties when appropriate

- Build, configuration and installation of hardware and software upgrades for all desktop and mobile devices

- Management of warranties and processing of repairs for devices

- Maintenance of standard desktop image to include security and encryption

- Effective management of licences to ensure compliance.

We will work closely with the Council during Transition and the initial months of Transformation to develop a comprehensive understanding of the existing applications, including the associated business processes, interfaces, database schema, back-up and archiving requirements and user access controls. We will ensure that each application is supported by comprehensive documentation, including any associated processes and procedures around accessing third party support.

We will ensure that all applications are configured to optimise the installed environment and all installations will comply with the agreed ICT standards that are in place at the time. Comprehensive supporting technical documentation, including operational support manuals, application set-up documents, infrastructure diagrams and database schema will be created and maintained to reflect all Changes. All Changes will be scheduled in order to meet the End User's needs and all documentation will follow industry best practice and will provide a sound basis for support. Effective version control will ensure that a change history is available.

Capita will also review any ongoing projects and the application upgrade roadmaps to understand the impact of each of these on the Council's business applications. This knowledge will enable Capita to deliver effective applications support at contract commencement and will be built upon throughout the contract through ongoing liaison with key business stakeholders, system owners, application users and third party suppliers.

In addition to providing recommendations around the future direction for each application (both from a functional and technical perspective) and how the Council can gain business benefit through further exploiting any new functionality or technology, we will advise the Council when it would be inappropriate to upgrade to a later release of the software than that currently in use. This might be due to the fact that, for example:

▪ The later software release(s) will not deliver any benefit to the Council

▪ The need to maintain required levels of functionality or performance

▪ The need to maintain interoperability within the wider application architecture

▪ The application is to be replaced in the near future*.

*In this scenario, and where this would result in the software release version falling out of scope of the agreed support and maintenance agreement, we will carry out a risk analysis and discuss and recommend options with the Council.

If the Council agrees that an application may be maintained to alternative Release Levels, we will ensure that the Council's business continuity is not jeopardised. If the system has proven to be stable and there have been minimal or no Incidents over the past 12 months it may be appropriate to take a considered risk. Alternatively, we will put steps in place to mitigate this risk, through negotiating alternative ad-hoc support arrangements with the supplier for the interim period. To ensure these decisions are made in good time, the technology roadmap process will include obsolescence monitoring.

Capita will work in collaboration with the Council following contract award to review the Council's Applications Portfolio and agree an Applications Management Strategy that will deliver financial and efficiency gains through the standardisation and rationalisation of appropriate applications. This will be reviewed and maintained to ensure that a clear Applications Roadmap is maintained. We will draw on our expertise in working with similar local authority councils and the Enterprise Architect will play a key role in this process.

Patch Management and Upgrades

Patching and minor/major upgrades will be overseen by our Enterprise Services team of specialist process owners, using an ITIL aligned approach that has also been ISO 20000 accredited.

We will ensure that all application software is maintained at a Release Level that is currently supported by the software manufacturer. This will usually be the current version or current version minus 1. We will ensure that application release updates are planned to coincide with the release plans of the software manufacturer and the Council to certify on-going support and ensure that the Council is able to gain maximum benefit from the new versions.

All application upgrades and service related patches and software releases will be evaluated, with regard to the impact and effort required, to determine the level of criticality. We will inform the Council of all critical patches and releases and will implement them following formal agreement by the Council via the Change Management process. We will also monitor and implement any relevant anti-virus

software updates, anti-virus signature updates and security patches and releases, including remote access solutions, to ensure the Council's infrastructure and systems are protected from viruses and malicious software.

We will implement minor upgrades, maintenance releases, service packs and emergency fixes as part of the core service, executing the delivery of upgrades and application of patches in accordance with the agreed schedule. Major software upgrades requiring significant testing and release or major infrastructural change will be handled as separate chargeable projects.

Capita will be responsible for ensuring that patches are appropriate for installation following agreement with the associated application vendors. We will ensure that all software patches, service packs, fixes or maintenance releases to desktops and the e-mail infrastructure are distributed and implemented within the required timeframe. These updates will be managed in line with our ITIL best practice processes and will be fully tested prior to implementation to ensure that they do not compromise the Council's ICT security and systems.

Testing of patches will comprise the following activities:

- An assessment of the patch or hot-fix and its suitability for deployment into the support estate (this may include escalation to Information Security teams as appropriate.)

- Each patch in a monthly release will be installed onto a build test device either as a virtual machine or physical device and this test will be considered successful if the installation is completed without error.

- A build test device will be re-booted and the test will be considered as having passed if the operating system loads and no related errors are reported in the Operating System log files.

Where testing is successful, the Microsoft Patches and hot-fixes will be passed to the second tier servers in readiness for distribution.

A risk assessment will be conducted for each patch, incorporating assessment of the following:

- Risk that the package will fail when deployed

- Risk that the package will cause user disruption during and after the deployment

- Risk of the level of user interaction required to complete the installation

- Risk that the package introduces changes to areas covered by Information Security.

A monthly exception report will be generated, showing patches that have not been applied due to failing the risk assessment and for devices which have not applied patches within a month. Remediation actions will be taken to resolve in line with the appropriate Incident Priority and SLA. Any excluded patches will be notified to Information Security/ Client Security team.

Capita's prime focus will be to ensure that the Council's business continuity is not compromised. With this in mind, we advocates that a pragmatic approach is adopted in regard to application upgrade paths. We will keep abreast of enhancements and planned new functionality within each of the applications used by the Council, through on-going liaison with the supplier and involvement in Supplier User Group Meetings, where these exist.

Management Information reports will be created with reference to the asset register and the Windows Update Server database, detailing the coverage of patch and update deployment. These will be reviewed at monthly intervals and any device which has not received a relevant patch or update will be analysed and corrective action taken:

In the first instance, we will contact the user of the device and ask them if it is possible to connect remotely to the network in order to receive the patches or updates since this is always the most cost effective and least disruptive method of software distribution. We recognise that this may not be possible for some devices and will have alternative mechanisms available designed to support all users. If possible, we would prefer the user to visit a Council office with local IS support in order to offer the best possible service.

For users who are unable to do this due to either special requirements or other reasons, and for other types of device such as computers installed in mobile libraries, we will schedule a site visit from a field service engineer.

Major Upgrades

Major software and infrastructure upgrades which require significant testing and Release Management will be handled as separate chargeable projects. We will evaluate and assess the impact of the upgrade in order to clearly define the scope. The timing of the implementation rollout will be agreed with each business unit and will be scheduled in order to minimise any business disruption. Wherever feasible, the updates will be applied out of core hours or over the weekend.

Release Management

Application Release Management will be performed by Capita's Release Management experts within Enterprise Services. To ensure complete transparency and to ensure a quality outcome, releases will be taken from the Definitive Software Library (DSL). This means that applications can be tracked in terms of change control, and are auditable prior to forming part of the Configuration Management Database (CMDB). Our effective Release Management function provides the following benefits:

- Engagement of all Council stakeholders and coordination of end users in the release management process

- Adherence to established policies and procedures

- Clear management reports

- Aids service release and deployment policy and planning

- Deals with release package design, build and configuration

- Deals with release package acceptance including business sign off

- Addresses service roll out planning, including method of deployment

- Includes release package testing to predefined acceptance criteria

- Sign-off of the release package for implementation

- Clear communications

- Comprehensive preparation and training

- Baseline of hardware and software before and after the implementation of release package changes

- Co-ordination of the release and distribution and the installation of packaged software.

Process Support

Capita is experienced in supporting applications with a variety of differing support arrangements. We will follow our established Incident, Problem, Service Request and Change Management processes to ensure the delivery of seamless services to the Council.

All ITIL Service Management processes will be supported by our Enterprise Services division. This group makes use of a resource pool that is federated across several UK sites and will also include local on-site staff who transfer to Capita under TUPE.

A group of process owners are responsible for individual ITIL specialities and ensure that procedures are applied uniformly across all contracts and regardless of staff location. This allows us to deliver consistent, repeatable process support that aligns with our customer's contracted requirements every time.

Our toolset suite ensures that these processes are built into our approach by driving staff workflow along the correct procedural paths to ensure satisfactory delivery.

Please refer to our response to IS09 and IS15 for more detailed descriptions of these processes.

Incident Management

Our Service Desk will provide a single point of contact for logging any application related issues and will log all related calls within Capita's RMS Service Management Suite (RMS) and manage all Incidents, Problems, Changes and Service Requests until they have been satisfactorily resolved and closed, including liaising with and managing Capita's internal application support teams and third party suppliers as appropriate.

The Service Desk will carry out an initial analysis to determine the cause of the fault and if the Service Desk is unable to resolve the Incident it will be passed to the

relevant internal support team or third party for the provision of second and third level fix as appropriate, depending on the support arrangements that are in place.

Automated Monitoring and Event Management

Capita will administer and control the Council's applications on a daily basis, proactively monitoring the undertaking regular applications infrastructure health checks and proactively monitoring servers, networks, client systems and applications to ensure satisfactory systems operation.

We will deploy an integrated toolset for automated monitoring and housekeeping, including SolarWinds and System Centre and Configuration Manager (SCCM). These tools analyse log files, system utilisation and user behaviour trends and automated alerts will be raised in the event that any issues are highlighted which may impact system availability or performance.

These tools are fully integrated with RMS which will be configured to process inbound alerts from the monitoring tools deployed, ensuring that any Events detected are automatically logged. RMS will diagnose the Event and interpret the meaning in order to ensure the appropriate action is provided. This may lead to an automated response, such as restarting a service; require manual intervention, such as changing a tape; or result in the creation of an Incident, Problem or Request for Change (RFC) or any combination of these, enabling the appropriate action to be triggered.

In these scenarios, the alert will be escalated to the relevant service team for investigation and resolution, or the relevant processes triggered. The alert will contain all of the information necessary to determine the appropriate action to be taken.

Effective Capacity Planning will enable Capita to recommend steps to ensure the infrastructure continues to meet on-going business needs through optimal performance of software, hardware and networks. Capita has a track record in building strong relationships and working effectively with a variety of suppliers and partners. The performance of third parties will be proactively managed through the existing third party support arrangements to ensure the provision of 'end-to-end' support services which are aligned with the agreed Service Level Agreements, priorities and Underpinning Contracts.

2.12.2 DESKTOP APPLICATIONS: IS12.02

As part of our Managed Service, Capita will fully support and maintain the Council's approved suite of desktop applications, including MS Office and any future desktop application options such as Google Apps, Internet Explorer, Windows OS, Email, IP Telephony Cisco Call Manager and Active Directory. This will include carrying out service functions such as fault finding, repair, patching and upgrading, fixes and workarounds, as appropriate, and in response to Incidents logged, Service Requests received or authorised Change Requests. All functions will be delivered within the framework of our ITIL based SDM.

To ensure that agreed desktop standards are enforced across the Council's environment, we will maintain a standard build on the devices currently in use. In this

instance, a 'device is a desktop, laptop or tablet that is included on the Approved Hardware List and has had software applied in accordance with the Standard Build.

The Standard Build will be achieved by applying a number of 'layers' of software defined by the applications included in the following template layers:

- **Build Image:** Operating System image that is applied to each device to provide the core operating functionality. There will only be one build image per operating system

- **Driver Insertion:** Application of the device drivers specific to the hardware model selected from a store for the hardware drivers of Compatible Hardware

- **Core Apps Template:** Application layer that represents a common business requirement

- **Laptop Template:** Application layer with applications specific to laptop devices and mobile working

- **Office Template:** Application layer for the installation of the appropriate / current version of Microsoft Office applications including Outlook, Word, Excel, PowerPoint and Access.

Any specific Business Unit or Software Package Layers are not included in the Standard Build, but will be applied as additional customisation as follows within the Build Management Configuration:

- **Business Unit Template:** Application layer that provides application functionality that is required by a specific Business Department or by a group of users defined by their role

- **Software Package Layer:** Individual software applications applied as requested by individual users. These applications will be deployed as a software package by the software distribution tool.

Our Configuration Management team will record and store approved copies of build, software and driver installation media and their associated supporting materials as part of the service delivery.

2.12.3 SERVICE CATALOGUE: IS12.03

Capita will work with the Council and nominated users to develop a Service Catalogue during the transition phase of this partnership. The Service Catalogue will contain details of standard products that we will agree with the Council, and will also contain general advice and guidance on the procurement and use of the Council's desktop infrastructure.

These products will be based upon the needs of the users and the IS Client function, including the provision of software and hardware products for users with special needs (see our response to IS12.29 Specialist Accessibility Software and Hardware) and will be reviewed on an annual basis and revised when requested by the Council. Only by having a controlled catalogue and some perception of volumes can Capita bring its buying power to bear fully.

We will maintain the Service Catalogue detailing all pre-defined standard products, along with key information, to ensure that information provided is up-to-date. The Catalogue will be presented in a user friendly 'menu' format to enable Users to search by product type and help them complete the appropriate form. It will be accessible for Council End Users to view through the Council's self-service portal

Should further clarification and advice be required in respect of any of the defined products, the End User will be able to contact the Service Desk by telephone or e-mail to discuss their requirements.

Capita understands that a proactive approach to product and solution selection is essential to the management of an ICT estate and will therefore provide expert advice and guidance on product selection. Where appropriate, we will facilitate technology briefings with key vendors and suppliers.

Whenever practicable, products will be selected from suppliers that are able to demonstrate market leading environmental practices and credentials, with documented evidence of power consumption, heat emissions and manufacturing practices embodying protection of the environment. As an example, Capita ensures that recommended products meet any required sustainability legislation and prioritises products with Energy Star** or EPEAT®*** Silver rating or higher and their equivalents.

We will work with the Council to develop and maintain the Council's procurement catalogues and approval workflows in order to ensure high quality product and service data is readily available and to limit purchase order and invoice discrepancies.

Where appropriate, the Council will also benefit from purchasing savings made as Capita leverages its very significant purchasing power. The Capita Group as a whole negotiates with significant vendors in the technology community on a global basis where this adds value to its customers. A major client of CISCO, HP, BT and many other significant vendors, Capita is able to generate substantial savings, which it is able to pass on to its customers.

The catalogue will be subject to change and formally reviewed on an annual basis to ensure its contents are still relevant. We will propose new products/suppliers based upon market analysis and research to ensure the catalogue continues to align with the Council's business needs and the latest competitive prices. All Changes (additions, amendments and deletions) to the Catalogue will be controlled under the governance of Change Management controlled by our Enterprise Services centre and approved by the Council.

2.12.4 HARDWARE/SOFTWARE INSTALLATION: IS12.04

Standard hardware and software installations and installations of new/cascaded standard configuration PCs at a location where a spare data point exists will be implemented in line with the agree Service Levels and in response to a Service Request. Where appropriate, we will also make the required cable patching changes.

These Service Requests will be handled by our Service Desk and logged within our Service Management toolset so the requesting user, including those working in schools, can track progress through the service portal.

The Service Request process will include all IMACs for equipment selected from the product list in the agreed Service Catalogue which will have been approved by the Council.

During Transition we will agree with the Council the changes that can be delivered through the standard Service Request process along with the level of authorisation required for each type of Change. Where feasible 'standard' requests will be pre-approved and actioned by Capita without the requirement for further authorisation.

We will manage all requests according to the Request Fulfilment process which we will agree with the Council during Transition. Delivery will be based on a low impact approach, typically including:

- Single user access requests

- Access requests

- AD admin requests

- Hardware requests

- Software requests (where spend is minimal and not conflicting with agreed defined limits)

- Password resets

- General IMAC requests.

Capita will not limit the volume of standard Service Requests in any month. Please also refer to point 2.13.8 Service Requests: IS 2.13.7 below.

Thresholds for request approval will be defined and agreed with the Council as part of the Service Catalogue. A list of standard items that can be procured through the Request Fulfilment service and a specific list or request types will be agreed with the Council and built in to the Service Catalogue.

We will install new PCs to the agreed standard build, patch and cable each machine for LAN connectivity as necessary. As part of the installation process we will walk the end user through the features of the new hardware / explain how to access the system and gain their acceptance of the installation prior to installation sign-off.

Where the request is only for a rebuild or installation of new software, we will use Microsoft SCCM as part of our desktop management suite. This can perform many functions including:

- Remote software distribution of applications and upgrades to client machines

- Machine re-builds

- Software license management

- Application of hot fixes and patches.

SCCM is an industry standard tool and Capita believes it represents the most efficient tool to support desktop management.

The approval mechanism will be presented in our service portal, allowing a quick and automated process for Council managers to sign off requests.

The Configuration Management System (CMS) will be updated within 2 working days of any change being made to ensure we maintain an up to date ICT hardware and infrastructure matrix.

Reports on all ICT Assets will be provided to the Council when requested.

2.12.5 IMACs: IS12.05

Capita's on-site staff will deal with authorised IMACs for desk side devices, including moves of existing equipment form one location to another as well as hardware upgrades, wherever possible managing drivers and software centrally.

IMACs will be requested through the Service Desk and will be scheduled at an appropriate time in agreement with the impacted user(s). We will not limit the number of IMACs that can be requested within a month, based on an agreed programme with the Service Delivery Manager.

In line with the Output Specification IMAC requests will be limited to no more than 10 devices and individual moves to the same location which amount to more than 10 devices will be dealt with as a project.

In carrying out IMACs Capita will:

- Perform associated site surveys

- Provide advice and guidance on related issues

- Install new equipment, including the provision of power and interface leads

- Disconnect, move and re-install equipment

- Re-connect ICT equipment to power/data/voice network connections

- Ensure equipment is set up ready for use, tested, and is functioning correctly

- Ensure that IMACs are co-ordinated to reduce costs arising from unnecessary or unplanned moves and changes.

All moves will be carried out in accordance with the Council's health and safety policies.

For new equipment, Capita will spend time with the user to ensure they are familiar with the hardware, taking on board any DDA requirements. The engineer carrying out the IMAC will confirm satisfactory completion with the user and record the Change as resolved in our Service Management Suite. The Service Desk will then handle positive call closure which will automatically alert Capita Central Services Configuration Management that the Configuration Item needs to be updated.

We will also remove all displaced desktops when the desktop is no longer required or serviceable. If equipment cannot be repaired economically, Capita will remove, separate, store and package any redundant equipment for re-use, refurbishment, recycling or disposal as appropriate..

Where appropriate, Capita will consult with the Council to ensure that any suitable equipment is re-issued to individuals or groups within the community, in support of the Council's priorities (please see 2.12.26 PC/Laptop/Tablet disposal IS12.26).

Capita will ensure that all disposals are compliant with requirements for destruction of classified media and that all memory and storage is cleared in line with Council standards, GCSX and other government standards and disposed of ethically in accordance with the Waste Electrical and Electronic Equipment (WEEE) directive. It will provide the Council with the associated decommissioning certificates.

The CMS will be updated to reflect the removal and disposal of all desktop assets and any released software licenses. We will include details of all disposed assets, broken down by business unit, within the monthly service management report, including confirmation of secure data destruction.

We will image new PCs using SCCM to apply a base image and to apply patches and service packs so that machines are up to date and compliant with the latest authorised desktop standard.

Our rigorous Change Management process will ensure that no equipment or software is installed that would compromise the Council's hardware, software or security standards and policies.

We will provide appropriate representation and the Council's Moves Boards (or equivalent) to jointly co-ordinate and schedule moves, using its experience to assist the Council with any moves it may be considering.

After performing a site survey if required, we will provide pricing in the outline business case for third party installation and maintenance of new remote sites/offices, including both shared sites and designated home user sites.

2.12.6 MODEL OFFICE: IS12.06

A model office design will be agreed with the Council early in the contract delivery and built during the Transition phase. It will be based on a standard desktop build and be capable of having all approved software installed. There will also be the facility to return it to a standard good configuration at the end of each cycle of use.

It will be used to test and approve all software patches and upgrades as part of the full patch release process described elsewhere in this document.

We will provide our full support service to Model Office end users when it is in use.

2.12.7 PATCH MANAGEMENT: IS12.07

All desktop upgrades and service related patches and software releases will be evaluated, with regard to the impact and effort required, to determine their level of criticality. Capita will inform the Council of all critical patches and releases and will implement them following formal agreement by the Council via the Change

Management process. We will also monitor and implement any relevant anti-virus software updates, anti-virus signature updates and security patches and releases, including remote access solutions, to ensure the Council's infrastructure and systems are protected from viruses and malicious software.

We will implement minor upgrades, maintenance releases, service packs and emergency fixes as part of the core service, executing the delivery of upgrades and desktop of patches in accordance with the agreed schedule. Major software upgrades requiring significant testing and release or major infrastructural change will be handled as separate chargeable projects.

Capita will be responsible for ensuring that patches are appropriate for installation following agreement with the associated software or system vendors. We will ensure that any software patches, service packs, fixes or maintenance releases to desktops and the e-mail infrastructure are distributed and implemented within the required timeframe. These updates will be managed in line with our ITIL best practice processes and will be fully tested prior to implementation to ensure that they do not compromise the Council's ICT security and systems.

The CMS will be updated following all changes to ensure up-to-date asset information is maintained and accessible at all times.

2.12.8 STANDARD BUILD: IS12.08 AND STANDARD IMAGE DEVELOPMENT: IS12.21

This also covers our response to Standard Image Development: IS12.21.

When requested, Capita will upgrade and test new releases as a Standard Desktop Build. We have designed and implemented completely new ranges of PC models and software images for other customers both during Transition and the lifetime of these contracts and will draw on this expertise in designing, implementing and maintaining standard device images for the Council.

We will provide advice and guidance related to this area and will regularly review the builds to ensure they are appropriate and meet the needs of the business. We will develop standard images in conjunction with the Council to ensure they fully meet the needs of each User Group within the Council. These images will be subject to ongoing Change Management to ensure that the images and devices remain effective and to ensure consistency throughout the service lifecycle.

During Transition, we will review the existing Active Directory and Group Policy settings in place. These will be revised and rationalised, such that they accurately reflect the infrastructure and the needs of the various business user groups within the Council. Both the Standard Images and Group Policy Settings will be formalised under Change Management, to ensure they are effectively managed and controlled going forward.

All production build images will be held by the Release Manager in the Definitive Software Library (DSL) and will be subject to version control. They will be recorded as a CI in the CMS with an associated location in the DSL. Capita will also maintain standard policies and procedures on the definition, deployment, configuration, use and retirement of software assets.

In order to establish clear recommendations for device images, Capita will carry out a full review of the Council's existing desktop, laptop and mobile device provision and associated business needs of the various user groups that exist within the Council, during the initial phases of Transition. The review will also address issues of accessibility (including the ability to allow users to configure mice, keyboards and screen) and the lock-down of the use of portable storage devices.

This evaluation will enable us to establish the Council's requirements and make recommendations for a standard, or series of standards, that deliver the functionality required by various user groups (such as office-based / home-workers / Council members) for agreement with Council.

As well as meeting the business needs of Council, Capita will ensure that the proposed standard device builds conform to current hardware standards and specifications regarding energy efficiency. We will also ensure that the design meets the required security standards and that the builds are fully tested against the existing business applications before being rolled out. Once a standard build has been agreed, we will further ensure that all installed peripheral equipment conforms to the agreed basic build and will pre-configure every item of such equipment prior to deployment to ensure standardisation.

To certify that these standard images remain fit for purpose Capita proposes that further replacements and improvements are undertaken on an incremental basis based upon business priorities, to reflect evolving business needs, take advantage of technology and application functionality advances and ensure ongoing value-for-money. All Changes to the standard environment will be handled through the Change Management process. We believe that this approach strikes an appropriate balance between maintaining a currency of technology and minimising impact on end users and providing a business platform that is robust, consistent and supportable.

Any new desktop will be supplied with a Standard Build image with the standard application suite. We will endeavour to provide support for all other desktop systems used by the Council and if users require additional software this will need to be ordered from the approved list which will be maintained on the Product Catalogue.

We will maintain the agreed device builds under strict Change Control. The Standard Build will be applied through a number of 'layers' of software and will be defined by the applications included in 'template layers'. The full software stack is currently unknown and therefore the 'template layers' will be populated during the Transition phase. This layering approach is detailed below:

LAYER TEMPLATE	DESCRIPTION
Build Image	Operating system image that is applied to each device to provide the core operating functionality. There will only be one build image per operating system.
Driver Insertion	Application of the device drivers specific to the hardware model selected from a store for the hardware drivers of compatible hardware.

LAYER TEMPLATE	DESCRIPTION
Core Apps Template	Application layer that represents a common business requirement common to all users/business departments receiving the Council Service.
Desktop Template	Application layer that applies the Desktop software.
Laptop Template	Application layer with applications that are specific to laptop devices and mobile working.
Office Template	Application layer for the installation of the appropriate / current version of Microsoft Office applications including Outlook, Word, Excel, PowerPoint and Access.
Business Unit Template	Application layer that provides application functionality that is required by a specific Business Department or by a group of users defined by their role.
Software Package Layer	Individual software applications applied as requested by individual users. These applications will be deployed as a software package through the software distribution tool.

Each layer defined in the Standard Build is subject to regular review and update as follows:

TEMPLATE	DESCRIPTION
The Council Roadmap	Provision of the technical standards that are applied and a view of future changes to these standards, in conjunction with the relevant vendors.

TEMPLATE	DESCRIPTION
The Council six-monthly update	Is a defined list of updates that have been captured within the preceding three months by the Council Roadmap and agreed to be included in the Standard Build. A requirement to update the Council Infrastructure so that new devices are built to the latest agreed standards. The definition of updates that need to be packaged and deployed to the Council Devices that have already been deployed and are in use by Business Units. This is achieved by Desktop Application Distribution Service.

This process will be subject to testing in a model office environment, pilot testing with individuals identified within the business units and then full release as either a staged or single deployment phase dependent on the risk analysis for the deployment.

All applications that have been successfully approved by this service will be added to the Approved Application List, a controlled document that defines products considered to be compatible with the Council Standard Build. This will be maintained by our Configuration Management function.

The six-monthly update for the Council infrastructure will include a roll-up of approved Microsoft patches and hot-fixes for inclusion in the Council Standard Build image. This is to reduce the initial number of updates required for download from the Patch Management System (currently Microsoft WSUS) on new devices when they are first installed.

Post delivery and installation, Council devices will have Microsoft patches and hot-fixes managed and deployed on a monthly basis as defined in the Patch Management Service.

The Standard Build will be designed to fulfil the following criteria as a minimum:

▪ All infrastructure changes are subject to Change Management processes, and have received the appropriate level of approval

▪ All application roll-outs as part of the Council six-monthly deployments are subject to Change Management, include updates for inclusion in Asset Management and have received the required level of approval for deployment

▪ All standard software applications are packaged for inclusion into Desktop Application Distribution by the software deployment tool

▪ The Council Roadmap input from hardware and software vendors provides suitable visibility for changes

- Service Management has communicated the changes planned for the six-monthly release to the relevant business unit contacts

- Devices are connected to the LAN

- Devices are managed by the standard Desktop Management tooling aligned to a The Council supported Active Directory Domain

- Devices are members of the Council supported Active Directory Domain

- All relevant licences are valid for updates to be applied to all current and new Council devices.

In order to ensure that service levels are met and to minimise downtime for any user who experiences a hardware failure, Capita will provide 'hot spare' desktop and laptop devices which can be deployed in the event of such a failure. This 'hot spare' device will be made available to the impacted user until such time as the original is repaired or replaced.

2.12.9 INCIDENT MANAGEMENT: IS12.09

All Incidents related to products designated as relating to Desktop Services will be managed by Capita's Service Desk, which will provide a single point of contact. Calls logged via telephone, e-mail or web portal will be recorded in the Service Management Suite and managed in line with agreed ITIL based Incident Management processes, appropriate priorities and SLAs.

Capita will own and manage all calls until they are satisfactorily resolved, liaising with and managing third parties as necessary, to provide a seamless end-to-end service.

We will ensure that our suitably qualified and competent desktop support engineers have and continue to maintain a good understanding of the Council's business and culture. This will be facilitated through the provision of our dedicated desktop support team, located on-site, supported by Capita's Central Services Desktop Support Team, who will provide remote desktop support as required.

Capita will undertake hardware fault investigation and resolution using its proven ITIL based Incident and Problem resolution processes. If possible, faulty modules or units will be repaired at the desk side. Once equipment has been restored to working order it will be tested with the User to ensure that the User can work effectively.

If the unit cannot be repaired, it will be replaced from buffer stock to minimise any adverse impact. This stock will be recorded and managed through Change and Configuration Management to ensure an appropriate level is maintained. In the event of a hardware failure Capita will liaise with and manage the relevant supplier for any devices under warranty, returning the equipment for repair or replacement. Once repaired, the device will be returned to the user or buffer stock as appropriate.

We will procure machines against agreed specification, in order to maintain availability of service for both new employees (where appropriate stock is not available) and in order to maintain a buffer stock.

2.12.10 USER ADVICE: IS12.10

Capita will provide advice and guidance on the operation of supported Council systems through our Service Desk function. We will also publish responses to Frequently Asked Question responses through our self-service portal This information will be accessible and searchable using our on-line Knowledge Management tool, Transversal, which we have previously deployed to support the BBC's iPlayer service. Users, including those working in schools, will also be able to access 'how to' guides and other key user information via the self-service portal.

The supporting documents will be maintained on a Council specific SharePoint site and the information will be reviewed and updated on an ongoing basis, taking on board the types of queries raised with the Service Desk.

All services in scope of the Service Catalogue will be covered by the advice service.

2.12.11 ASSET MANAGEMENT: IS12.11

Our Service Asset and Configuration Management (SACM) process, which is described in our response to IS09, is based on ITIL best practice and covers the end-to-end lifecycle of all assets and Configuration Items (CI). It will enable us to effectively manage the maintenance of all PC equipment, including peripherals, and enable us to ensure the assets are managed and used in the most effective manner. This will ensure that the Council makes cost-effective use from its PC equipment and that the associated hardware and software costs are controlled effectively.

At the core of this service will be an up-to-date and accurate asset database, as a component of an overall Configuration Management System (CMS) and which includes details of each asset's physical location, ownership and relationships.

With this full and accurate database in place, we will be able to use the information to proactively manage the Council's PC assets. This could include re-purposing desktop hardware to extend its useful life or identifying opportunities to reduce costs by re-using licences or removing unused software altogether. Nominated Council employees will also be able to interrogate this database as required.

2.12.12 3RD PARTY SUPPORT: IS12.12

In order to meet the needs of the service, we recognise that we will need to engage the services of third party hardware maintainers and ensure that these third parties are managed on a day to day basis to ensure that this support is provided in line with agreed SLA.

Capita's approach to supplier management is designed to ensure service excellence through a cycle of continual measurement, reporting and performance improvement.

We will monitor the performance of all third party sub-contractors in the same way we expect our own performance to be monitored, and Service Reviews with third party suppliers form part of the overall service and contract review process. These reviews will help to drive outcomes that will ultimately focus on protecting, maintaining and improving the overall service provision, and ensure that third party agreements continue to deliver the appropriate levels of service to support the business and offer value for money.

Where we take on the management of a third party, we will ensure that the appropriate Underpinning Contracts and supporting service agreements are in place according to the standards and service performance targets agreed. We will also ensure that third party supplier service management processes are aligned with our own service management model and best practice processes ensuring that there is a consistent and seamless approach to managing and supporting the end-to-end service.

On a day to day basis, where the support of third party suppliers is needed to support Incident resolution, we will:

▪ Manage and liaise with the third party to resolve the Incident and leave the call open until resolved

▪ Ask the third party supplier for details of the actions taken and ensure that any details provided are referenced to the original call

▪ Be responsible for liaising with the third party supplier to obtain progress information on a regular basis consistent with the priority of the Incident

▪ Take all steps to ensure the Incident is resolved within SLA

▪ Be responsible for obtaining root cause information from the third party.

2.12.13   ANTI-VIRUS: IS12.13 AND ANTI-VIRUS PROTECTION: IS12.22

This section also covers our response to the requirement IS12.22 – Anti-Virus Protection.

Capita believes that a comprehensive security policy forms an integral part of an estate's defence against viruses and we will supply and maintain a robust anti-virus system and process. Our anti-virus service will therefore include appropriate, documented policies on the use of systems to minimise risk, coupled with appropriate tools and monitoring for viruses and the capacity to deal with any related Incidents as they occur. End user good practice policies and procedures will be designed, - agreed with the Council and communicated to all end Users.

We plan to maintain the Council's existing Symantec anti-virus control solution for the server and desktop infrastructure and will apply and test all definition files and software updates prior to release across the Council's estate.

We will install and patch devices as well as distribute virus signature updates in accordance with agreed service levels to ensure that devices have the most recent and available definition files applied. Capita will:

▪ Manage the anti-virus software service to the Council to ensure that all files and emails are scanned before entering the Council network. Any infected files or messages will be quarantined

▪ Install Symantec anti-virus software on desktop, laptop and data and email server components of the ICT Infrastructure that reside on the Council's network and that may be subject to virus attack. Virus control software will be distributed by means of logon scripts or using Capita's desktop management toolset

- Ensure that an automatic anti-virus signature update service is made available to all relevant network components. Updates will take place daily as a minimum or more frequently as directed by the anti-virus software suppliers

- Utilise the anti-virus software product console to monitor detected events across the estate and take appropriate action - any infected files or messages will be quarantined.

Virus Alerts

Capita will monitor all virus control outputs to identify occurrences of detected viruses and take both reactive and proactive measures and actions to remove and mitigate against the associated risks. We investigate all virus Incidents, liaise with the anti-virus vendor, remove all viruses and provide the Council with details of virus outbreaks and investigations.

On receipt of an alert from the Service Desk tool, the notification details will be checked and appropriate action taken as follows:

- Where the alert indicates that the virus is quarantined or deleted a full scan of the device will be initiated via the console. If it is 'clean' then the case will be closed. If more alerts are received and quarantined or deleted a second scan will be run

- Where no remedial action is taken by the anti-virus software, the user will be contacted and advised to power down the device and remove it from connection to the LAN infrastructure. The case will then be passed to a desk-side engineer to resolve, ultimately by rebuilding the device.

Spyware and Unwanted Programs

Where functionality is provided by the anti-virus platform to detect Spyware and Unwanted Programs, the definition updates will be managed in the same process as the Virus Definitions

Where alerts are provided for Spyware and Unwanted Programs, an Incident will be raised and the infection will be investigated prior to removal and a full scan completed in line with Virus Alerts.

Compliance and Remediation

Compliance reports will be generated on a regular basis and any deviations on desktop or laptops devices from current application versions will be remediated. Where virus definition files are out of date by more than the agreed time, an investigation will be undertaken to rectify the issue. If there is evidence that the device is active and on the network but not updated, incidents will be logged under the appropriate priority.

Anti-virus software will form part of the standard build and will be deployed on all new installations. In the event that it is found to have been removed or not reporting to the anti-virus management infrastructure correctly, an Incident will be logged with a suitable priority based on the number of users affected.

2.12.14   3RD PARTY INSTALLATIONS: IS12.14

Capita will provide costs for inclusion within an Outline Business Case for any third party installation and maintenance requirements for new satellite offices.

In order to determine these costs, we will facilitate/carry out any required site surveys for new satellite offices, shared sites and designated home user sites. This will enable us to determine what infrastructure changes (if any) and hardware is required, as well as determining the appropriate resources required to carry out the installation.

2.12.15   ADVICE & GUIDANCE: IS12.15

Capita understands that a proactive approach on product and solution selection is essential to the management of an ICT estate. We will therefore provide advice and guidance on product selection and the ICT services to any organisation notified by the Council.

Where appropriate, we will facilitate technology briefings with key vendors and suppliers leveraging, amongst others, our strong and unique relationships with Apple and Google.

2.12.16   REMOTE ACCESS: IS12.16

We will work closely with the Council in developing and maintaining the associated strategies, policies, standards and procedures for remote working. As part of ongoing service delivery, we will ensure that these are enforced. We will review the related strategy documents annually and update them as appropriate in agreement with the Council.

During Transition, we will implement remote support and deployment tools to allow access to user desktop, laptop and tablet devices which are not physically present in the Council's offices. This will ensure that remote access users will enjoy the same level of support service as office based colleagues.

We will utilise our preferred remote management tool Bomgar to facilitate effective resolution of all related Incidents and Service Requests. If Incidents cannot be resolved remotely, a deskside visit will be arranged in agreement with the user. Capita will deploy its ITIL best practice processes to ensure effective end to end managing and seamless delivery of all processes, including those Incidents that are passed to a third party for resolution, as well as ensuring that all PC equipment is effectively managed and maintained throughout its lifecycle.

We will ensure that all hardware is in line with the agreed Desktop Architecture Model, and that machines are up to date and compliant with the latest authorised desktop standard including remote access, if applicable, and single sign on and authentication. Our rigorous Change Management process will ensure that no equipment or software is installed that would compromise the hardware, software or Council's security standards and policies.

2.12.17   WARRANTY AND MAINTENANCE: IS12.17

Capita will wholly comply with this requirement and will manage all warranties through the asset register within our comprehensive Configuration Management System. Where appropriate we will engage the relevant third party supplier to repair

or replace the equipment in accordance with the third party warranty/ terms and conditions.

We will deploy our best practice Supplier Management processes and call on our established relationships with a wide range of suppliers in doing this.

2.12.18 IT SURGERY: IS12.18

Capita understands that the Council currently makes use of an IT Surgery service and we will continue to deliver this during the initial years of the contract. It will be provided, as now, by locally based staff who we expect to transfer to us under TUPE.

The surgery will enable Council employees to go to a preferred location to gain immediate assistance for all laptops, Blackberries and supported applications. All work undertaken will be logged within our RMS Service Desk tool to provide a full record and enable any resulting Service Requests and Incidents to be managed resolved in accordance with the agreed SLA.

However, we are aware that the Council needs to make costs savings on IS service delivery costs and therefore propose to phase out the surgery by year 3 of the support contract. In order to achieve this, we will implement a variety of remote management and self-service tools during the Transition phase, in years 1 and 2. These improvements will reduce the need for face to face contact between IS support staff and users, allowing us to deliver some of the desired reductions without compromising user satisfaction levels. For example, our Bomgar remote access tool allows support staff to access a desktop or device from any location, including our main service centre and resolve and Incident whilst on the phone to the user.

We will also provide portal access to our leading edge 'knowledge management solution and our Service Desk Management tool which will allow all users to log and track progress of a call without phoning or emailing the Service Desk.

As a final example of this approach, we will deploy our Forefront Identity Manager self-service password reset tool. This allows users to access a secure password reset portal to carry out an automated password reset, again without phoning or emailing the Service Desk.

Clearly, implementing such innovations will involve users changing the way that they access IS support services. To progress these changes smoothly, we will work with the Council on a comprehensive user communication strategy to ensure everyone is informed about the removal of the IT Surgery and how to get the best out of the alternatives put in place.

2.12.19 APPLICATION SUPPORT IS12.19

Please refer to our response to 2.12.1 Application Support: IS12.01.

2.12.20 REMOTE SUPPORT: IS12.20

Capita will deploy appropriate software tools for remote desktop control, software deployment and asset discovery.

Centenniel Discovery, our standard automated asset discovery and management tool will be deployed to identify all user devices and populate the asset register.

We will implement our standard desktop remote support tool, Bomgar (illustrated below) to provide remote support capability. We have implemented this tool across many contracts to enable rapid access, control and diagnosis through remotely accessing client machines. The tool provides a secure, integrated and manageable solution which integrates safely with identity management and gives administrators a comprehensive diagnosis, control and remediation capability and has automated audit trails and extensive reporting facilities.
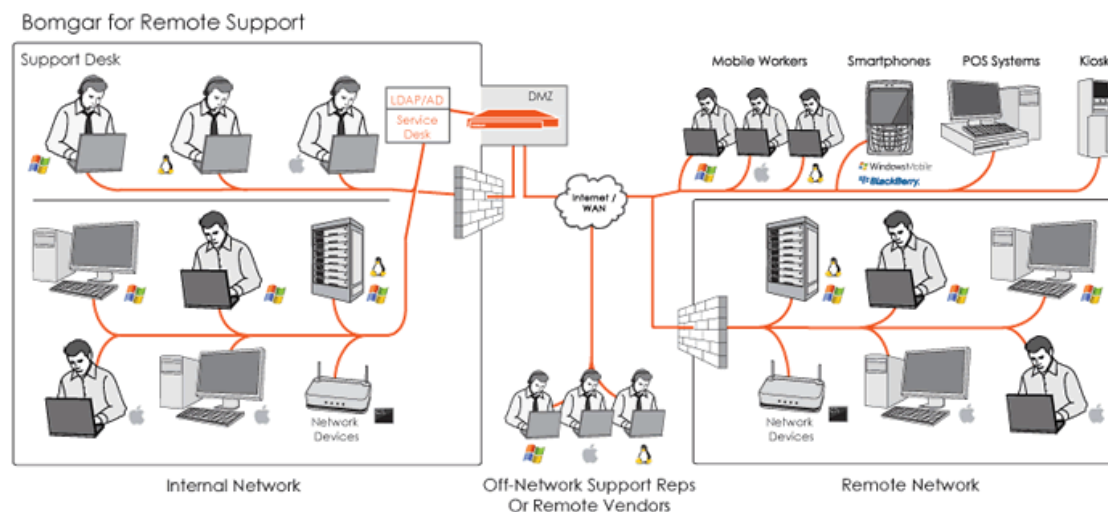
Figure 36 - Bomgar Remote Support Tool

Bomgar's multi-platform capabilities will enable Capita to provide secure remote access support across all platforms, whether inside or outside the network, and to attended and unattended devices. Bomgar is web-enabled, which reduces reliance upon telephone support and enables Capita to drive service requests and support through the web. The tool is fully protected by automated audit trails and extensive reporting facilities.

2.12.21   STANDARD IMAGE DEVELOPMENT: IS12.21

Please refer to our response to 2.12.8 Standard Build: IS12.08.

2.12.22   ANTI-VIRUS PROTECTION IS12.22

Please refer to our response to 2.12.13 Anti-Virus: IS12.13.

2.12.23   ISSUE AND CONFIGURATION OF STANDARD LBB EQUIPMENT IS12.23

We will issue, configure and manage all LBB approved end user equipment throughout their lifecycle, including laptops, desktops, tablets, PDA's, including Blackberry's and mobile phones.

Issue of equipment will be managed though Capita's Change Management and Service Asset and Configuration Management processes.

All LBB equipment valued over £150 (or the value agreed with the Council) will be asset tagged and recorded in the asset register within the overall Configuration Management System within 48 hours of installation.

We will install a standard image on all devices and configured appropriately, including encryption of mobile devices. Desktops, Monitors and Thin Client devices will be delivered to the user's place of work and installed and tested in situ. Other mobile devices will typically need to be collected by the user and for laptop installations; we proposed that users attend planned clinic sessions at agreed locations to collect new equipment.

To prepare a device for a user, we will:

- Remove any packaging - this will be recycled appropriately

- Provide all required power and interface leads

- Configure the device to the agreed standards

- Set up required network and printer connections

- Deliver any agreed basic user training in equipment usage (taking into account any specific user requirements aligned to the level of ICT expertise and the Disability Discrimination Act (DDA). This will typically include:

  - Turning on the equipment for use

  - Logging into the Council's network

  - Accessing relevant files

  - Usage of software for basic tasks

  - Ensuring the equipment is capable of delivering the functionality required.

Upon the completion of an installation, the engineer will obtain formal sign off from the user, indicating that the device is operational and functioning as agreed during the user acceptance process.

For major upgrades where the GUI interface or functionality has changed considerably, it may be appropriate to provide more formal training sessions to ensure users can effectively use the new software. We also promote e-learning solutions, providing users with the flexibility to undertake more comprehensive training where necessary at their own convenience.

Throughout any technology refresh programme or individual ad-hoc hardware replacement, we will update the CMS with the status of the asset from receipt of goods, build and configuration through to final issue to the End User. We will provide the Council with IS asset reports as and when required.

2.12.24   COUNCILLOR AND HOMEWORKER SUPPORT: IS12.24

We will comply fully with this requirement, providing IS support to Elected Members and designated home based employees working in Revenues and Benefits, in line with the defined SLA and performance targets. With the increasing move towards home working, we understand the importance of effectively supporting home and mobile workers, and see the support of these users as an extension of our methodology for supporting remote office based staff.

We recognise that Members and a number of designated users are home based and we will support a remote access solution to enable these users to work remotely or from home. In doing this, we will develop and agree the associated strategies, policies, standards and procedures with the Council, covering hardware and software.

These will be maintained on an ongoing basis. The associated strategy documentation will be reviewed annually and updated and agreed with the Council where appropriate. We will ensure that these policies and procedures are enforced and that all hardware is set up with the agreed Desktop Architecture Model, including remote access, single sign on and authentication.

We will implement a secure SSL VPN remote access solution based upon Citrix Netscaler Access Gateway and this will be integrated with LBB's existing RSA implementation to provide two factor authentication.

All related calls will be logged with the Capita Service Desk in the usual way and we will endeavour to resolve the issue remotely, utilising our remote access management tool, Bomgar, which is detailed in our response to Remote Support: IS12.20. This will allow us to support any user connected to the Council LAN or WAN, either via the internet or a VPN link, as if they were working in the Councils' offices.

Support for all Council owned hardware and software used by designated home workers will be provided within the core service hours and we will respond within 2 hours. Should the corporate broadband connection be lost, we will manage the appropriate provider to deliver a resolution under the agreed SLA.

In order to provide the extended cover for Members, we will provide an on-call service in line with the required weekday/weekend hours. This will be in place from the service transfer date.

Where the problem cannot be resolved remotely and a home visit is required this will be delivered using a retained pool of local engineers. This team will also provide the out of hours service for Elected Members.

Additionally, we will carry out periodic system checks using our automated monitoring tools to ensure that all remote working systems are functioning correctly. Any issues/potential issues highlighted will be managed appropriately in line with the relevant ITIL process.

2.12.25   BLACKBERRY SUPPORT: IS12.25

Capita will provide a full support service to administer and manage the Council's BlackBerry services. This service will be co-ordinated through our Service Desk and server configuration and management will be carried out by our Enterprise Services team.

BlackBerry devices will be managed using Capita's Service Asset and Configuration Management process and details of all mobile devices will be maintained in the asset database within the overall Configuration Management System which will be fully integrated with the RMS Service Management Suite. This will ensure that a comprehensive, accurate register of mobile devices and supporting information is

maintained at all times, including details of business users, warranty agreements, replacements and spare handsets.

Capita's inclusive 'end-to-end' service will cover configuration of new devices, handling any equipment failures, managing warranty agreements and any warranty / non-warranty faults and equipment replacements, and will encompass full third-party management. We will work with the Council to establish the principles and policies around a standard mobile device build and will draw on our experience of working with GCSX connected clients to ensure that the BlackBerry service remains secure and meets all relevant security policies in place and enforced. This will include the encryption of all devices.

Handsets will be configured and distributed by the on-site support team, who will also deliver any required user-training when the handsets are issued. Service Requests / Incidents will be logged in RMS and managed in-line with the agreed ITIL processes.

Delivery and repair of BlackBerry (or other PDA) devices will be managed by our Service Delivery Team, liaising with suppliers to ensure that devices are tested and fit for purpose before deployment. Where repairs are required, these will be arranged through approved suppliers and managed in line with the associated warranty/terms and conditions. Devices will be tested on return before being reissued to the user.

2.12.26   PC/LAPTOP/TABLET DISPOSAL: IS12.26

Capita is experienced in the secure and environmentally safe disposal and recycling of ICT equipment that is no longer required or has reached the end of its economic life. For the Council's equipment and redundant software media, two options will be available – recycling within the community and equipment disposal.

Recycling within the Community

In recognition of the Council's commitment to recycling and supporting eligible individuals and organisations within the local community we will identify any redundant equipment that is suitable for redeployment.

In conjunction with the Council, we will maintain details of any individuals, local businesses, community schemes or charitable organisations within the Borough that have been identified by LBB as eligible for receiving recycled devices, along with the device types/required specification. Appropriate equipment will be distributed to these individuals/organisations in line with the agreed process and priorities.

Prior to distributing this equipment to the agreed individual or organisation, we will clear down the equipment in line with the defined information security policy and defined procedures. This will include securely erasing all data from the Hard disk and re-imaging the equipment ready to ensure that it is ready for recycling within the Borough.

Capita have successfully supported such a scheme on our Gloucestershire County Council (GCC) contract, where the Council supports local business start-ups by providing them with basic IS equipment which has been decommissioned from service.

We collect the PC from its GCC location, physically clean it and remove any corporate stickers e.g. asset tags. Hard disks are securely erased (using Killdisk) to

ensure that no corporate data of any kind leaves the organisation and a report produced. The PC is then rebuilt to its original factory condition, which includes all appropriate Service Packs and security updates, ensuring it is fit for use when collected by the recipients.

Equipment Disposal

To provide a safe, secure and environmentally friendly decommissioning service, we will use specialist third party disposal provider, Simms. Simms operates to best practice guidelines, including the Waste Electrical and Electronic Equipment Regulations 2006 (WEEE Directive), Hazardous Waste Regulations, HMG Infosec requirements and Data Protection legislation.

As a Capita preferred supplier, Simms has the range and scale of equipment necessary to provide secure disposal for a wide variety of ICT equipment, as well as being fully authorised and able to provide valid certification. The services are compliant with IA5 for all media types at all impact levels and are CESG CCTM Approved, with full waste management and waste carrier licences.

We will manage this service through robust internal processes. We are committed to following a sound environmental management policy and will ensure that we comply with all applicable environmental legislation and regulations. We will obtain and provide the necessary certification to demonstrate compliance with all appropriate security requirements, current environmental legislation, the Waste Electrical and Electronic Equipment Directive (WEEE) and the Data Protection Act.

When hardware assets are no longer required, or have reached the end of their economic life, we will collect the equipment from the workplace, store it in a secure location provided by the Council and, where necessary, prepare it for disposal. We will ensure no software or data can be recovered from the equipment and the hard drives will either be destroyed or wiped clean.

In terms of the tools used in equipment disposal, all data carrying devices for disposal will be subject to a comprehensive destruction process using CESG certified products. For example, 'Ontrack Eraser' overwrites all traces of information thus making data reconstruction impossible. Third parties use a mixture of devices such as Degaussers, Shredders and Erasers that are fully compliant with government regulations for data destruction.

Capita also seek to recycle equipment using partner organisations that are licensed as a WEEE Treatment Facility (EAWML100020) and whose recycling processes follow (BATRRT) Best Available Treatment Recovery and Recycling Techniques.

All CIs sent for disposal will be tracked through the process to ensure all equipment is correctly accounted for and to facilitate reporting to the Council. Where equipment is suitable for re-use, refurbishment or recycling, Capita will reformat hard disks and repair or upgrade as appropriate.

Comprehensive reports will be supplied to detail all equipment disposals. These will contain:

- Inventory information for all equipment

- Volumes recycled, destroyed, land-filled

- Data Erasure certificates

- Disposal certificates

- Hazardous Waste Transfer Notes.

2.12.27 NON STANDARD DESKTOP SUPPORT: IS12.27

Capita will install and support non-standard desktop applications which are not part of the agreed Service Catalogue. These specialist 'service specific' applications will only be used by a limited number of staff and will not be subject to the SLA. These additional applications will be installed on top of the standard desktop image.

Any non-standard hardware in use will be supported on a reasonable endeavours basis.

2.12.28 CORPORATE SOFTWARE LICENSING: IS12.28

Capita will use Snow, our software asset management tool, to administer and control the installation and usage of all software according to the relevant licence agreements and in adherence to FAST principles of compliance.

This will be deployed across the Council's estate and will enable us to track software assets and their usage, and to mitigate the risk of the Council being over or under licensed. Details of all assets and licences will be recorded on the asset register within the Configuration Management Database (CMDB) ensuring compliance with the appropriate governance policies.

We will monitor and report on installation and licensing of deployed software along with usage statistics for individual users. This can lead to cost savings where it can be shown that users are not utilising all the applications installed on their device or account.

In addition, Snow allows detection of unlicensed or unapproved software which can then be removed, reducing the council's exposure to action resulting from licence infringement or untested applications.

Capita will be able to automatically reconcile software licenses and agreements against deployments, making it easier to optimise the infrastructure according to the Council's requirements.

We will regularly review and remedy any licence deficiencies, remove any unused licences and provide the Council with a Software Licence Report on a regular basis in a pre-agreed format. This will enable the Council to see what software it actually uses and make more informed licensing decisions based on trustworthy data. Snow will automatically re-harvest unused licenses and allow the Council to license its environment in the most cost-effective way.

All software or production images will be held by the Release Manager in the Definitive Software Library (DSL) and will be subject to version control. They will be recorded as a CI in the CMS with an associated location in the DSL. Capita will also

maintain standard policies and procedures on the definition, deployment, configuration, use and retirement of software assets.

2.12.29   SPECIALIST ACCESSIBILITY SOFTWARE & HARDWARE IS12.29

Capita ensure that our solutions and services meet accessibility best practice, including consideration for the major principles of Web Content Accessibility Guidelines 2.0, W3C, The Disability Discrimination Act (DDA), ISO 16071/9241 Ergonomics of human-system interaction standards, ISS4PS Guidelines and RNiBSiR.

We are experienced in dealing with users with special needs and in identifying, sourcing and implementing appropriate hardware and software solutions including speech recognition software, dyslexia support software and ergonomic peripherals such as specialist mice and keyboards.

We will assist and advise on appropriate accessibility software including the Council's current standard applications, Dragon Naturally Speaking, JAWS screen reader and Text Zoom Text Magnifier.

The assistive package Dragon Naturally Speaking is in active use across Capita and our customer base, as well as JAWS screen reader and ZoomText. As a consequence we have a broad range of expertise in implementing these products and will ensure that all machines the software is installed on meet the minimum manufacturer specification.

2.13   APPLICATION MANAGEMENT: IS13

We confirm that we will meet all of LBB's requirements relating to application management. We will work closely with the Council in proactively identifying opportunities for rationalising the Council's applications portfolio in order to reduce application complexity and diversity. We note that the Council wish to use a TIME (Tolerate, Integrate, Migrate and Eliminate) modelling approach. This is closely aligned to our usual tried and tested method for application portfolio management (see 2.13.1 IS13.01), which is based on classifying applications as 'Invest', 'Retain', 'Replace', 'Retire' and has been proven to be very effective. All proposed changes to the application portfolio will be agreed with the Council in line with the defined processes.

We will take over the management of all applications, apart from some of those that are currently externally hosted and managed. These latter applications will be reviewed and a view taken as to whether they can be more effectively delivered via Capita's shared services.

Our approach to application management will be to reduce cost through deployment of Capita best practice, followed by a gradual move to our application management centres.

We will implement our application portfolio management (APM) service to:

▪ Produce a roadmap for each application that is aligned with the business strategy

▪ Identify delivery options, including cloud delivery

- Identify the appropriate level of disaster recovery (DR)

- Identify the optimum application platforms, aligning them with the ICT Strategy

- Reduce the overall application infrastructure footprint

The results will be used to define the optimum application management delivery model.

2.13.1 APPLICATION SUPPORT: IS13.01

Applications Portfolio Management is a key component of Capita's application service solution. It allows us to effectively manage the interface between the strategies and business requirements identified and managed by the Council corporate planning process and the performance management and quality information derived from the day-to-day operation of the application portfolio.

Our Applications Portfolio Management activity maintains the overview and governance of activities that actually make changes to the applications or develop a business case for investment in a new application or a material change to an existing one. The driving objective of this function is to ensure that both Council and Capita resources are deployed effectively, that the application portfolio continues to meet the operational needs of the Council and represents best value.

There will be close co-operation between the Applications Portfolio Management activity and Continual Service Improvement. As part of Continual Service Improvement, we will gather metrics and facts to identify areas for future improvements. The Applications Portfolio Management activity will take improvements identified by Continual Service Improvement and express the business case to the Council's client management teams.

Our Applications Portfolio Management approach offers:

- **Focus** - on the delivery of a robust service meeting the objectives of the Council

- **Partnership** - an openness between this function and the Council helps manage the changes to be applied against business benefit and best value

- **Strategic Planning** - driven by the objectives and duties of the Council, managing the assets and available resources to deliver prudent change

- **Flexible Response in Crisis** - within the rigour of long term planning and management of the applications there will be a need for fast response to support or maintenance issues

- **Targeted Planning at Appropriate Level** - analysis that takes a top down, objective approach.

As part of our Application Portfolio Management service, applications will be reviewed regularly in conjunction with the owning directorates and each application will be classified. The Council's application portfolio management method, TIME, is closely aligned with our standard method as illustrated below:

- **Invest** (Integrate) - enhance to increase value, or reduce costs and risk

▪ **Retain** (Tolerate) - Maintain as-is with minimal further enhancement and investment

▪ **Replace** (Migrate) - introduce or build a new application, or component to replicate functionality in a more cost effective or function-rich way, including porting the application to a strategic platform

▪ **Retire** (Eliminate) - eliminate, or shift functionality to an existing application or component.
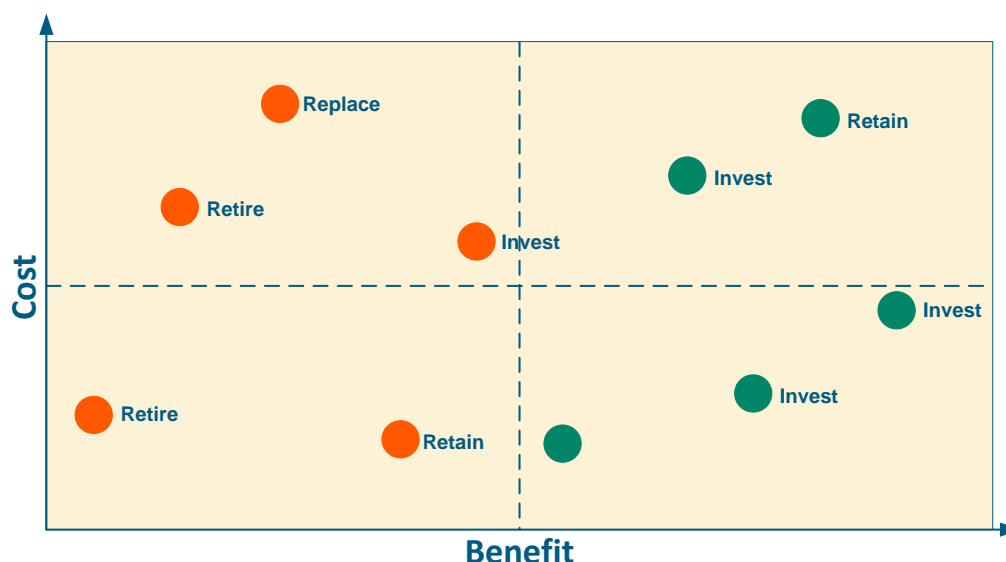

Figure 37 - Application Classification

This method is very similar to the Council's TIME method but we feel it provides greater focus in identifying the re-use of systems, whether with some investment or just re-alignment.

Once the overall application portfolio rationalisation programme has been identified, application road maps will be developed to move from 'as-is' to 'to-be'. A pay-as-you-go approach, based on business case will be used to evolve the Council's application landscape.

At all times we will ensure that the Council has access to staff with the right knowledge, skills and resources in order to ensure we provide the highest levels of support for the application portfolio. We give employee training and development a high focus and will undertake a training needs analysis during/following transition to identify any skills gaps. Analysis and training will be undertaken on an ongoing basis to ensure we have the appropriate skills and knowledge to support of the application portfolio as it evolves. Please see Section 3 and 1.2. IS Service – High Level Solution for additional detail around our training and development approach.

Focussed training for support staff will be integral to any application implementation as well as the production of comprehensive handover and support documentation to covering all aspects of the system. Where appropriate we will utilise the expertise within the wider organisation/ specialist third parties in developing the skillset of all

resources dedicated to the LBB contract, including existing Capita staff and those transferring from LBB.

Capita has extensive experience of setting up Application Portfolio Management and developing application road maps that deliver measurable saving to our customers. In Birmingham City Council, we currently deliver an application service that supports over 500 applications. This has included development of an application road map to reduce 14 GIS implementations over time - as licences come up for renewal, these will be swapped out to the ESRI GIS product, leaving a single application providing additional savings.

In our experience, the support of local government applications is heavily reliant on appropriately skilled staff with the right levels of knowledge and experience. As part of a take on, we will ensure TUPE staff are appropriately aligned to continue to deliver support for the in scope application portfolio. This will provide a seamless transition into the new delivery. We also have application support delivery teams in other local government accounts with skills and knowledge of local government applications. We will, if necessary, draw on these resources to provide additional support. .

2.13.2 INCIDENT MANAGEMENT: IS13.02

The purpose of our Incident Management approach is to restore normal service as quickly as possible, and to minimise the adverse impact on business operations. In our view, the scope of Incident Management includes any event that disrupts, or could disrupt, a service - this includes events that are communicated by users, as well as Incidents detected and reported by technical staff or monitoring tools.

Our Service Desk will own end-to-end Incident Management through to resolution and will ensure that relevant Council stakeholders and/ other Users are informed of the status and resolution of Incidents. This will also include the management of 3rd parties involved in incident resolution.

Our Incident Management life cycle includes the following statuses:

- **Incident Logged and Acceptance:** Incident has been raised and moved from Automatic Call status

- **Initial Response Completed:** the 1st Line Analyst or Engineer has contacted the person reporting the fault to acknowledge the Incident. They have gathered further information to assist in the resolution of the incident

- **Engineer Response:** the Incident has all the relevant information contained, error logs obtained and is now assigned to an Engineer for investigation

- **Service Restored:** service has been restored to the Customer either by workaround or an implemented fix, and has been agreed by the contact to progress to this status

- **Linked to Problem Record:** any incidents linked to Problem Records

- **Linked to a Request for Change (RFC):** Any incidents with RFC's raised where a change is required with customer approval to restore service

- **Linked to 3rd Party:** any Incidents where 3rd party owners are required to restore service - including Curriculum applications suppliers

- **Solution Applied/All Complete:** a permanent solution has been applied. Incident ready for closure confirmation to be agreed with Customer

- **Closure:** Incident Closed following agreement from Customer.

Any required out of hours fixes to critical applications will be undertaken on a reasonable endeavours basis. We will pro-actively manage all third party vendors and where possible will agree escalation/emergency processes for handling any 'out of hours' issues. Where possible any charges associated with this will be pre-agreed with the Council and charged on a 'pass through' basis.

2.13.3 INTERFACES: IS13.03

As part of an overall Applications Support service we will provide end-to-end support for existing interfaces in scope to transfer.

During the discovery phase of Transition we will gain a comprehensive understanding of the existing interfaces and associated processes and schedules and ensure that these are fully documented in line with our industry best practice standards. This will provide a seamless transition and we then will introduce improvements in the service delivery through:

- ITIL alignment

- Identifying problem areas

- Implementing permanent fixes through better automation or improved processes.

We have assumed that the in-scope TUPE staff will have the appropriate skills and knowledge to maintain the delivery of support to interfaces through transition and to provide input to transfer knowledge to the wider Capita support teams.

Where process documentation exists, this will be reviewed and aligned with the wider Capita service delivery. Where documentation does not exist, this will be created. We will ensure all processes are appropriately documenting within the first six months of the contract.

We currently deliver support to multiple interfaces for multiple clients using varying technologies, as demonstrated in the following examples:

- For our Southampton City Council account we deliver a number of Point-to-point interfaces between their CRM solution and backend systems as well as a Biztalk implementation. We designed a comprehensive integration approach based on a number of key principles and rules depending on the interface solution/platform

- On our London Borough of Harrow account, we deliver a Java Composite Application Platform Suite (JCAPS) service supporting multiple interfaces and data transformations in and out of their SAP solution.

2.13.4 PATCHING AND UPGRADES: IS13.04

We will implement new systems and upgrade existing systems based on a thorough assessment and mitigation of the risks involved and by applying the following key principles:

▪ Providing a solution that meets the clearly defined functional and non-functional requirements

▪ Implementation based on reliable and repeatable upgrade processes

▪ Assessment and mitigation of risks to existing services

▪ Careful attention to the re-training needs of users

▪ Clear communication of plans and timescales

▪ Thorough testing at each stage of the delivery project

▪ Application Transition/ Operational Acceptance.

As part of the overall Database service, we will deliver the application of relevant patches within the existing patch set following our ITIL aligned change and release management processes. As part of implementation, we will integrate our change and release processes with the Councils to ensure a safe and controlled delivery of change to the live environment.

Where application upgrades and patches are included in the existing license costs, we will apply this with no extra cost. Where the 3rd party applies a charge for the upgrade or patch, agreement will be made with the council to proceed and 3rd party costs will be passed onto the council. We will, however, look to reduce license costs where possible through our wider partnerships with 3rd party vendors.

Where the upgrade is deemed 'Major' e.g. includes addition infrastructure costs, these will be treated as projects in their own right. Depending on the size of project we will allocate an Application development manager or a Project Manager to manage the project. We will work with the Council to develop a Project Delivery service to effectively manage the full life cycle of change where new projects and large functional changes have an ICT impact or involvement. New projects would normally be driven by Department or ICT Client needs, legislative business change or 3rd party engagement. We also anticipate bringing new and innovative ideas from the market, best practice and other client engagements.

This Project Delivery service will provide a structured framework for prioritising, planning, managing, communicating and delivering ICT change, minimising risks and would ensure future ICT provision meets the Council's ICT Strategy and the requirements of the business.

This service will cover such elements as the scheduling of projects, production of proposals, IS resource planning, managing user acceptance testing and applications development as well as managing the transition of projects into live operational service through the Release Management process.

2.13.5 PROCESS SUPPORT: IS13.05

We provide a comprehensive Application Support Service encompassing the operational maintenance and support of enterprise and bespoke applications and providing reliable, resilient and robust applications. The service can also include the enhancement and further development of the application portfolio.

Capita has considerable experience of managing complex application landscapes within other local government organisations to deliver a Centralised Application Support function for Commercial off the Shelf (COTS) software packages and bespoke applications. We have experience in managing back-to-back contract arrangements with multiple third parties and by undertaking this role can enable the Council to focus on its core business rather than managing multiple vendors.

The services we will provide are broadly separated into the following activities aligned to ISO/IEC 20000 standards:

- Adopt an ITIL based approach to the delivery of Application Maintenance Services though the Service Management Team

- Support and administration against agreed SLAs

- Ensure aligned OLAs and third party support contracts are in place

- Application governance and control, including management of 3rd party application suppliers, as well as Curriculum application suppliers

- Act as a single point of overall accountability for all services relating to applications support, development and testing through a specialist Application Manager

- Maintenance Development - corrective maintenance of cause and effect to resolve problems

- Monitoring of the Key Performance Indicators (KPIs) and management reporting

- Use of the Service Desk to manage Incidents and ensure effective problem management

- Agile change management, including small to complex changes

- Formal release management processes to protect live environments

- Definition of all applications in relation to their criticality, indicating the level of support required

- Retain strong links to the Delivery Units to manage any disparity of process requirements within core applications between customers e.g. Barnet Homes, Pension Fund and the Council

- Manage the development of ICT skills and knowledge centrally to remove skill silos and dependencies on individuals

- Promote shared best practice and identify areas of improvement

- Application Transition/Operational Acceptance

- Focus on Continual Improvement to reduce Total Cost of Ownership

- Maintenance of training documentation for support processes, e.g. the Service Request process. (see section 2.13.12 Documentation IS13.11 for general detail on the provision of documentation)

- Continued support for existing business solution processes e.g. maintaining outputs from ICT Business Solutions and maintain existing Interfaces. (see section 2.12.3 Interfaces IS13.03 for more detail on the support of interfaces)

- The provision of extended support to cover seasonal/annual business related activity, this will be provided on an as and when required based where appropriate request mechanisms and lead times will be setup and agreed through transition

- The provision of appropriate application consultancy to assist in the development of ad hoc bespoke reporting requirements. This will be managed through standard Change Control processes

- The provision of templates for the capture of transactional and Master Data in order to facilitate batch upload or processing. Again this will be requested and managed through standard Change Control processes

All support requests, including those for Curriculum based applications, e.g. SIMS, RM Integris and RM Finance, will be managed by the Service Desk to enable effective resolution. Support requests for applications will originate from incidents and service requests raised by clients and from system monitoring tools that will identify issues with the service.

Where an existing fix or workaround is not available, the Service Desk will pass the Incident to the Application Support team designated as the appropriate resolution team. This team will act as a single point of overall accountability for services relating to applications support and will, where necessary, escalate an incident to the relevant authority, whilst maintaining ownership.

Where an Incident involves a COTS application requiring support from an external supplier, Applications Services will triage with the supplier and Service Desk.

The Application Support Team will retain strong links with the key business stakeholders through management teams and user forums, which form the basis for raising exceptions such as non-contracted Incidents, Problems and Changes. This will also aid the management of any disparity in process requirements within core applications between customers e.g. Barnet Homes, Pension Fund and the Council.

2.13.6 BANKERS' AUTOMATED CLEARING SERVICES (BACS): IS13.06

Capita has extensive knowledge and experience in delivering BACS support to other local authorities both locally and centrally, as part of a Shared Service.

For the London Borough of Harrow, for example, we deliver local support from within our embedded Applications Support team. We also deliver support from our Shared Services team based in Kent which delivers both Revenues and Benefits and BACS support to multiple clients throughout the country.

Our approach or London Borough of Barnet BACS will ensure that:

- Continuity of service is maintained through transition and service transfer

- The availability of the BACS system is maintained on an ongoing basis to the required levels of service

- Daily reports are produced and delivered to LBB, LBB Pension Fund and Barnet Homes

- Certificates are renewed in a timely manner

- The system is maintained by suitable levels of qualified staff

- Staff skill levels are periodically assessed to ensure that the required standards are met

- Any changes to system processes and systems being used are made only through, and in full adherence with, the standard Change Control processes.

Staff within the London Borough of Barnet's IS Service operate the Council's existing BACS solution. Through our solution these staff transfer to Capita and become part of our distributed Applications Support team. As part of that team they will be trained in Capita's industry best practice the best practice methods and approach Capita for delivering BACS support. Within nine months of Service Transfer Date will complete this training and implement changes if required to improve the delivery on the existing BACS platform.

Following on from service transfer, and as part of our Application portfolio Management programme, we will carry out a review of the existing BACS systems and evaluate the business benefit of moving to our Group wide BACSTEL-IP shared services solution based on the Experian Payment Gateway (EPG for short). It provides the following capabilities:

- Structural conversions of data to BACS standard formats, based on name of the files uploaded

- Validation of the data, which covers sort code, account number, SUN and bureau validation, as well as prevention of duplicate submissions

- Provides an authorisation process to allow the checking and approval of files before they can be transmitted to BACS

- Transmission of transactions data to BACS using the BACS BACSTEL-IP submission web sites (encrypted transmission)

- Uses High Security Modules (HSM servers) for BACS authentication, which can sign and transmit the BACS data without customers each needing BACS smartcards

- Automate the collection and format conversion of associated BACS reports, which can be emailed or downloaded from the EPG FTP/SFTP site.

We propose to consolidate all payments onto the above Shared Services platform, if the business case is proven, within 18 months of the Service Transfer Date. The approach we have outlined for transferring staff and ongoing BACS support is equally valid for support of the existing systems and also for a move to the Shared Services EPG described above, as it is managed consistently to the same high standards, by the same virtual Applications Support team.

2.13.7 PURCHASING CARD ADMINISTRATION: IS13.07

Capita will manage the Purchasing Card Administration application in line with best practice guidelines. This will include liaising with the Bank with regard to processing of approved applications, maintenance of card limits, card cancellations and support to cardholders when cards are refused.

We will ensure that all master data (bank sort codes) is maintained to ensure it is up-to-date. We will automatically monitor and manage all related transactional data interfaces between the relevant Council systems and the Banks to ensure that the interface processes have completed successfully.

We have substantial experience of 'card based operations' and ensuring these services are appropriately managed to prevent fraud. As an example, we deliver payment solutions, including purchasing cards, for more than half the Local Authorities in the UK (>200), processing in excess of 500,000 transactions per month with a value of over £65m. Channels supported including Speech Recognition, Web and SMS (Texts). As well as accepting payments via standard credit and debit cards, pre-paid cards are also accepted via links to organisations such as Tuxedo.

We are assuming as part of outsourcing this service that the existing staff currently carrying out these tasks are in scope for TUPE. As with the support of Interface processing, we will ensure the appropriately skilled and experienced TUPE staff are aligned correctly to continue to deliver this service in order to maintain a seamless transition.

2.13.8 SERVICE REQUESTS: IS13.07

We will operate an ITIL best practice Request Fulfilment process to deal with standard and non-standard Service Requests from users and support the authorisation and delivery of these types of Changes. This will comply with the agreed Change Management processes and procedures and follow a common set of processes and procedures.

Service Requests related to Applications Management will typically include application installation/ removal and user access requests.

Our experience indicates that a large number of minor operational changes, or Service Requests, will be required as part of the day to day service delivery, many of which will occur on a regular basis and involve little risk.

During Transition we will agree with the Council the changes that can be delivered through the standard Service Request process along with the level of authorisation required for each type of Change. Where feasible 'standard' requests will be pre-approved and actioned by Capita without the requirement for further authorisation.

These Service Requests will be detailed in the Service Catalogue, with agreed response and delivery times stated. Our Request Fulfilment process will facilitate the delivery of low risk, low cost and frequently occurring standard operational changes that are documented, repeatable and will have been previously implemented. Typical examples include day to day administrative tasks, for example to cater for new users and leavers, install an application, password resets, user access changes as well as carrying out desk moves. We will not limit the volume of standard Service Requests in any month.

These standard changes will be handled more efficiently through the establishment of a set of processes to manage each type of Service Request, based upon the request being authorised at the right level and aligned to the type and level of change.

More complex 'non-standard' Service Requests will need to be assessed to determine the impact and associated costs. This information will need to be referred back to the appropriate manager for authorisation before being implemented.

The detailed process will outline the required process steps, authorisation levels, timescales and escalation paths. Service Levels will be aligned to the type of Change and agreed priority. We will agree the types of Change that can be handled through the standard Service Requests and finalise the relevant Request Fulfilment processes with the Council during Transition. When agreeing the related processes with the Council, we will ensure that an exception process is included to ensure that there is no delay in progressing Requests in the event of any system failures.

The process will ensure that:

▪ Service Requests are managed and implemented effectively

▪ The Councils End Users have the same experience and receive a consistent service.

2.13.9 MASTER DATA MANAGEMENT: IS13.08

We will undertake Master Data Management for all of the applications detailed in the Service Catalogue to ensure that multiple (and potentially inconsistent and inaccurate) versions of the same master data is not used in different parts of the Council's business operations.

We recognise that information is a strategic asset of the Council; master data, encompassing data about the Council's citizens, services, employees, materials and suppliers is fundamental to the operation of the Council's business. It is required to support numerous transactional processes and operations across various Council business functions. We will ensure that the Council's master business data is effectively measured and monitored to ensure the quality and consistency of data. Management of Master Data will be carried out in line with the defined processes, governance, policies and standards.

Where a data dictionary is provided by an application vendor, we will ensure that a copy is obtained and that the latest version is made available. This will ensure that there is a good understanding of all the data captured during the operational business processes.

We will identify and remove duplicate data, standardise data and incorporate rules to eliminate incorrect data from entering any system in order to ensure that there is a single and authoritative source of master data.

Data Quality

It is important to look holistically at all the aspects that define good or bad data and the processes that produce them. The aim is to look for trends in data quality to demonstrate improvements and catch any issues before they impact the business. Data quality measures also cover a number of domains such as how complete a record is and its validity, through to the accuracy of that value and whether it is available in a timely manner.

However, not all the measures of data quality are equally easy to monitor or measure and it is important to choose those that provide the greatest business benefit. This should be aligned to the overall information strategy for the Council and we could help you to select those items to monitor that drive the greatest value. We would work collaboratively with all the different stakeholders to identify and define these items for the reporting and monitoring solution. For each of these items, a set of data quality Performance Indicators would then be defined. These would cover the measurement domains that are most relevant for the item in question. There should not be measurement where it is not required or useful.

2.13.10   DATABASE MANAGEMENT: IS13.09

Our Database Administration (DBA) Service will aim to maximise availability, security and reliability of the LBB database estate through the set up and maintenance of pro-active system monitoring and automated alerts. Our DBA Service includes support for Oracle and Microsoft databases.

The management of database backup and recovery strategies, maintenance of database user accounts and capacity planning are all included within our standard DBA service which covers the following:

- Monitoring of production database performance and resource usage

- Monitoring table/index usage, growth and fragmentation

- Database optimisation - identifying any opportunities for tuning application databases to make efficient use of resources and database optimisation

- Monitoring of production database replication processes

- Investigation and action to resolve all issues raised by monitoring or the Service Desk

- Application of relevant patches within the existing patch set

- Implementation of changes to the database configuration

- Support and advice for applications development teams on database design changes

- Deployment of database components

- Archiving data in line with the agreed Council requirements and defined data retention policies

- Recovery of data as a result of hardware or media failure

- Control of user access to databases

- Provision of base level documentation for support and maintenance procedures

- Provision of reports on the availability and performance of databases on an ad hoc basis if required

- Assessment and approvals in accordance with change control procedures.

This will form part of an overall review and standardisation of databases. Using information gained through discovery exercises during transition, we will recommend further steps that should be taken to improve the resilience of the authority's databases.

We have centralised database teams supporting Oracle and SQL databases across our client base. These teams have developed tried and tested database designs and support procedures that are employed as we develop new databases. Where possible we will recommend the adoption of these standards for existing databases.

The service will provide:

- Robust and resilient databases and applications

- Resilience to staff turnover

- Provision of out-of-hours or 24/7 support from the central DBA teams if required.

Should these additional services be required they can be requested through the agreed change control/ work package processes which will be designed and agreed as part of transition. These services will be quoted at the agreed rate cards, and delivered upon approval from the Council.

2.13.11   BACKUP & DR: IS13.10

In order to ensure the integrity and security of all End User, system and application data, as well as provide an effective day-to-day operational recovery solution and full recovery solution in the event of a Disaster, we will define, maintain and implement a backup strategy and policy that will include for each application:

- Data volumes to be backed up

- Frequency of backup for each data volume

- Type of backup

- Backup retention and rotation schedules.

The administration of the backups will be performed by Capita. All processes will be subject to regular audits to ensure that the correct data sets are being secured for each server and executed at the correct time of day.

This service will ensure that data is backed up in accordance with the agreed back-up schedule and in-line with agreed policies, including:

▪ Ensuring the back-up schedule is correctly configured to run the appropriate back-ups

▪ Running full and incremental back-ups to a schedule agreed with the Council

▪ Identifying the cause of any back-up failure, logging an Incident call and resolving the incident at the earliest opportunity

▪ Where the identified cause of failure may apply to other systems, investigating those systems in a timely manner and remedy all further instances of failure

▪ Advising the Council in a timely fashion of any potential problems resulting from limited capacity with regard to back-ups (e.g. data growth exceeds back-up window) together with recommend remedial actions

▪ Providing monthly reports showing a full list of the servers being backed up, any backup failures during the month, the results of any Incident investigations, quantity of data being backed up and any recommendations for improvement to the back-up service.

All backups will be scheduled and automated outside of the normal service hours and our backup team will monitor the Back-up System to ensure successful completion.

To confirm that the correct server population is being backed up, a periodic cross check will be made by the Council. To support this work, Capita will provide a full list of the servers being backed-up and the respective back-up schedule on a three monthly basis.

We will also work with the Council to determine an appropriate data retention policy, the amount of time for which a particular data set is to be retained. This policy will be agreed with the Council and will be implemented and maintained by us.

We will ensure that backed-up data is suitable for retrieval, recovery and restoration to the 'Live' environment. Data restores will be undertaken as Service Requests and will be subject to the SLAs to be agreed.

The backup and restore processes and strategy will be tested at least annually using a schedule to be agreed with the Council.

2.13.12   DOCUMENTATION: IS13.11

We will provide a comprehensive library of documentation for all bespoke and package business applications, describing all of the systems and procedures which are used to provide the Services to the Council and its End Users. This documentation will also cover instructions on the usage of ICT Business Solutions and Systems.

All documentation will be available electronically and where appropriate will be made available in a format that is suitable for printing. Appropriate documentation will be issued to the Council for review and sign-off.

During Implementation, we will review the existing system and application documentation and will ensure this documentation is up-to-date and also highlight opportunities for improving the content/format of this documentation. Where necessary we will work with the Council in revising or producing this documentation and then ensure that it is maintained throughout the contract term.

Where no documentation exists for in-house or third party developed applications, this will be created as a priority for the Platinum and Gold applications and within 12 months for the Silver and Bronze applications.

Capita appreciates the need for documentation to be up to date. Rigorous version control procedures will therefore be put in place and all documents issued will follow a standardised, legible, user-centric format.

The scope of documentation that we will maintain includes:

- User manuals covering end user access and system configuration and administration

- ITIL service management processes

- Design documentation

- Quick reference guides

- Operation support manuals and procedures

- Application set up and configuration (system manager) documentation

- Infrastructure diagrams

- Training material, including user training manuals/aids

- FAQs and answers

- On-line help facility

- Appropriate documentation for any upgrades or new products

- Release notes

- Application roadmap

- Topology diagrams for servers and networks

- Inventory lists and configuration settings – held in a CMDB

- Instruction manuals and third party technical documentation.

Documentation will be managed via:

- A set of standard templates

- A set of detailed work instructions

- A set of standard forms

- Version control on every working/issued document

- Use of SharePoint sites for sharing documentation and version control.

2.14 COMPLIANCE: IS14

As an ISO 27001 certified company, we will provide a comprehensive Security Management service which ensures the availability and integrity of the Council's ICT infrastructure. Capita's local ICT Team will liaise with those who are responsible for Information Security Management within the Council. They will be supported by a team of technical specialists (located both on-site and in Central Services) who will perform routine and pre-emptive maintenance across the desktop, server and application estate.

To ensure continual compliance with all relevant policies, we will implement an annual IT Health Check by an approved CREST or CHECK company. This will also ensure that wireless networks are configured and operated in accordance with an approved encryption scheme, such as CESG Infosec Manual Y.

Approach

Our Service Desk will be the primary point of contact for Incident reporting, management and resolution, change requests, service extensions and ad-hoc requests, including the provision of reasonable advice and guidance on all service related matters associated with the Security Management Service.

We will:

- Preserve the integrity and availability of Council systems and data across all Council locations

- Provide a clear escalation and remediation process for all breaches

- Ensure that the Council remains compliant with its existing Codes of Connection

- Provide advice and guidance in the development of Council security strategies and responses to future requirements (including the benefits of adopting emerging technologies)

- Operate and maintain all of the Council's security defences and countermeasures including the anti-virus, remote access, patch management, web and mail filtering solutions

- Ensure that staff and contractors have the necessary security clearance to undertake work as per their role, Capita Staff are routinely cleared up to SC level through the Non Police-worker Police Vetting system operated by Warwickshire Police

▪ Ensure that areas considered by the Council to be sensitive will be controlled by appropriate systems and procedures to limit access to only those individuals authorised by the contract

▪ Ensure that by default users cannot access removable media without appropriate approval from the Council and will provide reporting on the use by approved users and attempted use by non-approved users.

Council Responsibilities

In order to enable Capita to deliver this service element, the Council will be required to:

▪ Ensure that Council users comply with Security Policies and Processes

▪ Jointly agree with Capita a documented Security Policy

▪ Provide up-to-date RMADS documentation at Service Commencement.

2.14.1 GOVERNMENT CONNECT SECURE EXTRANET: IS14.01

The Capita SIS Security Manager will be responsible for the maintenance of the Council's existing GCSX CoCo compliance. This will be achieved through the implementation of a pro-active risk management framework designed to ensure that all risks (whether derived from people, processes, places or technology) to compliance are appropriately managed. This risk management activity will become a business as usual activity, and will be embedded into all aspects of the service delivered by Capita.

Capita has had sight of the Council CoCo submission (doc OBIS003e), and has noted the assessor's comments. The most recent ITHC report has not yet been made available, nor has the response plan for that report. These documents will be reviewed if/when made available. This document review and a practical review of control implementation will form the basis of a gap analysis which will be completed after contract commencement to highlight priorities for the ongoing compliance effort, which will be detailed in an Action Plan to be submitted to the Government Procurement Service for review, clarification and authorisation.

Capita has a great deal of experience in managing compliance with GCSX, GSE and GSi connectivity requirements, and can call on wide range of skills, including CLAS resource, as required. We understand the importance of robust and functional Information Security Policies, standards, procedures, tools and equipment as essential components of a holistic, industry best practice compliant Security Management solution, designed to provide appropriate protection to an organisation's business.

We have a range of clients with a diverse set of requirements for Security and a wide array of standards with which compliance is mandatory.

Day To Day Activities

The Service Delivery Manager will implement and lead a programme of routine and pre-emptive maintenance. This programme will encompass the Council network

connections to other networks, the secure remote access solution, applications, servers, storage and client access devices and will include:

- **Configuration control process** - We will monitor for the installation of unauthorised software or attempts to remove or bypass any security measures by using Configuration and Change Management processes to monitor for changes to the estate and by monitoring the Event Logs on servers and any other pertinent logs. Any such attempted breaches of security will be reported to the Council

- **Reporting** - In the event of a Security incident, we will carry out an investigation and, in order to comply with the Council's Security and Incident Management Reporting requirements, produce a Major Incident Report within five working days of the event. This report will cover the cause of the Incident, why the risk had not been identified and mitigated and what measures need to be put in place to prevent re-occurrence. We will also provide the Council with monthly, quarterly and annual reports and in accordance with the Council's Security Policy will attend the joint Information Security Forum on a Quarterly basis

- **Escalation** - We will monitor for, and report to the Council, the occurrence of Network access violations and malware infections. We will escalate any such occurrences immediately to the Council, isolate the outbreak and remove any malware from the Council infrastructure as a matter of urgency. Where appropriate, we will liaise with the anti-virus vendor to ensure any new examples of malware discovered by heuristic scanning engines are included in the vendor's virus signatures in future

- **Administration, Installation and Support** - We will undertake routine administration, installation and support tasks within the constraints defined by ISO27001 and the various Codes of Connection to which the Council is subject

- **Routine Patching, Upgrading and Updating** - We will, where appropriate and possible, ensure that Security patches are deployed across the Council's ICT infrastructure within 24 hours, subject to the relevant Change Control process. There are occasions when this will not be possible, for example devices (particularly mobile devices) not connected to the network and powered up within a 24 hour period, or where security patches are non-critical and/or are packaged with other patches. In these cases, we will notify the Council of the situation and agree an approach. We will work with the Council to ensure that the latest service packs are tested against all Council major Line of Business applications such that deployment onto the live environment can be undertaken. Once released the patches will be audited to ensure compliance

- **Penetration Testing** - We will conduct external penetration tests – using a recognised third party specialist (which is ISO27001 accredited). We are also able to conduct ad-hoc audits and assessments (for example in relation to PCI DSS requirements). All network infrastructure devices will be scanned for security vulnerabilities at least quarterly. Where vulnerabilities are identified, we will resolve these in co-operation with the Council.

Codes of Connection

Capita recognises that the Council has significant compliance obligations with regard to its connections to other major public sector networks (such as GCSx, N3, LPSN and others). We will ensure that the Council's Security Policies are implemented, that the relevant Codes of Connection and standards for joint working are maintained and adhered to and that access to the Council Networks and resources is controlled appropriately. Capita ensures adherence to Security Policies for all its managed service clients, including many who are subject to the same Codes of Connection as the Council.

The key output of the Information Security Management service will be a robust ICT infrastructure that secures the Council's sensitive and critical data and systems. This will be underpinned by support for the Council in ensuring that accreditation and compliance with, relevant Codes of Connection is maintained.

Consequently, the Council will be able to securely share data and services with trusted partner agencies, whilst protecting itself, Council staff and citizens from both internal and external threats.

Email will be securely protected by ensuring that GSi bound email is routed via the GSi GCSx mail relay using the Council's GSi connection. Additionally, a Mail Transport Agent (MTA) will be used so that any mail sent or received using SMTP will be in accordance with RFC822. We will evaluate continued compliance with GCSx as part of the Google Apps pilot.

We will also ensure that web development will not use any of the GCSx domain names as source addresses in emails which are generated outside the GSi.

Users and Staff Vetting

Capita undertakes a significant amount of work in secure environments and will ensure that users of the network connected to GCSx who have regular access to RESTRICTED information will have been cleared to Baseline Personnel Security Standard. Users of GCSx will be required to affirm their acceptance of usage policy and understand that all communications by means of the GSi may be monitored or intercepted. Additionally, we will undertake security checks in respect of all ICT staff, both employees and contractors, who are employed on this contract to at least Baseline Personnel Security Standard.

Capita has a comprehensive step by step approach for undertaking security checks (vetting) of its staff and we have signed a Vetting Services contract with Warwickshire Police in support of this to carry out full Non-Police Personnel Vetting (NPPV) on our behalf.

Any employee accepted to work on the contract will be required to complete the Warwickshire Police Vetting Form and undergo the Non Police Personnel Vetting Procedure (NPPV). The rigorous NPPV vetting process covers Police National Computer checks (PNC), Counter Terrorist Check (CTC), Military check (if ex–forces), Professional Standards Department check (if ex-police), Centurion (Complaints Database), Financial checks via ForceView (Experian), SC Check via the Foreign and Commonwealth Office, and local intelligence and special branch checks within the applicants residential area (or for addresses going back 5 years). Other non-convictions databases may also be checked (covering domestic violence, child protection and traffic).

If, any member of the Capita team engaged in providing the service, breaches Information Security Policy or commits any acts which constitute misconduct, or if it is not in the public interest for that person to be employed or engaged by Capita in conjunction with this contract, Capita will remove such person without delay if required to do so.

In exceptional circumstances, where specialised staff from external suppliers are required to carry out work and do not have the suitable clearance, Capita undertakes to accompany such persons at all times and fully supervise their work whether on the customer premises or elsewhere, assuming the customer gives authority to allow this.

We will also maintain an ongoing security awareness and education programme so all employees, contractors and third parties are familiar with organisational policies and procedures. This is standard practice within Capita as part of its ISO/IEC 27001 and other certifications and compliances.

2.14.2 THE PAYMENT CARD INDUSTRY DATA SECURITY STANDARD (PCI-DSS) IS14.02

Capita will be responsible for completing PCI-DSS compliance work for the following areas:

- Conducting quarterly Assured Scanning Vendor (ASV) of the cardholder data environment's external internet facing infrastructure with approved software tools that analyse infrastructure and spot known vulnerabilities in line with PCI-DSS requirements

- Managing and arranging and coordinating remedial work relating to vulnerabilities and responses to all required ASV scans and penetration testing. This will be followed up by an action plan / issue tracker detailing the progress against agreed response to highlighted issues

- Review and classification all identified vulnerabilities to help prioritise the order of remediation on a risk based approach

- Submitting the ASV reports to the acquiring bank on a quarterly basis to ensure PCI compliance.

Once they are made available, Capita will review the associated documentation, including penetration test results and scanning reports and the Council's issue tracking documents, and undertake a practical review of the existing implementation of security controls. These reviews will form the basis of a gap analysis which will be completed after contract commencement to highlight priorities for the on-going compliance effort.

Capita operates a number of PCI-DSS compliant systems and services for a range of customers, and can draw upon in-house specialist PCI-DSS compliance skills and knowledge as required.

2.14.3 INFORMATION SECURITY POLICIES: IS14.03

The Capita Security Manager will be responsible for information security policy development, reviews and updates, and will co-ordinate this work with that carried

out by the IGC, the Council-wide delivery capability for the Barnet Information Management Strategy. The product of this collaborative approach will be a comprehensive ICT Security Policy that will be based on a careful consideration of Capita policies, the security requirements of the Council and all industry standards such as PCI DSS and ISO 27001, as well as other applicable policies and standards. This policy will be signed off by the Council on an annual basis.

A fundamental aspect of information security policy is making sure that every member of the Council staff who uses information in the delivery of their role is aware of their personal responsibilities which they have as a user and additionally the acceptable usage policy of the Council's information systems. In order to effectively communicate this information, we will create a document that clearly outlines responsibilities and usage policies. This will be accessible to all users.

Policies need to be pragmatic and flexible with the ability to change as a result of external change (e.g. changes to the PCI-DSS framework and the changes currently underway via the GCSx to PSN CoCo transition). Our Security Manager will assess the changes and notify the Council formally of any which may require amendments to policy documentation or may impact existing service delivery capabilities or agreed costs.

A high level review of the Council's existing policy set has already taken place and Capita has engaged in dialogue with the Council regarding policy strategy and implementation processes. A further review of these processes and the maturity of the policy set will take place after contract start; an example here would be the data classification work which LBB has recognised as presenting several challenges.

We will engage with the IGC to identify any security policy gaps, review any areas of security policy which may require changes to clarify meaning, and identify any further work. This will feed in to an initial review of the policy set with the IGC's approval. Thereafter, reviews will be annual and will be scheduled to interface with the policy review cycles of the IGC.

Capita currently operates a Group-wide policy framework internally, as well as managing policies for a wide range of customers including local government clients. We also have a depth of experience in developing and managing policies to interface with and support external statutory and contractual frameworks.

ISO 27001

Capita recognises the importance the Council gives to security across its business. We obtained certification to BS7799 in 2003 for our IS Services, which was upgraded to ISO27001 in 2007. Capita's Information Security Officer will liaise with the Council's security contacts to ensure all security relevant activities are subjected to continual monitoring, review and improvement. In support of these activities and projects managing protectively marked content, Capita employs CLAS consultants and appropriate risk identification, measurement and management methodologies and toolsets, as described in the Government INFOSEC standards. They will also liaise with officially appointed advisors and accreditation bodies to ensure all services and systems are fully accredited and changes are managed in a secure and approved manner.

Capita undertakes security audits to ensure compliance with relevant policies, procedures and standards of security as defined in ISO27001. In addition, we facilitate further audits and testing of services holding protectively marked material at RESTRICTED and above. We ensure that the operational business environment is protected from deliberate or accidental breaches of security and provides a range of services consistent with ISO27001 and Security Policy Framework including:

- Asset Classification and Control

- Personnel Security

- Physical and Environmental Security

- Computer and Network Security

- Systems Design and Maintenance

- Business Continuity Plans.

RMADS

Capita will support the Council in undertaking regular reviews of its Risk Management and Accreditation Documentation Set (RMADS) to ensure continued compliance with the Council's existing, and future, Codes of Connection. Our team of CESG Accredited CLAS Consultants monitors appropriate security procedures and ensures all Capita Managed Service outsourced contracts are appraised of any changes in requirements in a timely manner. We will advise the Council of any such changes and make recommendations where appropriate, to mitigate the impact on Council services and their delivery mechanisms. The CLAS consultants will also be used to ensure that any use of Portable Electronic Devices will be authorised, managed and configured in line with CESG guidance.

2.15 SERVICE DESK: IS15

Capita will provide a fully inclusive ITIL aligned Service Desk function as part of its Service Operation, providing a single point of contact for Users of the Council's ICT Services for a wide variety of service events including all ICT related Incidents, Problems, Service Requests, Changes and queries. The Service Desk will also be responsible for dealing with infrastructure Events and Incidents that are reported automatically by our infrastructure monitoring toolset.

The primary aim of the Service Desk will be to restore normal service as quickly as possible. This may involve fixing a fault, fulfilling a Service Request or answering a query to enable users to return to normal working as quickly as possible and minimise any business disruption.

The Council's current on-site Service Desk will be transitioned to Capita's central Service Desk function within its Enterprise Services function within Year One and will utilise Capita's existing Service Desk capability. Our Service Desk will be available as follows:

- 08:00 – 18:00 (excluding English Bank Holidays) – provision of full Service Desk functionality

- Out of Hours (OOH) support will be provided for Members using the agreed on-call arrangements

- 18:00 – 08:00 – available for to logging calls for response during core hours and initiate call-out for Members.

We recognise the importance of the Service Desk function, as for many users it is their only window on the level of service and professionalism offered by their ICT supplier. It is also likely to be the primary route whereby the user steps from dealing with the Council's services to Capita's services.

Capita is extremely experienced at managing services which switch between in-house and supplier delivery models, with over 50% of Capita staff introducing themselves on a daily basis as part of the customer's organisation rather than 'Capita'. We invest a lot of time and effort during service transition to ensure that this handover from the Council to Capita is invisible to the end user.

2.15.1 SERVICE DESK: IS15.01

Service Desk Responsibilities

The Service Desk will provide a first point of contact and be responsible for:

- Receiving calls, first line customer liaison

- First line Incident resolution and Service Request completion

- Logging, Recording and tracking Incidents, Service Requests, queries and complaints in order to provide a details history

- Agreeing and assigning an appropriate Priority Level

- Keeping Customers informed on Incidents and Service Request status and progress

- Making an initial assessment of Service Requests, faults and query and attempting to resolve them before referral (First Line Fix)

- Provision of Remote support, using Capita's preferred remote management tool, Bomgar

- Monitoring and Escalation procedures relative to the appropriate SLA

- Managing the request/fault lifecycle, including closure and verification

- Communicating planned and short term changes of service levels to Customers

- Identifying and contributing to Problem identification

- Liaising with other IS Teams and third parties to ensure the SLA is met and keeping the Customer updated at all stages in line with the SLA.

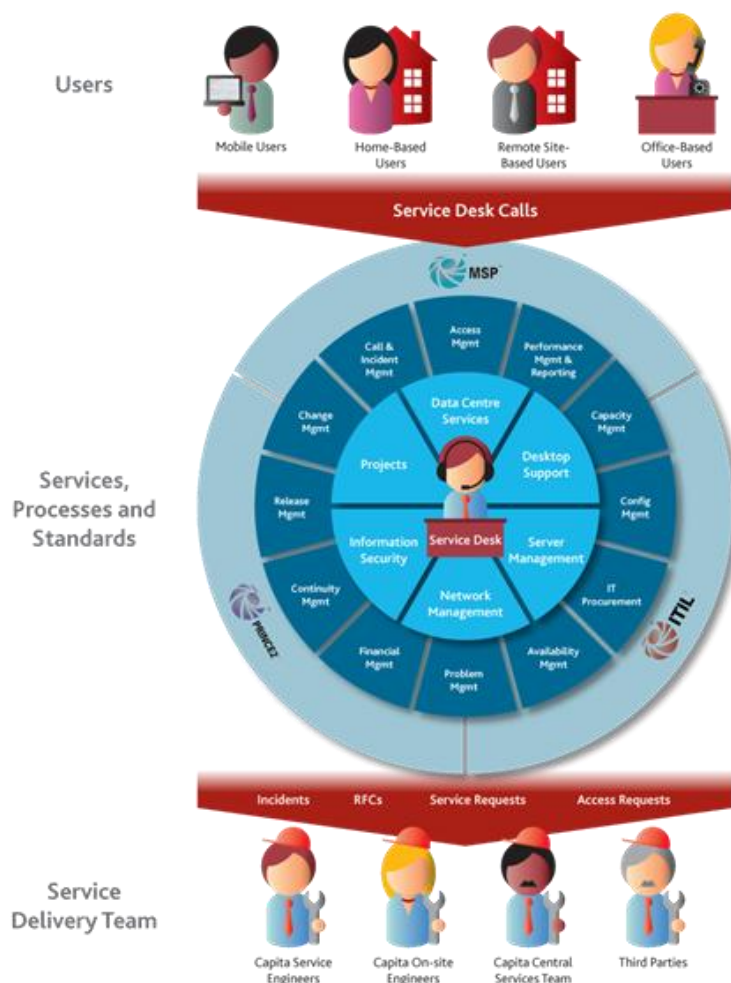The pivotal role played by the Service Desk is illustrated below:

Figure 38 - Capita's Service Desk from a Customer Perspective

Logging Incidents and Service Requests

Capita's ITIL aligned Service Desk and the on-line Service Portal will be used for logging all IS related issues and requests. The Service Desk will be accessible via a single telephone number and dedicated email address. These contact details will be clearly communicated and publicised. However, we anticipate being able to re-use any existing number.

In line with the Council's and Capita's vision of providing self-service solutions for both the Council's internal users and its customers, we will also provide users with the capability to log calls and service requests through a call logging and tracking portal. This will be implemented within Year One of the contract and will integrate seamlessly with the overarching self-service web portal which is being defined as part of the separate Transformation work stream.

The self-service portal will also include a knowledge base to enable users to resolve frequently occurring Incidents without needing to engage a Service Desk Analyst.

Service Desk System

Capita's centrally implemented RMS Service Management Suite (RMS) will be used to log and manage all of the activities associated with the Service Desk. The application will be hosted remotely, providing a shared service to a range of Capita customers. This arrangement will provide the Council with economies of scale compared to the implementation of a stand-alone solution whilst maintaining a high level of data security and will provide flexibility, enabling call overflow during core service hours and call handling out of hours.

RMS will be partitioned and configured with specific Council information, which will only be visible to those staff specifically assigned to work with the Council. This configuration will include the Council's specific Service Level Agreement, including the agreed Operational Level Agreements (OLAs) for Capita's internal on-site and central support teams and Underpinning Contracts (UCs) for the third parties engaged in service delivery, and the associated escalation paths. This approach ensures that the Service Desk analysts manage and resolve all Incidents and Service Requests in line with the agreed service levels and business priorities and enables appropriate levels of information to be captured and extracted to monitor, manage and report on service performance.

Call Answering

All calls will be automatically routed based on predefined criteria. This ensures that calls originating from the Council are directed to the best available service desk analyst with the appropriate skills and experience. Capita staff will answer all telephone calls and respond to all e-mails in a courteous and timely manner. Staff at the Service Centre will know that the call is related to the Council before they pick up the telephone and we will agree an appropriate greeting for answering the Council's calls.
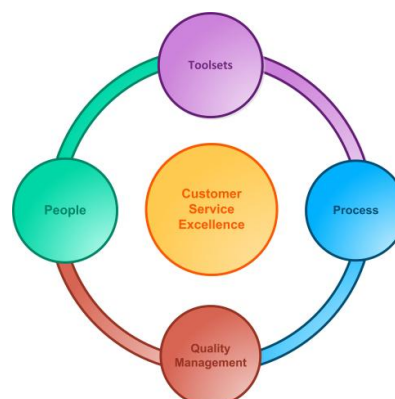
Figure 39 - Capita's Approach to Customer Service Excellence

In addition to training in the provision of service excellence, Service Desk staff will receive comprehensive briefings and training regarding the Council's contract prior to go-live to ensure they understand the Council's business. As well as ensuring that the transition of services to Capita is seamless, this will facilitate a prompt response and resolution and the provision of a consistent level of service. Customer Service Excellence will be achieved, as illustrated, by having the people with the necessary skills and experience in place, supported by the right tools and processes and ensuring that the services are underpinned by effective Quality Management.

Incident Management and Resolution

All Incidents and Service Requests will be managed in line with Capita's ITIL best practice Incident Management process. This is outlined in detail within Capita's response above for IS09 – Service Management.

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Each Incident, query or Service Request will be recorded within RMS and automatically assigned a unique reference number when it is logged. If the Service Desk is unable to resolve the call at the first point of contact, this number will be provided to the User and will be used for all subsequent updates and communications.

The Service Desk analyst will carry out an initial diagnosis of the Incident, asking questions as necessary in order to discover the symptoms, the business impact and to help to determine what the cause is and assign an appropriate Incident Priority level based on the agreed criteria. We will maintain a comprehensive Configuration Management System (CMS) which will be integrated with RMS. The CMS will provide the Service Desk and support engineers with accurate and up-to-date information in relation to the Services and Configuration Item(s) impacted. In addition to facilitating a prompt resolution of the Incident this will enable the potential level of business impact to be assessed.

First Level Fix

The Service Desk analyst will endeavour to resolve the Incident while the user is still on the telephone (assuming the call is raised through this mechanism) in order to provide a First Level Fix. This could either be through resolving the call at first point of contact, or through transfer to another support engineer while the user is still in contact on the original call.

We will use scripts to discover the required information and to help identify and resolve frequently raised support issues and will deploy a number of tools to facilitate a First Level Fix. Details of known Problems and any workarounds will be maintained in a Known Errors Database (KEDB). This will enable the Service Desk Analyst to identify whether the Incident is related to an existing Known Error and to reference the related workaround in order to provide a prompt resolution. Capita consistently achieves First Level Fix rates in excess of the agreed KPIs across each of its ICT Managed Service contracts.

Bomgar, Capita's preferred secure remote desktop control tool, will be implemented to enable the Service Desk Analyst, in agreement with the user, to take control of desktop computers, laptops, servers, smart phones or network devices, over the internet or network, regardless of location to facilitate a prompt resolution. This decreases the need for on-site visits and enables more Incidents to be resolved whilst the user is on the telephone.

Liaison with internal IS Support Teams and Third Parties

Where a First Level Fix cannot be provided, the Service Desk analyst will assign the Incident to the relevant internal support team or third party for them to carry out further analysis and provide a resolution. Throughout this process, Capita will record information relating to the Incident within RMS and track progress through liaising with the relevant internal support group/third party. A clear escalation path will be defined during Transition and this will be used to escalate any major Incidents or Incidents which breach the defined SLA.

Incident Status Updates

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The Service Desk will ensure that all impacted Users are regularly updated on resolution progress and timescales in line with the agreed SLA and call priority (this is usually achieved through automated e-mail alerts). Users will also be able to review the status of logged Incidents that have not been resolved at the first point of contact through the RMS Customer Application Portal which will be integrated with the overarching self-service portal. Only relevant Incidents will be accessible to the user.

Incident Closure

Once resolved, Incidents will be closed in accordance with the Incident Management Process using Positive Call Closure. When a potential resolution has been identified, it will be fully tested in line with Capita's comprehensive and best practice testing process which will be tailored and adapted in line with the change being implemented. Following satisfactory testing, the resolution will be applied and the service restored. Following the technical fix by the Service Desk or the appropriate service support team or third party, the Incident status within RMS will be updated to 'Service Restored'.

The Incident will then be presented to the Service Desk analysts in a new work list to enable them to contact the User. Incidents will only be closed, using Positive Call Closure, when the Service Desk has independently verified with the User that the Incident has been resolved to their satisfaction and has agreed that it can be closed. Only then will the Incident status be finally updated to 'Closed'. Generally three attempts will be made to contact the individual to confirm that the Incident is resolved to their satisfaction before it is closed and the RMS status updated.

The Incident Closure procedure will also encompass:

- Ensuring that all the necessary information has been captured on the Incident Record

- Checking that the initial categorisation was correct and updating the Incident Record if required

- Carrying out a user satisfaction survey via e-mail for an agreed percentage of Incidents in order to obtain a User Satisfaction Rating

- Confirming with the User via e-mail that the Incident has been closed.

Additionally, upon closure of any Major Incident, Capita's Incident Manager will undertake a Major Incident Review to identify the effectiveness of the process. The process will look at what went well and identify opportunities for improving the process, in addition to looking at what can be done to prevent the problem from reoccurring. These reviews will take the form of a lessons learnt exercise, the output of which will be shared with the Council.

Our Service Desk analysts and support team staff are all ITIL qualified to an appropriate level and receive relevant technical training aligned to their role. This, coupled with Capita's effective policies and standards, will ensure the quality of Incident Management.

Problem Identification

Checks will also be undertaken to ensure that the Incident has been fully documented and to decide whether a Problem should be logged. Should this be necessary the Problem will be investigated and managed following our ITIL based Problem Management process. Information will be extracted from RMS to support Problem analysis and all related Incidents will be linked to facilitate this.

The Service Desk will also be responsible for identifying training needs based on analysis of calls received. This information will be included in the monthly service reports.

Communication of Service Outages and impacted Service Levels

The Service Desk will be responsible for communicating with Users in the event that there are any planned service outages (e.g. to cater for system upgrades or any issues which have been highlighted that will temporarily impact the level of service to users and customers). The method of communication will be agreed with the Council and will depend on the urgency.

Self Service Knowledge Base

During Year One of the contract, we will implement a Knowledge Base to enable users to resolve queries without contacting the Service Desk, which will contribute to the realisation of efficiencies. We have recently implemented an integrated self-help portal at Devon and Cornwall Constabulary which has enabled the number of Service Desk staff to be reduced. Users are able to input their Incident details and the Knowledge Base, which will be integrated with RMS, will suggest possible solutions, highlighting the most common resolution first. If the user is able to resolve the issue RMS will automatically close the call. The underpinning knowledge base is refined and updated on an on-going basis.

Reduction in the volume of IS Incidents

Capita is committed to continually improving the quality of the services delivered. As a consequence of the proposed new service model and enhanced infrastructure Capita aims to reduce the volume of Incidents raised by end users to seven or less per annum within 12 months of the service transfer date.

This will be achieved through various mechanisms, including:

- The implementation of an improved resilient infrastructure

- Citrix upgrade

- Development and implementation of a thin client based desktop strategy

- Introduction of 'Bring Your Own Device' capability

- Automated monitoring and Event Management

- Increased availability and resilience

- Proactive communications channels

- Provision of easy accessibility to information.

2.15.2 CREATION AND MAINTENANCE OF USER ACCOUNTS: IS15.02

Capita will follow ITIL best practice Access Management process and utilise the Council's existing Active Directory infrastructure to manage and maintain secure user access across the Council's network, providing authorised users with access to the relevant systems and data and ensuring that access is prohibited to unauthorised users.

We will also implement Microsoft Forefront Identity Manager. This integrated identity management solution will enable common identity lifecycle management tasks to be automated and empower end-users with self-help solutions such as password resets, delivering operational efficiencies. As well as providing a comprehensive identity and access management solution Forefront will facilitate integration, automation and self-service and will also increase security and compliance through tools for policy management.

Messaging System Administration

Capita has a broad range of experience and expertise in implementing and supporting Microsoft technologies. We are a member of the Microsoft Partner Network with the following competencies:

- Server Platform – Gold Level

- Identity and Security – Silver Level.

We are also a user of Professional Support for Developers (PSFD), .NET Early Adopter Partner and a member of Microsoft Developers Network (MSDN). Many of our engineers are Microsoft MCP and MCSE certified and we will deploy this expertise in delivering and supporting the Council's Messaging System Administration and email solution.

Managing e-mail accounts and mailboxes

We will host and manage the Council's existing MS Exchange e-mail solution, providing 24/7 availability. The e-mail solution will be managed in line with the Council's Information Security Policy and the associated standards and procedures, including creating and managing the internal mailboxes, including secure GCSX mailboxes, and establishing the associated rule and policy settings for blocking external e-mails and filtering unsolicited bulk e-mail (SPAM).

We will monitor the usage of mailbox capacity and will advise the Council of any perceived excessive or minimal usage, providing alerts to enable timely action to be taken or enable the mailbox capacity to be adjusted.

We will be responsible for the creation and deletion of generic and staff e-mail accounts and mailbox capacity for new starters and leavers in line with the agreed process and procedures for both GCSx and the Council's standard MS Exchange system. We will create and maintain Distribution Lists and contacts/redirectors in line with the Council's Change Control processes. We will additionally manage and provide support for mailbox access rights relating to mailbox, calendar, contacts, and delegate permissions and troubleshoot issues as necessary.

Details of all starters and leavers will be notified to IS automatically by the HR function as part of the fully integrated Capita Starters and Leavers processes.

Capita will ensure that the e-mail directory is integrated with the wider Council directory services infrastructure.

Content Filtering

We will establish and maintain the email usage policies and content filtering and website blocking rules, in agreement with the Council. We will manage the Council's existing content filtering and website blocking technologies, establishing the associated policy with the Council and setting up the agreed rules and to ensure external e-mails are blocked and that SPAM is filtered in line with the agreed policies.

We will also manage the anti-virus software service and firewalls to ensure that all e-mails and attachments are scanned before entering the Council's network and to ensure that any infected files or messages are quarantined.

Updates and Maintenance

Capita will be responsible for carrying out all updates and maintenance activities. These include handling service request, for example to increase mailbox storage as well as ensuring that patches are appropriate for installation. We will ensure that any software patches, service packs, fixes or maintenance releases to the e-mail infrastructure are distributed and implemented within the required timeframe. All updates will be managed in line with our ITIL best practice processes and will be fully tested prior to implementation to ensure that they do not compromise the Council's ICT security and systems.

We will monitor, manage and administer the Council's existing storage and back-up systems and work with the Business to identify trends and develop future plans and strategies.

Experience

Capita has implemented and supports a wide range of e-mail solutions across its ICT Managed Service Contracts. At Gloucestershire County Council, for example, one of the major infrastructure and development projects the team delivered included the implementation of Exchange 2007. This project delivered an upgraded Exchange messaging infrastructure. We designed, tested and implemented the new system and supporting hardware platform, migrating over 7,000 active mailboxes from the legacy system. The current BlackBerry system was also upgraded and Outlook Web Access (OWA) implemented. The major Benefits to the Authority were:

- Secure and robust web access to e-mail for staff, facilitating more flexible working

- Minimal interruption to end Users during mailbox migrations.

Following agreement with the London Borough of Hackney, we implemented an externally hosted and managed e-mail filtering solution provided by Websense. This new solution is an ISO27001 certified service and offers the highest level of encryption. It enables spam to be filtered much more effectively and following implementation 99% of spam e-mail is blocked before it reaches the Council network.

The solution has enabled Capita and the Council to retain full control over the associated rule and policy settings. In addition to significantly improving the e-mail service and freeing up network capacity, the solution is also more cost effective and has reduced the management overhead and associated costs, enabling the Authority to realise significant savings.

Google Apps Pilot

Within the first two months following Service Transfer we plan to implement a pilot to enable the Council to assess the impact of the Google Apps web based service on its business. This will allow us to jointly address any concerns regarding security, performance, usability and integration with existing business applications with the Council, before extending the Google service to all users in accordance with the Council's Information Security Policy. This will include managing the migration of the Council's user e-mail boxes to a cloud based Google mail service. Our proposal is that, subject to the outcome of the Google Apps Pilot, only users with secure e-mail requirements remain on MS Exchange.

As indicated in our commitment T1-11 we assume that Infosec will agree that Google Apps can be securely used by Council users. Recognising the fact that there will be a need in the foreseeable future to retain part of the Microsoft product set, and based upon our experience with Google and implementations at other councils, such as the London Borough of Hillingdon, we do not believe there will be any other significant obstacles to the introduction of Google Apps for the majority of users.

However, cloud based services will be continually evolving over the short and medium term and we expect to exploit this technology for the benefit of the Council. Should the pilot not be successful, Capita will re-evaluate Google and alternative cloud-based solutions to preserve the savings commitment included within our price.

Should it be determined that a cloud-based solution is not viable and we are required to upgrade the Council's existing on-premise solution, Capita will maintain the existing price and mitigate any cost exposure through better licence management and our ability to negotiate improved terms.

Remote Access Authentication Service

With the move towards increased remote and mobile working, Capita is experienced in implementing and managing solutions which will enable secure and controlled remote access. We will manage and support LBB's remote access solution (Citrix or VPN) which will enable authorised Council staff to securely access the Council's infrastructure and systems whilst working remotely or at client locations. We will manage the remote access solution in line with the Council's agreed Security Policy.

This solution will ensure that the Authentication Services enable Users to logon to any connected Access Device and securely access any applications, print services and data for which they are authorised. This solution will authenticate users, through their user name and password credentials, each time, before they interact with mission-critical data and applications and will ensure that User access is restricted to only those applications and services that they have access rights to.

Managing and maintaining secure user access across network (Active Directory)

Capita will proactively manage the Council's Active Directory infrastructure to effectively manage and maintain secure user access across the network. Access control and security measures will be maintained appropriately, ensuring compliance with the Council's defined security policy and accreditation. As a consequence, the Council's sensitive data will be appropriately protected, ensuring that its data security and protection obligations can be met in a manner that enables appropriately authorised staff to effectively do their jobs.

We are very familiar with supporting and maintaining Active Directory infrastructures and provide Access Management and Directory Services for all of its ICT Managed Service contract customers, supporting over 5,000 users on some contracts, such as Devon and Cornwall Constabulary and Gloucestershire County Council. Consequently, we have a wealth of experience in this area which we will bring to bear managing the Council's Directory Services infrastructure to ensure the effective management of information about the resources that users have access to, via the network infrastructure.

Our consistent approach will ensure that the Directory Services are available at the point of need and are configured, operated and maintained in line with industry best practice. We are also a recognised Microsoft Partner and will work closely with Microsoft in order to keep abreast of new technology advancements in this area in order to highlight opportunities for optimising the Active Directory services delivered and add value.

We will deliver a maintained and reliably managed Active Directory which holds accurate and relevant information about the Council's users and resources and is effectively integrated with the Council's HR starters, movers and leavers processes. This will ensure that access to the Council's ICT resources is effectively controlled such that those who are authorised to access them are able to whilst restricting access to unauthorised users.

Account Administration

Capita will deliver effective support for the Council's Active Directory infrastructure by using its appropriately experienced, skilled and professionally qualified (Microsoft Certified) engineers who have an excellent understanding of industry best practice. The service will be underpinned by tools-based monitoring and the deployment of our ITIL best practice processes, including Change and Access Management.

We will plan, implement, manage and maintain the Council's Directory Services infrastructure based on business need, organisation structure and industry best practice. During Transition, we will review the status of the Active Directory environment with the Council, in order to establish an agreed baseline at Service Commencement. This will enable us to identify any remedial work that may be required, and we work closely with the Council to define, document and maintain strategies and policies to effectively manage the Organisational Units and components (users, groups, computers etc.) of the Directory.

Our experienced support staff, best practice processes and good understanding of industry best practice will ensure that the Directory Services are managed effectively and hold accurate and relevant information. In doing this we will manage:

- **Account administration** – a defined process for new Starters covering the AD account, groups, distribution lists, network drives, roaming profiles, telephone extension, mailbox

- **Account administration** – a defined Leaver process including archiving mailbox/user data from network storage

- **Administration of Security Groups**

- **User Access Control** - Security groups, NTFS permissions, logon script, mailboxes access, distribution lists

- **Logical Structure** - OU structure, objects locations etc. Troubleshooting user account Problems.

We will ensure that the Active Directory and its ICT service management processes are effectively integrated with the Council's internal processes for starters, movers and leavers. This will ensure that access to all of the Council's ICT resources is effectively controlled, such that users who are authorised to access them can and unauthorised users cannot.

Capita will ensure the security within the Directory Services policies is appropriate. Any Changes to the related Directory Services policies will be controlled through Change Management, both in individual cases, for example relating to starters, movers and leavers; and collectively, where all members of a group require access to specific data or applications. These Changes will be dealt with as Service Requests, ensuring that changes to the directory structure and policies are auditable and accountable, in accordance with our ITIL best practice Change Management process.

Where new End Users require access to the Services, the Council will document the request using the Request for Change template and will detail the End Users or groups of End Users which require access to the service. The Access Management process will verify that all End Users are still valid. Verified End Users will be given access to the relevant IS services and systems, based on the execution of an agreed policy and rules which have been approved by the Council.

On an ongoing basis, we will remove accounts no longer required and ensure that the Active Directory design continues to align with the Council's business. This will ensure that access control and security measures are maintained appropriately and ensure ongoing compliance with the Council's security accreditation.

We will design and document a strategy for the underlying components such as placement of catalogue servers, flexible operations master role and the structure of the forest(s). We will also ensure the directory structures adhere to the defined standard (which will be regularly reviewed against both business need and industry best practice) and will monitor and manage the structures using our RMS tool set, automatically raising any Incidents and taking any remedial action required.

User interaction with the directory services will be made as transparent as possible, for example through optimising the login process, whilst ensuring compliance with the Council's security obligations.

As part of standard operational processes and through use of tools such as Active Directory, Capita will be responsible for the control and administration of passwords. We will add, delete, reset or change user accounts or passwords in accordance with the agreed Change Management process and ensure that users are automatically prompted to change their logon passwords in line with agreed timescales. This type of activity is core to all of Capita's Managed Service Contracts.

In summary, we will manage all aspects of Active Directory in conjunction with the Council, and following Microsoft best practice, to ensure that:

- Its integrity is maintained

- Its structure accurately models the Council's estate and staff

- Permissions and roles are accurate.

IP Telephony

As part of our overall telephony service, we will manage the Council's IP Telephony System – Cisco Call Manager, including:

- Extensions assignment administration

- Creating and maintaining call pickup groups

- Creating and maintaining call hunt groups

- Creating and maintaining extension profiles

- User access control

- Managing logical structure of phone profiles, diverts, mobility issues and general faults with using IP telephony.

2.15.3 SUPPORT FOR SUPPORTING PEOPLE INTEGRATED SYSTEM: IS15.03

Capita will support and maintain the Council's People Integrated System (currently SWIFT and ICS) to support Adult and Children's Services. In delivering support for this system, we will ensure compliance with all of the Council's specified requirements and ensure ongoing alignment/compliance with all relevant legislation including the Data Protection Act, central Government Policy, Council policies and Corporate Governance.

Support will also include the integration of this system with Wisdom EDRM and Outlook email, as well as the Business Objects management information and reporting software.

The service will be delivered in line with our ITIL best practice processes and our Application Management approach detailed in 2.13 Application Management and will encompass the following support activities:

- User creation and amendment/ deletion of records

- Security Administration including password resets and changes

- Account reporting

- Managing access controls to restrict user access to customer records

- Creation and verification of addresses for organisations and teams

- Support and maintenance of the chosen Adult Financials system to include:

  - Changing budget calendars

  - Setting up and creating Financial Years

  - Setting up Authorising Managers and Budget Managers

  - Completing queries related to the system including uplifts and changes using the Financial Administrator account

- Database Query System Configuration

- Processing system parameter Change Requests

- Table queries and updates

- System patch updates

- Application of vendor recommended administration amendments and tab configuration

- Completing Requests for Change for Oracle and Java

- System installations on desktop, laptop and tablet devices

- Supporting the People system client setup including full installation and local configuration setup.

We will undertake a number of related activities prior to the service transfer date in order to provide a secure and resilient platform for SWIFT. These will include undertaking an extensive discovery exercise on the SWIFT application (as a priority amongst the Council's other applications and services). The outputs from this exercise will enable us to make a more informed decision on what the best option(s) are to address any issues highlighted in the best way we can.

We will use the information to identify:

- The underlying issues causing the current problems

- Any 'quick wins' that can be implemented to alleviate existing issues.

It will also enable us to determine the design for the new SWIFT platform which will be implemented in the new Capita data centre. This resilient infrastructure platform

will include the installation of secure data circuits to connect LBB to the new data centre.

We will develop an initial migration schedule of all Council applications and services to the new data centre and ensure that SWIFT will feature as a priority.

Post the service transfer date we will:

▪ Test the migration process to the new data centre

▪ Migrate the SWIFT application as a priority in accordance with the agreed migration schedule – this is expected to be within three months of the service transfer date.

2.16 IS PROCUREMENT: IS16

We will provide a full ICT procurement function for the Council. This will be underpinned by our best practice procurement and supplier management processes to ensure that the products, solutions and services procured meet the Council's needs and provide best value for money. We understand that all aspects of procurement are expected to be managed via a partnership arrangement between Capita, the Council and the Council's partner agencies.

Please refer to our response to Commercial Management: IS04 above and the Procurement Method Statement.

We will ensure that all products and services provide best value for money and will utilise relevant OGC Framework contracts where appropriate.

Our procurement service will cover day to day procurement of hardware devices, software and consumables. We will set up and administer supply routes for requested purchases with defined or preferred suppliers, in agreement with the Council.

Additionally, we will support the Council in any major procurement activities; leading the procurement process on behalf of the Council should this be required.

All procurement activities will be underpinned by a set of predefined standards, documentation and best practice, including Capita's Supply Chain Management processes and our ITIL based Configuration Management, Request Fulfilment and Change Management processes, ensuring that each of the defined service outputs are met.

Capita has an experienced central procurement department with established procurement processes and procedures based upon ISO 9001/2. The department has adopted the Chartered Institute of Purchasing and Supply (CIPS) code of ethics in purchasing and its procurement officers are professionally qualified members of CIPS. This department will support the service delivery team and provides an expert service on behalf of our customers, enabling best value solutions to be sourced to meet business objectives. Incentivised on financial savings, our procurement specialists seek out savings for all contracts, not only for start-up assets, but through the lifetime of the contracts.

We utilise a comprehensive ITIL based Service Asset and Configuration Management (SACM) process to record all hardware and software purchases, maintaining information to component level. This process facilitates the reuse of redundant equipment, maximises asset value and reduces equipment and component disposal.

Service Scope

As part of a full ICT Procurement Function, our services will encompass the following:

- Defining an ICT Products and Services catalogue

- Development of a portal to access the catalogue, fully integrated with the self-service portal and our service management tool

- Procuring value for money hardware and software products and services

- Constantly reviewing the market place to ensure that the Council is getting value for money and keeping abreast of product and technology trends

- Advising on opportunities to make savings

- Ensuring that all hardware, software and services purchased comply with the Council's policies and standards

- Ensuring that products comply with current legislation, including environmental legislation such as the Waste Electrical and Electronic Equipment (WEEE) Directive

- Maintaining a database of preferred suppliers

- Monitoring and managing delivery of goods

- Preparation of equipment for use

- Installing equipment - where necessary co-ordinating the installation of equipment that has been delivered at different times from different suppliers, for example a Desktop and a Printer

- Managing buffer stock to agreed levels

- Effective and timely maintenance of the Configuration Management System (CMS) to ensure that all Configuration Item (CI) records are updated when new or replacement assets are received, including warranty details

- Effective utilisation of all hardware assets and software licenses to reduce any unnecessary expenditure.

Where it is in the best interest of both the Council and Capita, procurement will be undertaken through the Partner Consortium, to leverage the cost savings associated with such an approach. We will manage this procurement on behalf of the Council. However, through a number of partnerships and industry experience, we have a number of trusted suppliers that can deliver significant discounts due to our strong

relationships. If it transpires that the latter option is cheaper and delivers greater value to the Council, then this method of procurement will be undertaken, rather than resorting to the Partner Consortium. Effective communication will ensure that the Council are fully aware of the choices available and then we can act to procure on the Council's behalf.

Support for ICT Procurement Initiatives

Capita is very familiar with local government procurement mechanisms and will provide effective support to the Council throughout any ICT procurement initiative. Working closely with the Council throughout the entire procurement process and if required leading this process on behalf of the Council, Capita will:

- Ensure we understand the Council's business needs

- Analyse and define the associated requirements

- Carry out feasibility studies to highlight potential solutions and determine the expected benefits

- Create any required procurement documentation at each stage, for example Request for Information (RFI), Request for Proposal (RFP), Invitation to Tender (ITT) to define the requirements for a potential solution

- Carry out a formal and comprehensive evaluation of supplier responses based on the agreed pre-defined criteria

- Select an appropriate solution, in consultation with the Council.

Once the solution has been selected, we will support the Council in negotiating contracts and then planning and implementing the solution. This will include the installation of hardware equipment and software, before integrating the solution with the existing infrastructure and systems, testing the installation against pre-defined acceptance test plans and criteria and identifying and carrying out any training needs. Each of these activities will be carried out in line with the agreed processes and standards.

On completion of any procurement, we will carry out a post implementation review and issue a report, highlighting any recommended actions.

Service Catalogue

Based on discussions with the Council, we will compile a Catalogue of standard products and services that will contain information about the services that can be requested and a straightforward means of obtaining day-to-day items. Proper creation and subsequent maintenance of a catalogue will ensure high quality product and service data is readily available and will limit purchase order and invoice discrepancies.

The Service Catalogue will be accessible by the IS department and the business as a whole and consequently will be written in language that is easy to understand, especially the product or service description which should be high level and non-technical.

Each entry within the Service Catalogue will typically include:

- A description of the product or service

- Timeframes or SLAs related to fulfilment

- Who is entitled to request the product or service

- Costs if applicable

- How the product or service will be delivered.

Any changes to the scope of goods and services will be managed by the agreed Change Management process, which is available online.

We use standard builds for desktops, laptops and user equipment in order to reduce costs and support requirements.

Consequently, far less Council staff time is taken up with procurement assessment and decision-making and the major products and systems selected will be conformant with the Council's ICT and business strategy such that they effectively support the Council's business transformation.

The products, ancillaries and consumables will be agreed with the Council and reviewed on an annual basis with published, market tested pricing. Capita will deliver catalogue orders to user locations within an agreed time frame from receipt of an authorised order.

Self Service Portal

We will establish an on-line process which will enable Council users to procure the services and products in the catalogue through the Self Service Portal. Authorised users will be able to send requests by email to a dedicated address or complete a self-service form on the portal. Requests will be logged and a unique identifier generated and emailed back to the user. The user will then be able to track progress through a browser.

Following discussion with the Council, we will provide access to an e-Procurement portal, with appropriate products covering ICT hardware, software and consumable items from leading vendors onto which Council will be able to place orders.

Capita has extensive experience in the delivery of on-line procurement and fulfilment and has introduced centralised and controlled procurement processes to many of its customers, where streamlining of these processes has achieved significant savings.

Product Selection

Capita understands that a proactive approach to product selection is essential to the management of an ICT estate and will therefore provide advice and guidance on product selection. Where appropriate, we will facilitate technology briefings with key vendors and suppliers to allow the Council to gain an understanding of the options available for them in terms of procurement.

We will check the detailed technical specification provided by the supplier for each product to ensure that it meets the required 'Buy Sustainable Quick Win' mandatory minimum technical specification. We will only select products that meet at least the mandatory minimum product standard.

Our Procurement Department regularly engages with each of Capita's Customer IT Service Heads and Service Delivery Managers to test the market in key areas of expenditure, particularly for sub-contracted services. A major client of CISCO, HP, BT and many other significant vendors, Capita is able to generate substantial savings, on behalf of our customers.

Where appropriate, the Council will benefit from the savings made by Capita through leveraging our significant purchasing power. The Capita Group as a whole negotiates with significant vendors in the technology community on a global basis where this adds value to its customers.

Supplier Selection

Capita has a rigorous supplier selection and management process in support of its procurement of products and services. As part of our accreditation to the ISO/IEC 20000 standard for service delivery the supplier management process includes a comprehensive evaluation of suppliers, including their sustainability credentials. Our supplier approval process is shown below:
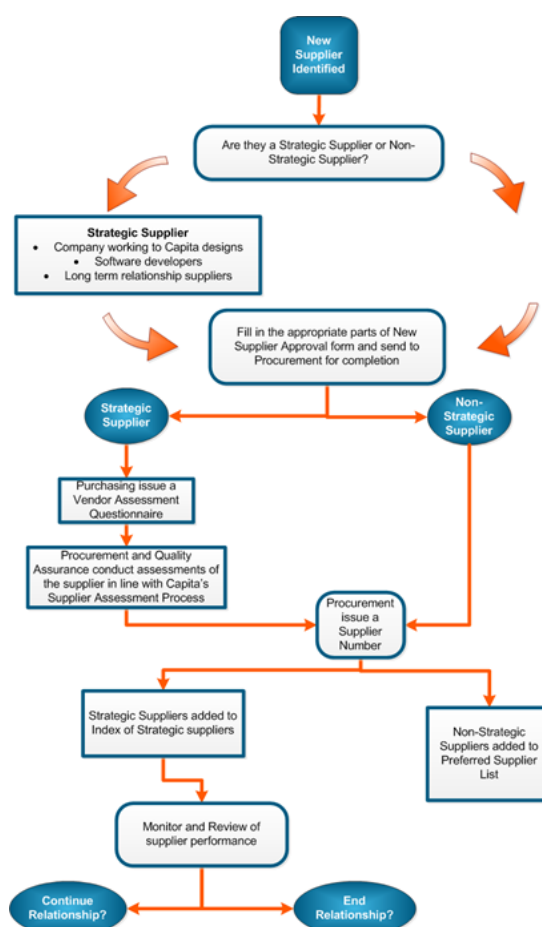

Figure 40 - Capita's Supplier Approval Process

Capita only sub-contracts to well-known, respected companies, operating an Index of Approved Suppliers (IoAS) and a rigorous vetting procedure including Dun and Bradstreet checks, reference checking and competitive tendering. A Vendor Assessment Questionnaire requests detail of policies in essential areas such as sustainability and management practices, to ensure the supplier is culturally acceptable to work with. Areas of assessment include:

- Financial status

- Company turnover

- Market presence

- Health and safety

- Environmental practices

- Scalability, performance and resilience

- Security

- Geographic location

- Employee development

- Partnership approaches offered.

The demanding supplier selection process is in place to ensure that the most appropriate suppliers are selected and that goods are purchased at the optimum cost. Suppliers are approved against stringent standards and managed actively by the Procurement department, leveraging economies across contracts where possible and taking advantage of framework agreements where available and cost effective.

Supplier audits provide a detailed supplier appraisal and we also take up references. An assessment of the supplier's quality systems may also be arranged. Capita selects suppliers that exhibit 'best practice' approaches in key disciplines including:

- Service Management (ITIL/ISO 20000-1)

- Quality (ISO 9001:2008)

- Information Security (ISO 27001)

- Environmental (ISO 14001)

- Health and Safety (ISO 18001, ROSPA, CHAS)

- Project Management (PRINCE2).

The supplier should also demonstrate compliance, evidenced where appropriate through independent assessments, with legislation including:

- Data Protection Act (DPA)

- Electromagnetic Compatibility legislation (EMC)

- Waste Electrical and Electronic Equipment Directive (WEEE) and Reduction in the use of Hazardous Substances (RoHS).

Regular supplier price benchmarking underpins the delivery of long term value-for-money to Capita's customers. Capita monitors and measures the performance of suppliers in the same way that it expects to have its own performance measured. Supplier performance metrics are captured within the RMS service management suite and reported on in the monthly service reports/reviews.

Environmental Responsibility

Capita strives for an environmentally sound supply chain and ensures that it sources vendors and ICT hardware in accordance with its Sustainability Policy. Suppliers are required to provide details of their environmental management standards and where appropriate have to meet the ISO 14001, EMAS (Eco-Management and Audit Scheme) or equivalent standard. Suppliers who do not have an appropriate accreditation but have a detailed programme to achieve the standard may be included.

The supplier questionnaire is used to determine if Suppliers undertake any formal energy saving practices with set targets for monitoring, including:

- Evidence of reduction of energy consumption and CO2 emissions

- Packaging, and waste reduction initiatives

- IS equipment management and disposal.

Suppliers are also checked for similar provisions of environmental performance of their own supply chain via a questionnaire or other verification methods.

The procurement emphasis will be upon purchasing products from suppliers that are able to demonstrate market leading environmental practices and credentials, with documented evidence of power consumption, heat emissions and manufacturing practices embodying protection of the environment. As an example, Capita ensures that recommended products meet any required sustainability legislation and as an example prioritises products with Energy Star** or EPEAT®*** Silver rating or higher and their equivalents.

Products or services from Capita's suppliers falling under the scope of environmental legislation such as WEEE and RoHS regulations are required to confirm their registered status with the Environmental Agency as a compliant producer, or their own registered scheme. Suppliers are reviewed on a periodic basis to confirm their continued compliance, ensuring that hazardous materials are disposed of responsibly.

Performance of suppliers in the supply chain against the contracted Service Levels is measured at agreed intervals to ensure that Capita's commitment to its customers is upheld and exceeded whenever possible. This ensures that our customers receive a seamless, professional and aligned solution where all parties understand each other and can work in harmony to guarantee service delivery. Capita's Procurement Team

use a dedicated toolset to monitor the 'Market Channel Buy Price' of commodities on a daily basis to maximise cost savings opportunities with Supply Partners and Distributors. Third party vendors have their pricing benchmarked by Capita against prevailing market conditions throughout the term of the contract.

2.17   SERVICE - SPECIFIC REQUIREMENTS: IS17

2.17.1 SPECIFIC REQUIREMENTS: IS17.01

We can confirm that we will meet all of the Council's requirements relating to service-specific requirements.

We will continue to meet the specific ICT requirements of the various areas of the Council that are identified. We will deliver these services as integrated components of the overall ICT service delivery approach to ensure that they get the appropriate attention and can be resourced appropriately, drawing upon specialist resources from across Capita plc as and when required. Bringing these services under the umbrella of the overall ICT Governance, Strategy and Service Delivery means that it will be possible to optimise and improve their delivery.

2.17.2 ADULT SOCIAL SERVICES: IS17.02

The Applications used to provide services for Adult Social Services will be fully managed using industry best practice guidelines by Capita, as defined in IS13 Application Management. In doing this, we will continue to support the Council in meeting the relevant national Indicators for local authorities. These include NI 132 (Timeliness of assessments), NI133 (Timeliness of packages), NI127 (Self-reported experience of social care workers or any similar indicators that may be introduced to replace these during the contract term. For further information in respect of our IT proposals for ASCH, please refer to the ASCH IT Project PID.

We have considerable experience in the delivery of ICT based shared services, especially in the local government sector. Consequently we are more than willing, and crucially able, to design a solution in collaboration with the Council that would involve joint-working initiatives, encompassing a combination of local authorities, partners or private companies.

There are considerable benefits to be gained from adopting a shared service model, the prime benefit being the economies of scale that are achievable, thereby realising significant cost efficiencies.

Two examples of our experience are the shared service contracts held with:

▪ The London Boroughs of Lewisham and Bromley

▪ Essex Councils - Castle Point BC, Rochford DC, Colchester BC and Braintree DC.

Our contract with the London Boroughs of Lewisham and Bromley also involves the engagement with and management of all private companies that act as third party suppliers, for example we undertake the management of the supplier responsible for web hosting and management. This management of third parties is a feature of the majority of our contracts to a greater or lesser extent and creates ease for the Council in the sense that the number of individuals that need to be engaged with to undertake service delivery is reduced.

We also have considerable experience in the emergency services market where we are the leading supplier of solutions in the UK, with fifty one Police Forces, twenty two Fire and Rescue Services and all the Ambulance Trusts in England, Wales and Scotland. A range of solutions and services are provided including Managed Radio Services, Command and Control solutions, Case and Custody solutions, Secure Mobile Data Solutions and Integrated Communication and Control Systems (ICCS). This enviable position as leading supplier is aided by an ability to provide solutions across a considerable geographic area that involves a large number of clearly distinct bodies.

2.17.3 CHILDREN'S SERVICES: IS17.03

Please refer to our response to 2.17.2 Adult Social Services: IS17.02 above.

As part of the wider Capita plc, there is also proficiency in Children's Services which can be drawn upon to benefit the needs of the Council. As part of Capita Children's Services, Capita One supports Local Authorities in their aim to create a holistic single view of 'a child' to improve decision making, and enable early intervention and prevention.

2.17.4 DEMOCRATIC SERVICES: IS17.04

Capita recognise that there will be a number of Council activities over the contract term that will require significant additional support and as part of the encompassing service delivered to the Council, we will provide any required IS support to facilitate the effective delivery of Local and General Elections or any other electoral processes which the Council is required to support.

In order to ensure that this support is undertaken in the most beneficial way for the Council, and that the quality of the day to day operational services is not impacted, our solution includes the provision of dedicated resources to support the related IS/ other defined support activities as outlined in the Output Specification document, as well as the provision of suitable desktop PCs. This support will be provided to cover the next General Election and other elections that may be undertaken during the contract term.

We provide support for General and Local Elections on a number of our contracts, often above and beyond the contract scope. As an example, we provided extended support for the London Borough of Lewisham to ensure the smooth running of the complete electoral process. This involved staying until all postal votes had been scanned and counted and supporting the desktops until all the necessary activities to make the election a success were over.

For Birmingham City Council, in the run-up to the 2010 elections, Capita took over the call-handling activity for the 12,000+ phone calls traditionally received each year by the elections office. Using the CRM system, combined with direct access to the Register of Electors via new software, contact centre advisers were able to answer around 80% of all questions, with elections office colleagues on hand to deal with the more specialist queries. We now have the capability to deal with enquiries ranging from queries about voter registration forms, poll cards and the register of electors, to postal voting and applications for jobs as canvassers and Election Day staff.

2.17.5 CAFT: IS17.05

We are accredited to ISO/IEC 27001:2005, the Information Security Standard and have in place a rigorous and comprehensive Security Policy Framework that details how staff should use the intranet, internet and email systems, which also clearly sets out what is not acceptable and what actions will be construed as gross misconduct or a breach of security.

We will monitor and manage all user access in line with the Council's Information Security Policy and Standards and support the Council when required in monitoring and auditing staff that may be subject to investigation for breaching any of the Council's ICT usage policies.

Specialist applications and systems will be put in place to both monitor and record all employee usage; web sites visited, email messages sent/received and files transferred both into and out of the networks. These systems will be fully audited and the combined results and subsequent history strengthening the integrity of the systems and improving the results of any future investigations.

In this age of increased reliance on digital technology in all its manifestations, we understand that heavy restrictions on internet usage can actually hinder staff and have therefore adopted a policy of encouraging staff to use the systems available to them in a responsible manner, as long as Council and legislative policies are not breached. To ensure compliance a set of documents has been created to cover the use of ICT, covering the following areas:

- E-mail

- The internet

- General Acceptable Use including security (e.g. Passwords)

- Clear desk/screen

- Mobile computing

- Computers and the environment.

We have defined unacceptable use as covering but not limited to the following:

- Any use of ICT resources, including the Internet, that contravenes any legal Act (such as, the Data Protection Act; the Computer Misuse Act 1990; the Copyrights, Designs and Patents Act and the Obscene Publications Act)

- Anything that contravenes any internal Council policy (in particular, policies on Information Security; Employee Codes of Conduct, Equality and Diversity, or Respect and Dignity at Work)

- Any use of ICT resources that contravene the general expectation that the user will maintain the confidentiality of any sensitive information they access, see or hear whilst performing their duties.

We use automated toolsets for monitoring for the legitimate purpose of ensuring compliance with legal requirements, policies and guidelines to protect the integrity of the ICT systems and the Council against the risk of civil and criminal actions.

2.17.6 LIBRARIES: IS17.06

The Libraries Management System (LMS) will be fully managed using industry best practice guidelines by Capita, as defined in IS13 Application Management. This will include:

▪ Procure consumables, manage central stock and carry out timely replacement to 16 libraries to ensure service continuity, for the following items:

  ▪ Printer cartridges and toners

  ▪ RFID till rolls

  ▪ Library membership tickets

  ▪ DVD Safer cases

▪ Manage central stock of stationery for printing overdue notices to customers for use in the NLBP document centre

▪ Administration of the Libraries Management System (LMS) currently Vubis

▪ Smart, including:

  ▪ User admin - administer user logins and permissions

  ▪ Master Data maintenance -bibliographic data transfer. (Quarterly purge of old title records for which no stock is held. Purge old, inactive borrower records annually. Purge old fines below specified limit annually.)

  ▪ Ad hoc administration - delete locked item records daily and release blocked orders as required

  ▪ Interfaces and EDI - run invoice/SAP interface procedure daily

  ▪ Delete old orders and invoices as and when required. Set up and maintain details of suppliers and trading relationships. Load EDI quotes daily

    We have extensive experience in delivering support to a variety of Library management systems, including Vubis Smart, to our other Local Government contracts, both technical and administrative. Pulling on these experiences we will look to drive efficiency in the delivery of this support where possible

  ▪ Create EDI orders files daily. Daily ftp transfer of files from and to the Vubis server and import and export transactions

  ▪ Service development - supplier liaison (Infor), training, documentation

▪ LMS Reporting and Management Information

- Ad hoc - reports requested by libraries management (generally to provide strategic analysis as opposed to operational reporting)

- Quarterly

- Annual (including CIPFA return)

- Non-LMS statistical reporting - production of statistics and management information on the use of People's Network and public systems.

We are willing to provide a service to meet the requirements of the Council, which will be delivered by our on-site team. Activities and their scope still need to be further defined but are likely to include the procurement of consumables, management of central stock and the timely replacement of the following items:

- Printer cartridges and toners

- RFID till rolls

- Library membership tickets

- DVD Safer cases.

We will also undertake the management of a central stock of stationery for printing overdue notices to customers, for use in the NLBP document centre.

2.17.7 SCHOOLS ICT: IS17.06

We will continue to deliver the existing schools ICT services and, in addition, develop these services in order to offer a wider range of ICT traded services through the Service Catalogue as part of a broader portfolio, including HR, Finance and Estates services.

During the first 12 months of the contract, we will refine the existing service model in order to implement the optimum service model for the provision of the schools ICT service. To encourage uptake of the ICT traded service, we will offer incentives to encourage schools to take up services. For example, offering an incentive for tenure – a discounted price if schools take up the service for three years rather than one.

Our plan is to increase the number of schools which use the ICT service and for those already taking services we will look to increase the services they buy. To achieve this, we will provide Account Managers who will work across all traded services within the schools to discuss and promote our service offerings. In addition to personal visits to schools by Account Managers, we will adopt a marketing campaign approach, which will include email, phone calls and telemarketing.

Our Schools Portal will provide access to the Schools Traded Services Catalogue, with prices, contract details, service level agreements and an easy to complete ordering mechanism. In addition to this, the Schools Portal will include self-help and self-service capabilities.

Our vision for providing secure, high calibre, innovative ICT services to schools will include the following deliverables:

- Connectivity and Internet Service Provision

- ICT support for the whole school

- Administration support

- Hardware warranty support

- Portable Electrical Appliance Testing

- Integrated learning platform

- IS catalogue procurement.

The implementation of the revised service delivery model for the schools ICT service will also deliver a number of improvements across the services. The specific ICT service improvements available for schools **at no additional cost** will include:

- Self Service Schools Portal for recording of Incidents and ordering of services

- Extended Service Desk access times –- in line with our overall IS service provision, users will be able to log calls with the service desk 24/7/365 (excluding English bank holidays). Calls logged outside the core service hours will be actioned the following working day

- Printers included in fix time

- 3rd party management of curriculum apps (not just Microsoft)

- National benchmarked hardware pricing for new implementations – Admin and Curriculum

- Projects will generally be undertaken by a separate team - however, should the expertise and skills of these staff be required on a specific project, we will ensure that the quality of day to day service delivery is not compromised at any time and will backfill these staff if necessary to ensure that there is no detrimental impact on service levels

- Support for SIMS as well as RM Integris/RM Finance (or other alternative)

- The current Gold Service excludes a number of service areas. Our proposed equivalent service will result in the following being included:

  - Provision of advice and guidance to staff

  - Provision of advice and guidance to students

  - Support for writing and editing school ICT policies

  - Minor programming changes to websites*

  - Updating the schools ICT inventory when new software and hardware is procured

- Minor changes to cabling infrastructure*

- Minor reconfiguration of servers*

- Minor system configuration changes to software applications under a support contract maintained by a third party (where this is permitted by the 3rd party)*

- Procuring software and hardware

- Technology Innovation days in Barnet/for schools

- Access to Capita Customer Groups to share experiences.

*All proposed changes will need to be evaluated and authorised through the agreed Change Management process. Wherever possible, we will endeavour to implement minor changes using the core delivery team at no extra cost. However, where this would impact the quality of the service provision, or the changes need to be implemented out of the core hours/ require specialist third party input, these will be chargeable as projects.

Performance will be reviewed on a regular basis and reported back to individual schools. We propose to align the timing of delivery of performance statistics to the level of service taken by schools (or clusters of schools), with those taking a small set of services receiving performance reports on an annual basis, those taking a medium set of services receiving reports on a term by term basis and those taking a large number of services receiving reports on a monthly basis.

2.18 EXIT STRATEGY

We will co-operate professionally with the Council and/or its replacement contractor(s) on contract termination and will perform the required service Exit activities in accordance with the agreed Exit Plan, as defined within Schedule 18 and to ensure the common objective of a seamless transfer of services is achieved.

We will openly participate in any exit planning activities in order to achieve an effective, controlled service transfer, effective systems migration and the segregation of the Council's technology components from those technology components operated by Capita or our sub-contractors. In support of this we will draft a comprehensive Exit Plan when the new contract begins. The Exit Plan will be maintained throughout the contract term and will be reviewed and updated annually (in the first month of each Contract Year) to reflect any changes in the services delivered and issued to the Council for review.

The Exit Plan will outline our proposed methodology and will identify the processes that will be deployed and associated activities and deliverables. Capita's overall Exit obligations are detailed within Schedule 18 but specific activities relevant to the transfer of the IS service will include:

- Management of third party contractors and where appropriate, novation of third party contracts to the Council/new supplier

- Support for discovery exercises, including provision of asset information

- Decommissioning and transfer of assets to the Council/new supplier

- Historic data transfer

- The transfer of any required documentation supporting current service delivery (including detailed working practices and processes)

- The novation of licences and other agreements held in Capita's name to the Council/new supplier, in accordance with any relevant contractual obligations

- Training plans including on the job training for key members of the Council or a new supplier's personnel in direct connection with the continuation of Services

- System access and testing for the new contractor, subject to availability and impact on Capita's contractual SLA obligations

- Decommissioning of any necessary systems and technology infrastructure components

- Removal of systems access from Capita staff.

A high-level overview of the key Exit Plan milestones for a typical IS Service Contract, which would be incorporated within our overall Exit Plan, is illustrated below:
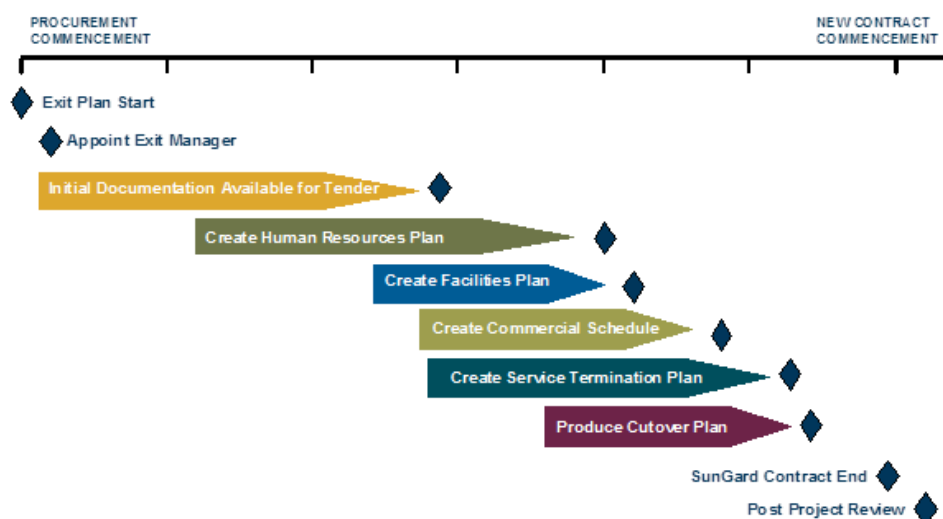

Figure 41 - Example Exit Plan showing high level milestones

The final Exit Plan and timetable will be under joint responsibility between the Council and any new supplier(s) and will facilitate an orderly, controlled transfer of the services provided by Capita.

3   STAFF

Capita recognises that a vast amount of experience and knowledge exists within the current teams delivering IT Services to the Council. We have an excellent record of TUPE staff transfer when taking on contracts and will always seek to retain valued staff. We will also augment the existing team with a number of key roles including Service Management and Governance.

During transition to the new service, we will ensure that all staff forming the LBB Service Team (including transferring staff) will have received appropriate training and

will have been through the Capita Induction Programme. This will provide a sound foundation for staff so that they understand the Capita approach to service provision and adopt the Capita ethos of ensuring provision of service excellence to our customers. We will also provide Contract specific training so that all first, second and third line staff are aware of their responsibilities and are fully briefed on the performance levels that we have to attain.

We firmly believe that our hybrid model of service delivery offers the best levels of personal service whilst providing a cost efficient service. We will utilise services, including out of hours coverage, from its Enterprise Services (ES) division based centrally at Chippenham. The first point of contact for any user will be the Capita Service Desk located at these locations. Capita operates this federated Service Desk model to ensure that in the unlikely event of either site suffering a service affecting event the other location can continue to provide a service to our customers.

The local, onsite teams will provide the benefits of immediacy and familiarity to the Council's users. The onsite team will include deskside support, service management and development functions, application management and administration. Having the team onsite will provide the Council with a service that is responsive, approachable and able to deliver whilst also limiting the amount of office space required by having some of the service functions and processes provided by the central ES teams. Capita will work with the Council to ensure that the balance between centrally delivered services and onsite teams is managed to provide the most effective and cost efficient service to the Council. The Capita Service Delivery Manager will have responsibility for ensuring that the service meets the Service Levels and that the team is deployed in the most efficient manner.

3.1 EMPLOYEE DEVELOPMENT

Capita seeks to instil the following qualities in every employee:

- **Customer Focused** - an ability to understand our customers, their business and their customers

- **Service Orientated** - an inherent desire to help people and to solve problems

- **Listening Skills** - the ability to listen, absorb, understand, interpret, question and feedback appropriate information

- **Clarity of Voice and Thought** - the ability to communicate clearly and be understood

- **Reliability** - to consistently meet/ exceed customer expectations.

These qualities, coupled with a strong focus on the retention and development of skilled and experienced staff are very important to successfully delivering and maintaining a high quality service.

We are committed to developing the skills and competencies of our employees and will provide opportunities for career development Transferring Staff, as well as providing them with ongoing support to develop new skills and competencies to complement their existing capabilities. In recognition of the professionalism of our employees, we will also encourage them to gain relevant professional qualifications

and accreditations in such areas as Service Management (ITIL), Project Management (PRINCE2) and Technology (e.g. Microsoft).

We will implement a competency based development programme for all staff engaged in delivering the IS Services to the Council in order to ensure their skills and specialisms are developed.

As detailed with our Transition Method Statement, a training needs analysis will be undertaken via discussions with all Council employees transferring to Capita, and their supervisors, in order to identify any gaps in the technical knowledge required to provide the current and enhanced service to the requisite standard. Once each employee's individual training and development requirements are fully understood, a detailed personalised training and development plan will be developed. This will feed into the individual employee's objectives as part of Capita's Performance Appraisal process, which will be reviewed and maintained throughout the contract term.

All employees will participate in an annual appraisal system for performance management and development. This will ensure that their performance is measured against the competencies and skills aligned to their current role and will highlight any additional required training and development aligned to their existing role, as well as supporting future career development opportunities.

3.1.1 CAPITA ACADEMY

The Capita Academy and Capita Manager Academy cover both key business skills and leadership skills and have been tailored to meet the specific needs of Capita as well as provide access to over 100 general business and management skills programmes. Capita's model has been developed to help staff and their managers identify a challenging yet achievable career path that is tailored to the individual. The Capita Academy is a suite of courses designed to help all members of staff effectively apply the skills they possess, as well as create opportunities that allow them to learn new expertise and to develop in Capita's working culture. Capita puts learning and development at the centre of its employees' career progression at Capita and wants them to feel fully equipped to meet the challenges of their role, plus make the most of any opportunities that come their way. The courses are divided into two learning sections to reflect whether they are essential to the employee or whether they are part of their personal development.

The Personal Development courses are a range of over 100 optional courses designed to help Capita employees' advance and extend their skills and knowledge. These courses focus on seven main areas of personal growth: Learning and Development Tools and Techniques; Learning and Development Management; Human Resources Development; Professional Development Programmes; Skills Development; Service Excellence; Project Management; and Communication.

The Capita Manager Academy is a suite of courses designed to give line managers and supervisors the skills and tools they need to help them understand the Capita way of doing things, support them in their role as a Capita manager and integrate them into Capita's culture. Additionally, there is an option within the Capita Manager Academy to gain a nationally recognised qualification - ILM Level 3 Award in First Line Management. The Capita Manager Academy is arranged into three distinct learning sections; the Essentials, the Capita Way, and Personal Development; which offer the Capita managers clear development opportunities specific to Capita.

4 SUPPORTING TECHNOLOGY

4.1 TOOLSET

Capita will utilise a number of specialist software tools to support the delivery of the services for the Council. These tools will provide effective support and will be aligned to ITIL best practice service management, enabling us to provide proactive support services, minimise issues and facilitate the timely resolution of Incidents and Service Requests.

This integrated toolset includes:

SERVICE AREA	TOOL TO BE UTILISED
Automated Call Distribution	Capita Central Avaya VoIP Telephony
Service Desk	RMS Service Desk Central Solution To provide the Help Desk functionality, facilitate the delivery of Incident, Problem and Change Management processes and support Service Asset and Configuration Management
Password Self Service	Forefront Identity Manager
Configuration Management System	RMS Service Desk Central Solution
Event Management	System Centre Operations Manager (SCOM) – Applications/Servers To provide server infrastructure and application monitoring and alerting to support Event Management, Capacity Management and Availability Management SolarWinds - Networks To provide full network management and monitoring functionality and support Event Management, Capacity Management and Availability Management
Automated Asset Discovery and Management	Centennial Discovery
Software Licence Management	Snow To support comprehensive software licence

SERVICE AREA	TOOL TO BE UTILISED
	management
Capacity Management	System Centre Operations Manager (SCOM) - data centre applications/servers, To provide server infrastructure and application monitoring and alerting to support Event Management, Capacity Management and Availability Management SolarWinds (Networks) To provide full network management and monitoring functionality and support Event Management, Capacity Management and Availability Management
Availability Management	System Centre Operations Manager SCOM - data centre applications/servers, To provide server infrastructure and application monitoring and alerting to support Event Management, Capacity Management and Availability Management SolarWinds (Networks) To provide full network management and monitoring functionality and support Event Management, Capacity Management and Availability Management
Remote Support Desktops	Bomgar To provide remote control and support capability to end-user PC devices
Remote Support Servers	RDP To provide remote server support
Patch Management	Microsoft WSUS \ HP SIM
Document Management	Microsoft SharePoint
Reporting	RMS, Crystal Reports

SERVICE AREA	TOOL TO BE UTILISED
Device Management	Microsoft System Centre Configuration Manager
Application Delivery	Citrix/ AppSense Microsoft System Centre Configuration Manager
Anti-Virus Protection	Symantec MessageLabs
Knowledge Management Tool	Transversal

4.2 DATA CENTRE

Following Transition, Capita proposes to migrate the Council's existing data centre infrastructure to our Spring Park Campus in Corsham, Wiltshire as part of our planned Transformation Programme.

We will decommission the existing Council data centre and establish a new primary data centre hosting service in our highly secure and efficient Spring Park Data Centre, carrying out additional server virtualisation where feasible.

Our purpose-designed, state of the art and highly efficient Spring Park Campus provides the facilities and services that are expected of a data centre facility which provides services to both public and private sector organisations which operate in mission critical and highly secure environments. The data centre infrastructure and environment is described in 2.10.6 Data Centre Management: IS10.06.

5 PERFORMANCE MANAGEMENT, REPORTING AND QUALITY ASSURANCE

5.1 PERFORMANCE MANAGEMENT AND REPORTING

Capita will monitor and measure performance on an ongoing basis and provide comprehensive service reports each month which demonstrate our performance against the agreed SLA. We will tailor our Performance Management and Reporting process to meet the Council's planning, monitoring and reporting requirements through implementing a range of support and monitoring tools, the output from which will feed into the regular service reports (both paper and electronic).

Our toolset will monitor and report on system performance against the agreed metrics, raising automated alerts as required. We will assign these alerts to the appropriate support team to relieve performance degradation and identify where we consider investment is required in the underlying infrastructure to facilitate this.

KPIs relating to the IS Service are included within Schedule 4 and these will underpin Service Level Management and Performance. To prove achievement against these measures we will create periodic reports from the information captured in our service management toolset. The specific content and format of the reports will be agreed during Transition to ensure they provide the level of granularity required. Where

appropriate, we will present information graphically to clearly illustrate trends and statistics. Additional ad hoc reports can be also be produced.

We will also publish information via SharePoint or a similar collaboration tool, which will provide on-line access to information related to KPIs, Risk Management and Action Planning. Our approach to reporting is specific to the contracted KPIs and we promote a two level approach.

5.1.1 LEVEL 1: SERVICE REVIEW REPORT – FOR COUNCIL MANAGEMENT

The monthly Service Review Report will provide direct information about the KPIs, the service performance levels and the service penalties. The data will be automatically collected to generate the monthly service reports.

An Executive Summary will provide key highlights, trends and comparisons over preceding months. Trending information will be available against a number of metrics, including Incident and Problem Management; Escalations and Complaints; Service Requests; Change requests; Capacity and Availability Management; Service Forecasting; Planned and Unplanned event support; Service Desk volumes/closed Incidents and nature of service requests.

5.1.2 LEVEL 2: DETAILED SERVICE REPORTING – FOR OPERATIONAL MANAGEMENT/FUNCTIONAL SERVICE AREAS.

Examples of the dashboard information Capita can provide in the monthly service reporting pack are shown below:
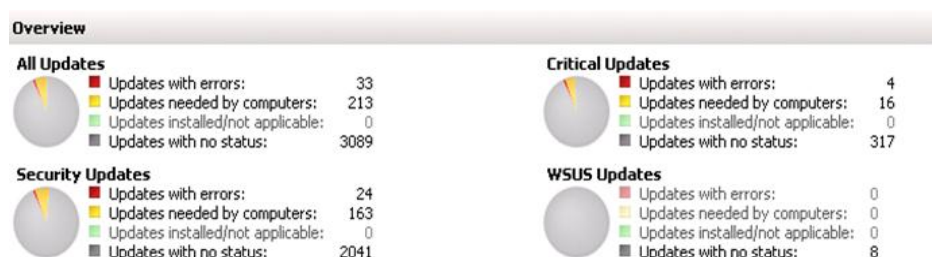

Figure 42 - System Updates Dashboard
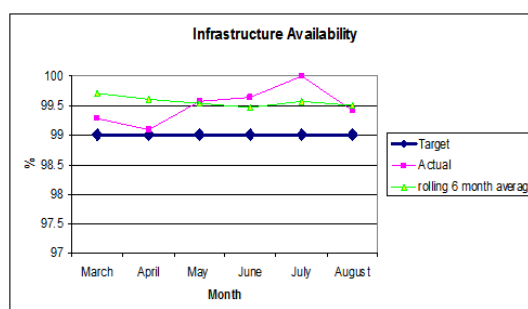

Figure 43 - Infrastructure Availability Dashboard

If the indicators show downward trends in any service element, we will also provide remedial action plans that show what we will do to mitigate the risk or improve the service.

In addition to the monthly service reports, we will provide an annual contract and service report one month after each anniversary of the contract start date. The report will be provided not less than 10 working days prior to the annual review meeting.

We will agree the format and content of this report with the Council and it will summarise the scope and level of Capita's services over the previous year and detail improvements and planned changes. This will feed into the Annual Service Review to determine if the services are still appropriate. Any subsequent contract changes will be dealt with via the Change Control procedure.

5.2 QUALITY MANAGEMENT

Capita's Quality Management System (QMS) is certified to ISO9001:2008 and will apply to all work undertaken. Our QMS provides a framework of policies, standards, procedures and work instructions within which all services, projects and product activities are managed and controlled.

Capita is certified to the following quality standards:

ISO9001: 2008 - Quality Management Systems

Capita is a quality-based company. It is registered to and operates an approved ISO9001:2008 Quality Management System, which includes TickIT. This registration was initially assessed by BSI from 1993 until March 2001, and by British Approvals Board for Telecommunications since March 2001 until August 2007. Since that date LRQA have provided the assessment service.

Registration Number: LRQ 4004055/A

ISO 20000-1 – IT Service Management System

ISO/IEC 20000-1 is an international standard specifically aimed at IS Service Management. It describes an integrated set of management processes for the effective delivery of services to the business and its customers.

Capita has achieved certification to ISO 20000-1 for 3 programmes and continues to seek accreditation for further services. Current accredited services are:

- IT Service Management System for NSPIS Case and Custody (provided as a case study) – May 2011

- Delivery and Support of the Ambulance Radio Programme (ARP) – October 2007

- Devon and Cornwall Constabulary ICT Managed Service – February 2011.

ISO/IEC 20000-1 is aligned with and complementary to the process approach defined within ITIL from the Office of Government Commerce (OGC).

ISO/IEC 27001:2005 – Information Security Management

Capita is certified to the ISO27001:2005 standard and has implemented a company wide Information Security Management System (ISMS) and established documented policies covering Information Security, Access Control and Internet and Email use. These policies are backed up by a comprehensive set of procedures that cover the

full range of the ISO27001 standard, of which all staff are expected to remain compliant with.

Registration Number: LRQ 4004055/B

5.3 BUSINESS TRANSFORMATION AND CHANGE (BTC) METHODOLOGY

Our Programme and Project Management Methodology, Business Transformation and Change (BTC), is based upon the principles and processes of PRINCE2 and Managing Successful Programmes (MSP), both of which are APMG accredited standards. It will provide a tailored and scalable method for the management of all types of IS projects.

Capita's Programme and Project Managers are professionally qualified to MSP and PRINCE2 Practitioner level respectively. Capita can deploy its project management skills and experience in effectively managing the development and implementation of ICT services.

6 IMPLEMENTATION PLAN

We confirm our full compliance with the requirements of the Council in respect of Service Implementation. During the Implementation period, which will begin after preferred bidder is announced and continue into Years One and Two, Capita will work closely with the Council and its third parties to ensure that all services are brought to the agreed operational model. Governance will be guided by the structures in place for the Transition Programme as a whole.

6.1 METHODOLOGY AND APPROACH

We have extensive experience of delivering successful service Implementations for a range of customers within the public sector. This can be evidenced to provide assurance to the Council that service continuity and resilience will not be impacted.

Capita's robust and proven project and programme management processes are based on PRINCE2 and MSP and consistently deliver Implementations that:

- Focus on the critical tasks

- Ensure a smooth handover of service responsibility

- Minimise the impact on End Users

- Ensure no interruption to the customer's business

- Always achieve the planned delivery.

Implementation will be managed as a discrete project, within the larger programme, led by a PRINCE2 qualified Project Manager, experienced in managing complex fixed end date service Implementations. The Project Manager will provide a single point of contact, co-ordinates activities and effectively manages risks and issues.

Implementation will be carried out by a dedicated project team comprising Capita subject matter experts. They will liaise with Council and incumbent staff to ensure

that all interdependencies and actions are understood and planned for as a joint delivery team in order to ensure success of the project.

The service Implementation will follow a number of guiding principles to ensure we can deliver day-to-day services and avoid unacceptable levels of risk:

- Thorough project governance will be established, linked to the overall Programme. The Project manager will also report to an internal Capita Implementation Programme Board. This will oversee all ongoing Implementations within the business and allow rapid escalation of any issues to senior management

- We will conduct thorough TUPE consultation, running alongside our staff communication and engagement activities

- We will report on progress of the Implementation to the Council according to agreed timescales, highlighting early any potential issues that may arise so as to ensure the Service Transfer Date is achieved.

Our proposed Implementation processes are summarised below:

- **Start-up** – establishing an Implementation Team, definition of project documents, scope, milestones and communication plan, documenting existing risks

- **TUPE Transfer of Staff** – covers the tasks required to effectively transfer those staff eligible for transfer under TUPE regulations, through provision of an on-site, HR presence throughout Implementation. This will provide the Council with the following:

  - Presentations to all staff on the Capita organisation and the provision of the new services

  - One to one consultations with all staff to address personal concerns

  - Confirmation of formal Terms and Conditions of employment

- **Service Framework Implementation** – development of the procedures, organisational structure, contracts and training required to move service provision to the new model

- **Service Infrastructure Implementation** – installation of the infrastructure and toolset required to support the delivery of the target Service model

- **Operational Due Diligence and audit** -

  - Identifying opportunities for efficiency through process improvements

  - Identifying current and future operational risks and issues relating to current performance and Service Levels

- **Technical Due Diligence and audit** -

  - Identifying any current and future technical issues and risks

  - Identifying opportunities for efficiency through technical improvements

- Defining a baseline Configuration Management System (CMS)

- **Service Communication** – the identification of project and service stakeholders and appropriate communication channels to ensure all are aware of the change of service provision and their role in that process

- **Prepare Work in Progress Transfer** – identifying project and other change-related work in progress and defining a plan for completion

- **Arrangements for testing, business continuity, disaster recovery and handover** - to support including documentation and support arrangements

- **Service Cutover, including Planning for Go-Live** – detailed planning for service Go-Live, identifying tasks that can only be undertaken at the point of cutover. Transfer of contracts and licences, transfer of Incidents in progress, identification of required handover documentation and contingency planning to ensure service continuity

- **Management of Issues and Risks** – the on-going identification and management and escalation of risks and issues as they arise during Implementation.

6.2 PROJECT GOVERNANCE

This project will be run under the umbrella of the NSCSO programme. A project team and forum will be established by the council and this will report to the overall programme board.

6.3 PROJECT INITIATION

The initiation phase of the project will be critical to ensuring a smooth Implementation without service disruption. As well as fully defining the products and milestones, it will also include a project kick-off event to ensure that everyone involved with the project understands their roles and responsibilities.

A key part of governance will be the development and sign off of a Project Initiation Document (PID), which will have the following focus:

- To define and document the scope of the Implementation activities

- To act as a base document against which the progress and delivery of Implementation activities can be assessed and change management issues addressed.

The PID will also include a responsibility matrix, definition of objectives and deliverables, any constraints or assumptions that have been made and the controls to be adopted to ensure the success of the project.

6.4 PROJECT MANAGEMENT AND PROGRESS REPORTING

The Project Manager will implement a formal reporting process and agree formal project deliverables and review meetings with the Council, including: regular progress reviews, milestones, progress reports and exception reports.

The meetings will allow the team to monitor the risk register and issues log and agree mitigating actions. Items requiring higher level consideration will be referred to the Programme Board.

Clear communication with staff at all levels is also vital. Within the approach, and Capita's culture, is a focus on understanding the concerns and viewpoints of every member of operational staff and we will conduct presentations and hold one to one meetings for transferring staff in order to seek their input and address any concerns they may have.

6.5　MANAGEMENT STRUCTURE AND RESOURCES

During the transition to the new service delivery model, we will provide the necessary onsite resource to augment the service delivery team. Led by a dedicated Project Manager, the Implementation Team will be responsible for ensuring that all processes and tools are in place to deliver the service on the Service Transfer Date. They will work closely with the onsite delivery teams as well as the Enterprise Services teams to ensure that the service cutover is seamless and transparent to users.

The Project Manager will report into the joint Implementation Board. Within the Implementation Team, there will be experienced individuals who will have responsibilities for delivery of the following aspects:

- Human Resources (HR) and TUPE

- Implementation and integration of Capita infrastructure and tools

- Service Management Framework and Process Implementation

- Project Support

- Testing/Quality Assurance

- Cutover to the new service.

6.6　HIGH LEVEL IMPLEMENTATION PLAN

The high level Phases, Tasks and Milestones that make up Capita's Transformation Plan are summarised below. We will work with the Council to agree and then finalise the Implementation plan. Please also refer to the more detailed plans in the Transition and Transformation Method Statements.
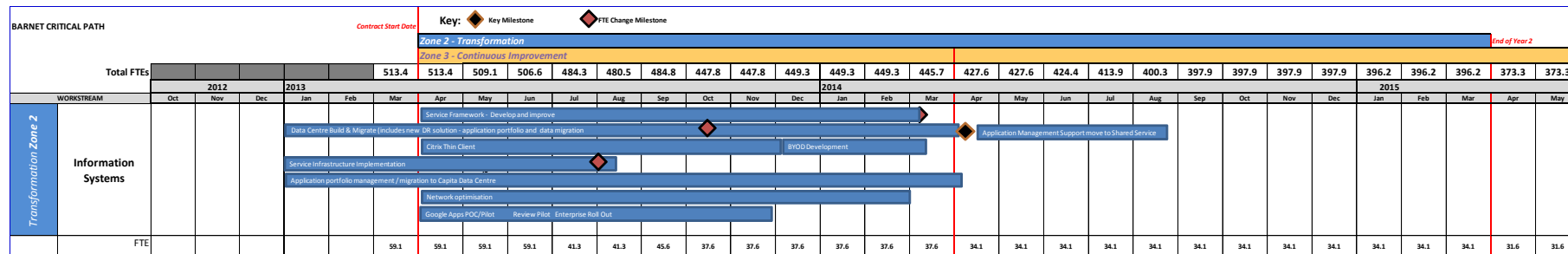
BARNET CRITICAL PATH — *Contract Start Date*

Key: ◆ Key Milestone   ◆ FTE Change Milestone

Zone 2 - Transformation — *End of Year 2*
Zone 3 - Continuous Improvement

| Total FTEs | 513.4 | 513.4 | 509.1 | 506.6 | 484.3 | 480.5 | 484.8 | 447.8 | 447.8 | 449.3 | 449.3 | 449.3 | 445.7 | 427.6 | 427.6 | 424.4 | 413.9 | 400.3 | 397.9 | 397.9 | 397.9 | 397.9 | 396.2 | 396.2 | 396.2 | 373.3 | 373.3 |

| | 2012 | | | 2013 | | | | | | | | | | | | | | 2014 | | | | | | | | | 2015 | | | | |
| WORKSTREAM | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May |

Transformation Zone 2 — Information Systems

- Service Framework - Develop and improve
- Data Centre Build & Migrate (includes new DR solution - application portfolio and data migration)
- Citrix Thin Client
- BYOD Development
- Service Infrastructure Implementation
- Application portfolio management / migration to Capita Data Centre
- Network optimisation
- Google Apps POC/Pilot   Review Pilot   Enterprise Roll Out
- Application Management Support move to Shared Service

| FTE | | | | | | 59.1 | 59.1 | 59.1 | 59.1 | 41.3 | 41.3 | 45.6 | 37.6 | 37.6 | 37.6 | 37.6 | 37.6 | 37.6 | 34.1 | 34.1 | 34.1 | 34.1 | 34.1 | 34.1 | 34.1 | 34.1 | 34.1 | 34.1 | 34.1 | 34.1 | 31.6 | 31.6 |

Figure 44 - Transformation Phases and Timelines

6.7 RISK MANAGEMENT

Capita's approach to risk management is detailed within the Transition and Transformation Method Statements.

6.8 SERVICE TESTING STRATEGY

Our approach to Service Testing is supported by a Test and Acceptance Strategy, which defines how the required deliverables will be tested and accepted by the Council. The Test and Acceptance Strategy covers the scope of testing to be applied, the Test and Acceptance process to be followed, the roles and responsibilities of those involved and the environment in which the tests are to be performed.

An Acceptance Test Plan will be produced for each deliverable. It will define the test objectives, approach, resource, and a schedule of activities. A Test Script will be produced for each deliverable and will be executed by Capita with witnessing representatives from the Council.

The results of all phases of Testing will be documented in a consolidated Test Report.

6.9 CONTINUITY OF SERVICE DELIVERY PERSONNEL

Capita's HR Consultants will constantly review the risk of individuals not transferring, particularly within those roles most critical to service delivery. If we identify a significant risk that specific personnel may not transfer, we will fill the gap in skills and/or experience that is identified, either by direct recruitment to the Service Delivery Team or using back-fill of appropriately skilled resource from Capita's existing Enterprise Services team. Either approach can be initiated immediately when a likely gap is identified and the resource(s) will join the Implementation Team. This will ensure the maximum knowledge transfer from the outgoing incumbent staff.

In addition, short-term contingency arrangements will be put in place as part of our cutover planning. Specific resources within Capita's Enterprise Services team will be placed on standby to supplement the on-site Team should an individual decide not to transfer at go-live. Such roles will then subject to recruitment to resource them in the medium to long term.

6.10 IS SERVICE CONTINUITY

Our approach to ensuring the continuity of the Council's business during service implementation and transformation is detailed within our Transition Method. In addition, we have in place additional arrangements to ensure the continuity of the IS Service provided to the Council during implementation, transformation and ongoing service delivery. These arrangements are outlined below.

Capita recognise that in order to support our Customers in delivering their own critical services, which often have a life or death impact, we need to have robust and effective Business Continuity and Disaster Recovery arrangements in place for our IS service provision. To this end, we have in place an extensive Business Continuity Management (BCM) Programme that covers all key locations from which its core services are delivered. In addition, we ensure, and require, that our key third party suppliers and partners have appropriate continuity arrangements in place. These arrangements ensure that we continue to provide effective support to our customers, even when impacted by a Continuity or Disaster Incident.

Capita are certified to BS25999 – Business Continuity Management. This demonstrates that our business is aligned to industry best practice in relation to our Business Continuity Management (BCM) solutions.

All Capita's current core service delivery locations have been subject to a risk assessment and have been included in our BCM Programme. When new service locations are commissioned, such an assessment is part of the process to identify appropriate risk mitigation actions and contingency arrangements to be put in place should access to the site, or services delivered by it, are lost.

Risks such as site access, loss of communication etc. are managed through ensuring resilience and site diversity for Capita's telephony infrastructure, IS, people and communications. Service support staff are situated in multiple Capita locations and calls are automatically routed to available staff thereby ensuring little or no interruption in service to customers. All customer facing services are supported by resilient failover solutions. These solutions include a resilient telephony infrastructure with failover between Capita sites, multiple sites enabled to receive calls, allowing calls to be responded to from a number of Capita's operational locations, and a Disaster Recovery site that can be up and running within three hours of a major unplanned outage. These failover arrangements, and the processes that utilise them, are designed and exercised to keep any disruption to a minimum. This enables Capita to continue to support the requirements of our customers, covering products, services and customer support functions.

Capita maintains a cyclical BCM Programme. This ensures that business operations are subjected to regular impact assessments, recovery plans and verifies that resilient solutions remain current and are subjected to rehearsal exercises demonstrating that they are fit for purpose.

The BCM Programme also enables the business to maintain a Business Continuity culture in support of our BS25999 certification. Employees at all levels are empowered to highlight any potential threat or vulnerability, that if realised could impact business operations. In turn they are requested to work with Capita's Business Continuity Manager to develop and implement a resilient control solution to mitigate the risk.

7   COMMITMENTS

IS will be an integral part of our approach and will enable other services to operate in accordance with the SDM. We will leverage the investment already made, and being made, in IS, whilst providing the technical advancements required to ensure SDM alignment and the delivery of the KPIs defined within Schedule 4.

Schedule 35 includes our commitments.

8   ADDITIONAL SERVICE DELIVERY

In addition to a compliant solution to meet the Council's stated requirements, Capita has proposed a number of additional services and service enhancements as part of our solution for the Council. Details of these additional and enhanced services are included where appropriate within our response to the Council's individual requirements in Section 2 - Delivering IS Requirements above. These include:

- Citrix Upgrade

- Bring Your Own Capability

- Google Apps

- Secure Data Centre Hosting.