

# Digital Innovation and Efficiency Committee

Date: **Wednesday, 08 November 2017**

Time: **10:00**

Venue: **Edwards Room, County Hall,  
Martineau Lane, Norwich, Norfolk, NR1 2DH**

**Persons attending the meeting are requested to turn off mobile phones.**

## **Membership**

Mr T Garrod - Chairman	Dr C Jones
Mr D Bills - Vice-Chairman	Mr D Rowntree
Mr E Colman	Ms S Squire
Mr S Eyre	Dr M Strong
Mr T FitzPatrick	

**For further details and general enquiries about this Agenda  
please contact the Committee Officer:**

Tim Shaw on 01603 222948 or email [committees@norfolk.gov.uk](mailto:committees@norfolk.gov.uk)

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## A g e n d a

1. To receive apologies and details of any substitute members attending

2. Dig IE Minutes of 17 October 2017

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3. **Declarations of Interest**

If you have a **Disclosable Pecuniary Interest** in a matter to be considered at the meeting and that interest is on your Register of Interests you must not speak or vote on the matter.

If you have a **Disclosable Pecuniary Interest** in a matter to be considered at the meeting and that interest is not on your Register of Interests you must declare that interest at the meeting and not speak or vote on the matter

In either case you may remain in the room where the meeting is taking place. If you consider that it would be inappropriate in the circumstances to remain in the room, you may leave the room while the matter is dealt with.

If you do not have a Disclosable Pecuniary Interest you may nevertheless have an **Other Interest** in a matter to be discussed if it affects

- your well being or financial position
- that of your family or close friends
- that of a club or society in which you have a management role
- that of another public body of which you are a member to a greater extent than others in your ward.

If that is the case then you must declare such an interest but can speak and vote on the matter.

4. **Any items of business the Chairman decides should be considered as a matter of urgency**

5. **Public QuestionTime**

Fifteen minutes for questions from members of the public of which due notice has been given.

Please note that all questions must be received by the Committee Team ([committees@norfolk.gov.uk](mailto:committees@norfolk.gov.uk)) by **5pm Friday 3 November 2017**. For guidance on submitting public question, please view the Consitution at [www.norfolk.gov.uk](http://www.norfolk.gov.uk).

6. **Local Member Issues/ Member Questions**

Fifteen minutes for local member to raise issues of concern of which due notice has been given.

Please note that all questions must be received by the Committee Team ([committees@norfolk.gov.uk](mailto:committees@norfolk.gov.uk)) by **5pm on Friday 3 November 2017**.

<b>7. Chairman's Update</b>	<b>Page</b>
Verbal update by Cllr Tom Garrod	
<b>8. Proposal to Commission Mobile Voice and Data Study</b>	<b>Page 13</b>
Report by Executive Director, Community and Environmental Services and Executive Director Finance and Commercial Services	
<b>9. Finance Monitoring</b>	<b>Page 17</b>
Report by Executive Director, Community and Environmental Services and Executive Director Finance and Commercial Services	
<b>10. Performance Management</b>	<b>Page 23</b>
Report by Executive Director, Community and Environmental Services and Executive Director Finance and Commercial Services	
<b>11. New Social Care System</b>	<b>Page 31</b>
Report by Executive Director of Adult Social Services	
<b>12. IMT Risks and Associated Actions Report</b>	<b>Page 43</b>
Report by Executive Director, Finance and Commercial Services	
<b>13. Business Intelligence</b>	<b>Page 55</b>
Report by Executive Director, Finance and Commercial Services	

### Group Meetings

Conservative	9:15am	Leader's Office, Ground Floor
Labour	9:00am	Labour Group Room, Ground Floor
Liberal Democrats	9:00am	Liberal Democrats Group Room, Ground Floor

**Chris Walton**  
**Head of Democratic Services**  
 County Hall  
 Martineau Lane  
 Norwich  
 NR1 2DH

Date Agenda Published: 31 October 2017



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## Digital Innovation and Efficiency Committee

**Minutes of the Meeting Held on 12 October 2017  
10:00am, Edwards Room, County Hall, Norwich**

**Present:**

Mr T Garrod (Chairman)

Mr D Bills

Mr P Duigan (sub for Ms S Squire)

Mr S Eyre

Mr T Fitzpatrick

Dr C Jones

Mr G Middleton (sub for Mr E Colman)

Dr M Strong

Mrs C Walker (sub for Mr D Rowntree)

**Guests in attendance for the item  
on the Norfolk Counter Fraud Hub:**

Paul Cotton (BAE Systems)

Ravi Gogna (BAE Systems)

Rachael Tiffen (Cipfa)

**1. Apologies for Absence**

- 1.1 Apologies for absence were received from Mr E Colman, Mr D Rowntree and Ms S Squire.

**2 Minutes**

- 2.1 The minutes of the previous meeting held on 18 September 2017 were confirmed by the Committee and signed by the Chairman.

It was noted that Minute 10.4 should read: previously reported that once 90% DAB coverage FM would be switched off.

**3 Declarations of Interest**

- 3.1 Mr T Fitzpatrick declared an “other interest” because he worked as an IT consultant.

Mr G Middleton declared an “other interest” because he was a Director of an on-line media company.

**4 Items of Urgent Business**

4.1 There were no items of urgent business.

**5 Public Question Time**

5.1 There were no public questions.

**6 Local Member Issues/ Member Questions**

6.1 There were no Local Member Issues/ Member Questions.

**7 Chairman's Update**

7.1 The Chairman announced that he had written to the DCMS Secretary of State, the Rt. Hon Karen Bradley MP, last week following her recent visit to Norwich Castle Museum. The letter explained some of the concerns people in Norfolk had with new technology (especially around Broadband) and showed that the County Council was lobbying government to resolve the issues. The Chairman asked for the letter to be sent to Members of the Committee for information purposes.

7.2 The Chairman reminded Members of the arrangements that had been made for the tour that would follow at the end of the meeting. The tour would include a visit to the Attleborough Fibre Exchange where Members would receive a short presentation from the lead officer for Better Broadband for Norfolk and a visit to various implementation sites around the Hingham Local Exchange area.

**8 Finance Monitoring**

8.1 The annexed report (8) by the Executive Director of Community and Environmental Services and Executive Director of Finance and Commercial Services was received.

8.2 The Committee received a report by the Executive Director of Community and Environmental Services and Executive Director of Finance and Commercial Services that provided the Committee with information on the budget position for services reporting to Digital Innovation & Efficiency Committee for 2017-18.

8.3 In reply to questions, the Executive Director of Finance and Commercial Services said that the County Council would shortly be taking up with the districts the release of any unspent specific grant income that had been set aside to help support the Better Broadband for Norfolk project.

**8.4 RESOLVED**

**That the Committee note:**

- 1. The forecast out-turn position for the Digital Innovation & Efficiency Committee**
- 2. The capital programme for this Committee.**
- 3. The current planned use of the reserves and the forecast balance of reserves as at the end of March 2018.**

## 9 **Strategic and Financial Planning 2018-19 to 2021-22**

- 9.1 The annexed report (9) by the Executive Director of Community and Environmental Services and Executive Director of Finance and Commercial Services was received.
- 9.2 The Committee received a report that set out Policy and Policy and Resources Committee's guidance on the actions required to support preparation of a balanced budget for 2018-19. The report also set out details of the saving proposals identified for 2018-19 and subsequent years, for the Digital Innovation and Efficiency Committee's consideration.
- 9.3 In reply to questions, the Executive Director of Finance and Commercial Services confirmed that the new budgetary pressures on ICT services were reported to the September 2017 meeting of the Policy and Resources Committee. Work in the directories relating to the Digital Innovation and Efficiency Committee included a continued focus on taking forward the digital transformation agenda that would drive efficiency savings throughout the County Council. A full list of savings would be considered by Policy and Resources Committee on 30th October 2017 and would be emailed to Members of this service committee in due course.

### 9.4 **RESOLVED**

#### **That the Committee:**

- 1. Note that the Council's current budget planning includes an assumed increase in council tax of 3.0% for the Adult Social Care precept, and an inflationary increase of 1.9% in 2018-19.**
- 2. Agree the service-specific budgeting issues for 2018-19 as set out in section 3 of the report.**
- 3. In order to help close the forecast 2018-19 budget gap as set out in section 2 of the report:**
  - a. Note that any savings identified for 2019-20 have the capacity to be brought forward to 2018-19;**
  - b. Agree the proposed new savings for 2018-19 (Table 4 of the report) for recommendation to Policy and Resources Committee;**
  - c. Agree to recommend to Policy and Resources Committee the proposed new savings for 2018-19 which require consultation as set out in section 3 of the report.**

## 10. **Performance Management**

- 10.1 The annexed report (10) by the Executive Director of Community and Environmental Services and Executive Director of Finance and Commercial Services was received.
- 10.2 The Committee received its second performance management report for the IMT Department. The report included operational dashboard information based on the seven vital signs performance indicators that fell under the remit of this

Committee, none of which had met the exception criteria.

- 10.3 In reply to questions, the Head of ICT confirmed that while capacity constrains within the ICT Department remained an important issue the vital sign indicators showed that ICT performance was ahead of target. The performance indicators included the work undertaken by ICT services for NCC staff and organisations outside of the County Council.

10.5 **RESOLVED**

**That the Committee:**

**Note the information provided in the report and on the report cards and in particular the performance data/information relating to the Committee's remit, in addition to the 7 vital signs, which the Committee would wish to review on a regular basis.**

11 **NCC Digital Offer – progress to date**

- 11.1 The annexed report (11) by the Executive Director of Community and Environmental Services was received.
- 11.2 The Committee received a report by the Executive Director of Community and Environmental Services and a presentation from the Assistant Director, Community, Information and Learning that explained the significant progress that was being made with the NCC Digital Offer.
- 11.3 The presentation showed that in addition to the new online platform and the “my Norfolk” customer account, CRM /automated processes had been implemented for a wide range of business areas across the work of the County Council. The work undertaken so far and that planned for the future was explained to Members.
- 11.4 At the end of the presentation, Members drew attention to the automated processes within the new content management website and, in particular, to the option to report highways defects and view a highways defects map. Members were pleased to hear that the new technology had increased the proportion of highways defects that were reported online. This had enabled Members and Parish Councils to gain better visibility of the status of highways issues.
- 11.5 Members said that the targets set by officers to achieve a steep rise in the total number of on-line digital accounts in 2018 and beyond were ambitious. Members drew attention to the good external stakeholder feedback and the high proportion of requests from customers using online accounts. It was noted eventually it would be possible to link to social media to understand what customers were saying instantly to pre-empt demand.
- 11.6 The Chairman asked for Members to be provided with a briefing note on the services “Liquid Logic” (the replacement for the Care First System) could be expected to provide on-line.



11.7      **RESOLVED**

**That the Committee:**

**Note the report which was intended as an introduction to the progress of digital transformation of customer facing services.**

12        **Local Full Fibre Network Bid**

12.1      The annexed report (12) by the Executive Director of Finance and Commercial Services was received.

12.2      The Committee received a report by the Executive Director of Finance and Commercial Services, and a presentation from the Head of IMT, that described an opportunity to bid for new funding from the Department for Digital, Culture, Media and Sport (DCMS) to enable further deployment of fibre optic cabling across Norfolk in support of high speed data connectivity for residents and businesses.

12.3      In reply to questions, Members were informed that a successful bid to the DCMS Challenge Fund would accelerate the deployment of full fibre networks in the county and help to establish public sector digital hubs that could support digital service transformation and incubator units for digital business start-ups. A successful bid would also provide leverage for local investment and activity to stimulate more fibre connections generally.

12.4      The Committee gave their full support to the EOI that was submitted to the DCMS by the deadline of 23rd August 2017 and asked for the final bid to be shared with all Members of the Committee before it was submitted to the DCMS. The Chairman asked that when an update report was presented to the Committee for it to include examples of what could be achieved in Norfolk by the use of full fibre and cutting edge 5G technology.

12.5      **RESOLVED**

**That the Committee:**

- 1. Note the opportunity and approve the development of a full bid in conjunction with Norfolk District Councils and any other relevant bodies.**
- 2. Delegate authority for the submission of the bid to the Head of Information Management & Technology in consultation with the Chair and Deputy Chair of the Digital Innovation and Efficiency Committee after it has been shared with all Members of the Committee.**

13        **Norfolk Counter Fraud Hub**

13.1      The annexed report (13) by the Executive Director of Finance and Commercial Services was received.

13.2      The Committee received a report by the Executive Director of Finance and

Commercial Services that provided an introduction to the work in progress across London Boroughs to identify, stop and prevent fraud. The Committee also received a presentation from guest speakers at CIPFA and BAE Systems that reviewed learning from the London Hub and considered the suitability of a similar approach being pursued across Norfolk.

13.3 The guest speakers explained why the London Boroughs that had taken part in the project had collaboratively procured BAE systems as the technology provider, in partnership with Cipfa (the public sector accountancy organisation) to establish the hub, reduce fraud and drive out savings.

13.4 Members spoke in support of the County Council going to the next stage in the preparation of a business case for a Norfolk Counter Fraud Hub and inviting a wide range of partners to a series of local workshops aimed at addressing the most important issues. In reply to questions, it was noted that the Head of ICT had kept the County Council network of local authorities, including the LGA, informed of developments and was in discussions with neighbouring counties about the geography for the roll out of the business case after it had been introduced in Norfolk.

13.5 **RESOLVED**

**That the Committee:**

- 1) Note the information provided in this report.**
- 2) Direct officers to proceed with the development of a business case and implementation plans for a Norfolk County counter fraud hub.**
- 3) Present the business case at a future Digital Innovation and Efficiency Committee meeting.**

14 **Forward Plan**

14.1 The annexed report (14) by the Executive Director of Community and Environmental Services and Executive Director of Finance and Commercial Services was received.

14.2 **RESOLVED**

That the Committee agree the forward plan, subject to the addition of the following issues for the meeting in January 2018:

- A report on the local planning process and the provision of broadband services.
- An invitation being sent to mobile phone providers to discuss mobile phone coverage and how mobile phone services can be better delivered in Norfolk.

**The meeting concluded at 12.10 pm**

**Chairman**



# Digital Innovation and Efficiency Committee

Item 8

<b>Report title:</b>	<b>Proposal to commission a mobile voice &amp; data study</b>
<b>Date of meeting:</b>	<b>8 November 2017</b>
<b>Responsible Chief Officer:</b>	<b>Tom McCabe – Executive Director, Community and Environmental Services, Simon George – Executive Director, Finance and Commercial Services</b>
<b>Strategic impact</b>  <p>While the successful Better Broadband for Norfolk Programme has dramatically improved the availability and performance of fixed internet connectivity, the coverage of good mobile voice and data connectivity lags some way behind. This proposal represents the first step to enable the improvement of that coverage. The availability of ubiquitous, fast, reliable mobile voice and data coverage would provide significant benefits for economic development and improved quality of life for the people who live, visit and work in Norfolk.</p>	

## Executive summary

The focus of Norfolk County Council and its partners on broadband provision in the county has seen superfast coverage improve from below 50% just a few years ago to nearly 90% today, with firm plans to rise to over 95% by 2020. Meanwhile mobile telecommunications facilities have failed to improve at anywhere near the same pace.

The existing coverage maps published by the mobile telecommunications providers appear optimistic and do not provide sufficient detail to provide a detailed understanding of how coverage needs to improve.

From personal experiences and anecdotally we know that mobile voice and data coverage across all the major networks is patchy with multiple locations across the county lacking 4G and many without voice and / or data coverage at all. Sometimes coverage exists outdoors, but not indoors and coverage may exist for a small number of users, but it can quickly become contended to the point of failure. However we do not have good evidence of overall service availability.

Unlike the Better Broadband for Norfolk infrastructure intervention, UK Government is not providing funding for upgrades, however there is still an opportunity for the County Council to use its influence and its assets to make a difference.

This paper proposes that the Council commence a procurement process to provide an independent review of mobile telecommunications coverage across the county. This will provide a baseline from which informed decisions can be made about what improvements are required and where they are needed.

Telecommunications providers clearly wish to provide good coverage in order to sell their services to Norfolk's residents and businesses. The information provided by the survey would help the Council to engage with the providers in a meaningful way to help inform

the business case for further infrastructure investment. It would also enable the council to assist the providers to find suitable locations for new infrastructure in the “not-spots” where coverage is lacking. For example this could involve offering access (for an appropriate fee) to council or other public sector owned assets such as council offices, fire towers, existing telecommunications masts or even wind turbines. The council might also be able to assist with streamlining the planning and access requirements of the providers in order to accelerate deployment.

**Recommendations:**

- 1. To consider the scope of the proposed survey.**
- 2. To delegate authority for the procurement and award of contract to the Head of Information Management & Technology.**

## **1. The Background and Context**

- 1.1. A need to understand the current mobile voice and data coverage across the county led to soft market testing and correspondence with other counties and devolved administrations. This activity has informed the tender specification and provided indicative costings for the exercise.

It is proposed that Norfolk County Council appoint a single provider through a competitive procurement process to undertake an independent benchmark assessment of mobile coverage in Norfolk. The commission will look to test the quality of the mobile user experience across the county, with the output acting as a benchmark from which to engage with the network operators, measure progress in improving coverage and determine how through public sector owned assets and infrastructure we could as a County Council engage with the market and be an enabler in improving mobile connectivity.

The commission should consider the user experience associated with making voice calls (by either 2G or 3G) and data access (by either 3G or 4G). This experience should also be measured for the key mobile network providers in Norfolk.

## **2. Scope of the proposed Exercise**

- 2.1. As highlighted above, the key requirement is to undertake an independent benchmark assessment of mobile coverage in Norfolk. This commission looks to test the quality of the user experience across Norfolk from a 2G, 3G and 4G perspective with a focus on understanding what potential users would want and the types of services, programmes and apps they wish to access through their mobile devices.

The commission should consider the following:

- Data access experience – assess such elements as latency, upload and download speeds and other key drivers that sit behind the quality of service (by either 3G or 4G) where, again, the signal strength, available capacity and cell handover play a major part in its overall success; and
- Voice call experience – assess the ability to make a clear call for a certain duration without the call dropping out (by either 2G or 3G) where the signal strength, channel availability and cell handover play a big part in its overall success.

It is also expected that services would be tested for all major networks providing respective services in Norfolk.

In terms of outputs, Norfolk County Council would require the following:

- A written report capturing the methodology, key metrics and findings from the assessment. This should include information presented in diagrammatic / mapping form e.g. heat maps and coverage plots. Such maps should show graded coverage footprints.
- An executive summary of the findings at a County as well as at a District/Borough specific geography level that are easily understandable and which can be shared widely to make the findings accessible for all. This should include experience of mobile users in such locations (use of social media, down loading multi-media services (BBC iPayer), internet access)
- A comparison of the performance of different mobile network operators (e.g. EE, Vodafone, etc.);
- Electronic access to mapping and findings. This may be in the form of a 'dashboard' approach, for example; and
- An electronic spatial data file(s) of the findings which can be utilised by Norfolk County Council's GIS System. Such information will be used to layer information into a wider consideration of Norfolk's digital capability.

In terms of coverage for the study, Norfolk County Council requires the following as a minimum:

- Any approach must ensure countywide survey.
- The A and B road network;
- Connectivity within the major urban destinations; City of Norwich, Kings Lynn and Great Yarmouth,
- Rail routes within Norfolk: Great Anglia Line, Norwich to Great Yarmouth; Norwich to Lowestoft; Norwich to Kings Lynn; Rail Stations as identified in Annex 2
- Tourism areas of significant interest in Norfolk.

Tenderers should use industry standard / typical handsets to undertake the benchmark testing and any tests should be based upon typical consumer behaviour. The testing methodology should also stand up to scrutiny from network operators and as such should reflect the types of testing they undertake themselves and / or be on a basis which would be considered acceptable to them.

## **2.2. Timing**

The commission should be completed by 30<sup>th</sup> January 2018.

## **3. Financial Implications**

- 3.1. Soft market testing and correspondence with other counties and devolved administrations has informed the likely cost of the exercise is expected to be in the order of £50 - £75k. This would be funded from within existing budgets. It is believed that the expenditure will be more than recovered through future rental of Council assets by mobile network operators seeking to extend their coverage.

## **4. Issues, risks and innovation**

4.1. No significant risk or issues have been identified.

## **Officer Contact**

If you have any questions about matters contained in this paper or want to see copies of any assessments, eg equality impact assessment, please get in touch with:

**Officer name :** Geoff Connell

**Tel No. :** 01603 222 700

**Email address :** [geoff.connell@norfolk.gov.uk](mailto:geoff.connell@norfolk.gov.uk)



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# Digital Innovation & Efficiency Committee

Item No. 3

<b>Report title:</b>	<b>Finance Monitoring</b>
<b>Date of meeting:</b>	<b>8th November 2017</b>
<b>Responsible Chief Officer:</b>	<b>Tom McCabe – Executive Director, Community and Environmental Services, Simon George – Executive Director, Finance &amp; Commercial Services</b>
<b>Strategic impact</b> <p>This report provides the Committee with information on the budget position for services reporting to Digital Innovation &amp; Efficiency Committee for 2017-18. It provides information on the revenue budget including any forecast over or underspends and any identified budget risks. It also provides an update on the forecast use of reserves and details of the current and draft future capital programme.</p>	

## Executive summary

The services reporting to this Committee are delivered by Community & Environmental Services, and Finance & Commercial Services.

The 2017-18 net revenue budget for this committee is £15.982m and this report reflects the risks and forecast outturn position as at period 6, September 2017-18.

The capital programme relating to this committee currently profiled for delivery in 2017 – 18 is £10.128m. Details of the capital programme are shown in Section 3 of this report.

The balance of Digital Innovation and Efficiency reserves as of 1 April 2017 was £1.280m, and the forecast balance at 31 March 2018 is £0.293m.

### Recommendations:

**Members are recommended to note:**

- a) **The forecast out-turn position for this committee.**
- b) **The current capital programme for this committee.**
- c) **The draft capital programme for IMT from 2018 - 21 which will be taken to the P&R Committee in November and then on to full council in February 2018.**
- d) **The current planned use of the reserves and the forecast balance of reserves as at the end of March 2018.**

## 1. Proposal

- 1.1. Members have a key role in overseeing the financial position for the services under the direction of this committee, including reviewing the revenue and capital position and reserves held by the service. Although budgets are set and monitored on an annual basis, it is important that the ongoing position is understood and the previous year's position, current and future plans and performance are considered.
- 1.2. This report reflects the budgets and forecast out-turn position as at the end of Period 6, September 2017.

## 2. Evidence

### Revenue budget 2017-18

- 2.1. The services reporting to this Committee are delivered by the Community & Environmental Services, and Finance & Commercial Services directorates.
- 2.2. This report reflects the forecast outturn position for the Services that are relevant to this Committee, which are:
- Information Management Technology (IMT)
  - Better Broadband for Norfolk
- 2.3. The 2017-18 net revenue budget for this Committee is £15.982m, we are currently forecasting a balanced budget. The planned use of reserves to support the IMT budget to this position is £0.564m as shown in Table 3 below. The Better Broadband programme is expected to achieve an underspend of £0.076m which will be returned to reserves to cover the future years programme spend.
- 2.4. It should be noted that the Infrastructure budgets support delivery of services relating to voice and data, servers, printers and photocopiers, the existing HP contract services, as well as the staff required. Applications and Places budget supports the licensing costs of corporate applications including Oracle and CareFirst, (to be replaced by Liquid Logic), as well internal trading and external customers supported by IMT.

**Table 1: Digital Innovation & Efficiency: Net revenue Budget Forecast Out-turn 2017-18**

	Current Budget £m	Forecast Out-turn £m	Forecast Variance £m
<b>Information Management Technology</b>			
Infrastructure	4.997	4.997	0.000
Technical Programme	1.273	1.430	0.157
Applications and Places	1.920	1.873	(0.047)
Information Management	1.312	1.202	(0.110)

Capital charges	1.259	1.259	0.000
<b>Better Broadband for Norfolk</b>			
Agency & contracted services	5.417	5.417	0.000
Grants	(0.500)	(0.500)	0.000
Other costs	0.303	0.303	0.000
<b>Total for Committee</b>	<b>15.982</b>	<b>15.982</b>	<b>0.000</b>

### 3. Capital Programme

3.1. The capital programme for the services reported to this Committee currently profiled to be delivered in 2017-18 is £10.128m, detailed as below. IMT has an additional £1.900m of existing capital funding to be delivered in 2018 / 19. The planned additional capital funding programme for 2018 – 21 is shown in Table 2 below.

	<b>2017 – 18 Capital Programme £m</b>
Information Management & Technology	5.030
Better Broadband for Norfolk	5.098
<b>Total for Committee</b>	<b><u>10.128</u></b>

3.2. The proposed future capital requirements are predominantly needed to refresh the Councils existing computer hardware estate (this is usually a recurring cost on a 4 year cycle). However the “rolling” refresh of PC and mobile phones is designed to ensure each worker type in the council has access to the right technology package to enable them to work efficiently and flexibly. A quarter of the workforce is planned to be provided with new equipment each year. Having access to up-to-date, easy to use mobile and flexible working technology will improve staff efficiency, reduce travel costs and enable better use of council office accommodation. This investment also underpins planned property related savings.

3.3. Bringing currently outsourced services associated with management of the PCs back in house will save approximately £1M per annum.

3.4. The relocation of the data centre and disaster recovery facilities will enable better use of the councils property assets and supports their savings objectives while also improving the resilience of the council’s technological infrastructure.

3.5. The website, portal, BI and online transactions development funding will enable customer services to achieve its channel shift savings, enable new social care

transactions to go online for both residents and businesses and provide staff with access to business intelligence tools and data to improve operational and strategic decision making.

3.6.. Table 2 below illustrates the planned additional capital programme for 2018 – 21.

<b>Table 2: Planned additional Capital Programme 2018 - 21</b>			
	<b>2018 – 19 £m</b>	<b>2019 – 20 £m</b>	<b>2020 – 21 £m</b>
New Oracle server hardware	0.550		
Software Licensing - 3 year renewal		2.500	
Device refresh (laptops, tablets, desktops & phones) rolling programme including build and deployment	2.380	3.130	3.130
Enhancements to Local Area Network, Wi-Fi and security tools	0.800		
Website, portal, BI and online transactions development	0.555	0.555	0.555
Relocate and upgrade data centre and disaster recovery facilities	2.533	0.030	0.030
<b>Total planned programme</b>	<b>6.818</b>	<b>6.215</b>	<b>3.715</b>

3.7. The available funding for Better Broadband for Norfolk relates to the planned improvements to broadband services throughout Norfolk.

#### **4. Reserves 2017-18**

4.1. The Council holds both provisions and reserves.

4.2. Provisions are made for liabilities or losses that are likely or certain to be incurred, but where it is uncertain as to the amounts or the dates which they will arise. The Council complies with the definition of provisions contained within CIPFA's

Accounting Code of Practice.

- 4.3. Reserves (or Earmarked Reserves) are held in one of three main categories:
- 4.4. **Reserves for special purposes or to fund expenditure that has been delayed, and in many cases relate to external Grants and Contributions** - reserves can be held for a specific purpose, for example where money is set aside to replace equipment or undertake repairs on a rolling cycle, which can help smooth the impact of funding.
- 4.5. **Local Management of Schools (LMS) reserves that are held on behalf of schools** – the LMS reserve is only for schools and reflects balances held by individual schools. The balances are not available to support other County Council expenditure.
- 4.6. **General Balances** – reserves that are not earmarked for a specific purpose. The General Balances reserve is held to enable the County Council to manage unplanned or unforeseen events. The Executive Director of Finance is required to form a judgement on the level of the reserve and to advise Policy and Resources Committee accordingly.
- 4.7. The reserves falling under this Committee would fall into the first category. Additionally, balances may relate specific grant income where we have received the income but are yet to incur the expenditure, or the grant was planned to be used over a period of time, not related to a specific financial year.
- 4.8. We will continue to review the reserve balances to ensure that their original objectives are still valid and would identify any reserves that could be considered available for re-allocation.
- 4.9. The Committees' unspent grants, reserves and provisions as at 1<sup>st</sup> April 2017 totalled £1.280m.
- 4.10. Table 3 below shows balance of reserves and the current planned usage for 2017-18.
- 4.11. The 2017-18 Budget included plans for available reserves totalling £5.813m to be identified during the process of closing the 2016-17 accounts. We have reviewed the reserves relating to this Committee and have been able to identify £0.500m of reserves relating to Better Broadband for Norfolk that can be released to help support this requirement and this is reflected in the tables below.
- 4.12. The remaining forecast use of the reserves within Information Management & Technology is to support the corporate technology platform to achieve savings in the next budget planning period.

<b>Table 3: Digital Innovation &amp; Efficiency: Reserves &amp; Provisions</b>
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# Digital Innovation & Efficiency Committee

Item 10

<b>Report title:</b>	<b>Performance Management</b>
<b>Date of meeting:</b>	<b>8 November 2017</b>
<b>Responsible Chief Officer:</b>	<b>Tom McCabe – Executive Director, Community and Environmental Services, Simon George – Executive Director, Finance and Commercial Services</b>

## **Strategic impact**

Robust performance management is key to ensuring that the organisation works both efficiently and effectively to develop and deliver services that represent good value for money and which meet identified need. This report provides an update to the new Committee for the IMT Department (and other related service areas) performance monitoring and management. It also provides the Committee with an update on current trends, some of which were previously reported to the Policy and Resources Committee.

## **Executive summary**

This is the third performance management report to this committee and incorporates elements of the revised Performance Management System, which was implemented as of 1 April 2016. There are currently 8 vital signs indicators under the remit of this committee ("CES – (CIL) The number of active 'My Norfolk' accounts" having been added since the last report). Work continues to see what other data may be available to report to committee on a more frequent basis (currently "CES - (CIL) Customer Satisfaction with Web Access" continues to be developed) and these will in turn be considered for inclusion as vital signs indicators.

Performance is reported on an exception basis using a report card format, meaning that only those vital signs that are performing poorly or where performance is deteriorating are presented to committee. To enable Members to have oversight of performance across all vital signs, all report cards (which is where more detailed information about performance is recorded) will be made available to view upon request.

Of the 8 vital signs indicators that fall within the remit of this committee, none have met the exception criteria.

## **Recommendations:**

- 1. Note the information provided in this report.**
- 2. To consider whether there is any other performance data/information relating to the Committee's remit, in addition to the 8 vital signs set out in this report, which the Committee would wish to review on a regular basis.**

## **1. Introduction**

- 1.1. This paper presents up to date performance management information for those 'vital signs' performance indicators that were agreed previously by the P and R Committee for the day to day operational service in IMT, as well as other vital signs identified as having relevance and/or significance to the remit of this committee.
- 1.2. The paper highlights any key issues or trends for members to note with more detail in the Appendices. This report contains:
  - A Red/Amber/Green rated dashboard overview of performance across all 7 vital signs indicators
  - Report cards for all vital signs
  - Subsequent reports will only contain report cards for measures that have met the exception reporting criteria.

## **2. Performance dashboard**

- 2.1. The performance dashboard provides a quick overview of Red/Amber/Green rated performance across all 8 vital signs. This then complements the exception reporting process and enables committee members to check that key performance issues are not being missed.
- 2.2. The vital signs indicators are monitored during the year and are subject to review when processes are amended to improve performance, to ensure that the indicator correctly captures future performance.
- 2.3. The current exception reporting criteria are as below:
  - Performance is off-target (Red RAG rating or variance of 5% or more)
  - Performance has deteriorated for three consecutive periods (months/quarters/years)
  - Performance is adversely affecting the council's ability to achieve its budget
  - Performance is adversely affecting one of the council's corporate risks.
  - Performance is off-target (Amber RAG rating) and has remained at an Amber RAG rating for three periods (months/quarters/years)'.
- 2.4. Digital Innovation and Efficiency Committee performance dashboard:



NOTES:

In most cases the RAG colours are set as: Green being equal to or better than the target; Amber being within 5% (not percentage points) worse than the target; Red being more than 5% worse than target.

'White' spaces denote that data will become available; 'grey' spaces denote that no data is currently expected, typically because the indicator is being finalised.

The target value is that which relates to the latest measure period result in order to allow comparison against the RAG colours. A target may also exist for the current and/or future periods.

Monthly	Bigger or Smaller is better	Sep 16	Oct 16	Nov 16	Dec 16	Jan 17	Feb 17	Mar 17	Apr 17	May 17	Jun 17	Jul 17	Aug 17	Sep 17	Target
{CIL} Number of active My Norfolk accounts	Bigger	3,891	4,549	5,248	5,705	6,376	6,924	7,457	7,911	8,572	9,432	10,321	11,156	12,162	
{ICT} Abandonment Rate - % of calls abandoned on the ICT Service Desk	Smaller	12.0%	11.0%	8.0%	7.0%	11.0%	7.0%	12.0%	16.8%	8.0%	9.0%	8.0%	6.8%	7.0%	10.0%
				337 / 4280	229 / 2999	631 / 5661	283 / 3780	547 / 4676	740 / 4392	476 / 6027	531 / 5989	321 / 4110	282 / 4175	252 / 3615	
{ICT} ICT incidents per customer per month	Smaller	1.4	1.4	1.3	1.0	1.5	1.3	1.6	1.3	1.8	1.8	1.4	1.5	1.2	1.5
{ICT} First line fix	Bigger	42.0%	41.0%	40.0%	43.0%	40.0%	36.0%	32.9%	34.6%	34.0%	28.7%	26.0%	27.4%	30.4%	28.0%
				1708 / 4262	1262 / 2947	1985 / 4857	1383 / 3795	1510 / 4588	1097 / 3175	1017 / 3018	1304 / 4542	1132 / 4259	1030.92 / 3768	1157 / 3810	
{ICT} Incidents resolved within SLA	Bigger	69.0%	72.0%	80.0%	73.0%	80.0%	75.0%	82.2%	80.7%	75.4%	78.0%	77.0%	76.4%	81.0%	80.0%
						3890 / 4860	3089 / 4084	3587 / 4363	2488 / 3059	2623 / 3477	2936 / 3703	2555 / 3282	2427 / 3175	2619 / 3232	
{ICT} Customer satisfaction with ICT services	Bigger						6.4	6.4	6.5	6.2	6.2	6.4	6.5	6.5	6
{ICT} Systems availability	Bigger	99.0%	99.0%	99.0%	98.0%	99.0%	99.0%	98.0%	95.1%	94.0%	97.6%	98.9%	99.0%	99.0%	99.0%
					83.5k / 84.8k			121.2k / 124.2k	102.7k / 108.0k	101.0k / 108.0k	116.0k / 118.8k	112.2k / 113.4k	118.6k / 118.8k	112.8k / 113.4k	
Quarterly / Termly	Bigger or Smaller is better	Sep 14	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15	Mar 16	Jun 16	Sep 16	Dec 16	Mar 17	Jun 17	Sep 17	Target
{BBfN} % of Norfolk homes with superfast Broadband coverage	Bigger					83.0%		84.0%			86.0%	88.0%	89.0%	89.0%	88.0%
						n/a / n/a		n/a / n/a			n/a / n/a		n/a / n/a		

### **3. Report Cards**

- 3.1. A report card has been produced for each vital sign. These provide a succinct overview of performance and outlines what actions are being taken to maintain or improve performance. The report card follows a standard format that is common to all committees.
- 3.2. Each vital sign has a lead officer, who is directly accountable for performance, and a data owner, who is responsible for collating and analysing the data on a monthly basis. The names and positions of these people are clearly specified on the report cards.
- 3.3. Vital signs are reported to committee on an exceptions basis. There are no exceptions this month and therefore there are no report cards included with this report. The report cards for those vital signs that do not meet the exception criteria on this occasion, and so are not formally reported, are also collected and are available to view if requested.

## **4. IMT programme of work**

- 4.1. We are currently prioritising the projects around Norfolk Futures. As a result the IMT programme of work will be updated to the committee in a future report when the outcome of the prioritisation work is known.

## **5. Recommendations**

- 5.1. Committee Members are asked to:

- Review and comment on the performance data, information and analysis presented in the vital sign dashboard and associated report cards and determine whether the recommended actions identified are appropriate or whether another course of action is required (refer to list of possible actions in Appendix 1).

In support of this, Appendix 1 provides:

- A set of prompts for performance discussions
- Suggested options for further actions where the committee requires additional information or work to be undertaken

## **6. Financial implications**

- 6.1. There are no significant financial implications arising from the development of the revised performance management system or the performance management report.

## **7. Issues, risks and innovation**

- 7.1. There are no significant issues, risks and innovations arising from the development of the revised performance management system or the performance management report.

### **Officer Contact**

If you have any questions about matters contained in this paper or want to see copies of any assessments, eg equality impact assessment, please get in touch with:

<b>Officer Name:</b>	<b>Tel No:</b>	<b>Email address:</b>
Simon George	01603 222400	<a href="mailto:simon.george@norfolk.gov.uk">simon.george@norfolk.gov.uk</a>
Geoff Connell	01603 222700	<a href="mailto:geoff.connell@norfolk.gov.uk">geoff.connell@norfolk.gov.uk</a>



If you need this report in large print, audio, braille, alternative format or in a different language please contact 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

## Performance discussions and actions

Reflecting good performance management practice, there are some helpful prompts that can help scrutinise performance, and guide future actions. These are set out below.

### Suggested prompts for performance improvement discussion

In reviewing the vital signs that have met the exception reporting criteria and so included in this report, there are a number of performance improvement questions that can be worked through to aid the performance discussion, as below:

1. Why are we not meeting our target?
2. What is the impact of not meeting our target?
3. What performance is predicted?
4. How can performance be improved?
5. When will performance be back on track?
6. What can we learn for the future?

In doing so, committee members are asked to consider the actions that have been identified by the vital sign lead officer.

### Performance improvement – suggested actions

A standard list of suggested actions have been developed. This provides members with options for next steps where reported performance levels require follow-up and additional work.

All actions, whether from this list or not, will be followed up and reported back to the committee.

### Suggested follow-up actions

The suggested 'follow up actions' have been amended, following on from discussions at the Communities Committee meeting on 11 May 2016, to better reflect the roles and responsibilities in the Committee System of governance.

	Action	Description
1	Approve actions	Approve actions identified in the report card and set a date for reporting back to the committee
2	Identify alternative/additional actions	Identify alternative/additional actions to those in the report card and set a date for reporting back to the committee
3	Refer to Departmental Management Team	DMT to work through the performance issues identified at the committee meeting and develop an action plan for improvement and report back to committee
4	Refer to committee task and finish group	Member-led task and finish group to work through the performance issues identified at the committee meeting and develop an action plan for improvement and report back to committee
5	Refer to County Leadership Team	Identify key actions for performance improvement and refer to CLT for action
6	Refer to Policy and Resources Committee	Identify key actions for performance improvement that have 'whole Council' performance implications and refer them to the Policy and Resources committee for action.





# Digital Innovation & Efficiency Committee

Item No: 5

Item 11

<b>Report title:</b>	<b>New Social Care System</b>
<b>Date of meeting:</b>	<b>8 November 2017</b>
<b>Responsible Chief Officer:</b>	<b>James Bullion, Executive Director of Adult Social Services</b>

## Strategic impact

CareFirst has been NCC's social care system since November 2007. It is a key core system for NCC and its availability and functionality are business-critical. The system is used by Adult Social Services, Children's Services, Finance Exchequer Services for paying providers and charging for social care and Procurement for contract administration. The current contract with OLM for the CareFirst system should have expired in March 2016 and has been extended to March 2018. There are a number of reasons for replacing CareFirst which are set out in the body of this report.

The objective of the Social Care System Replacement programme is to procure and implement a social care information system for Norfolk County Council that will meet current and future business requirements, including integration with partners, which will enable us to support vulnerable people most effectively. This will form the platform on which savings, integration and service improvements can be developed and delivered.

## Executive summary

The purpose of this report is to inform the Digital Innovation and Efficiency Committee of the progress of the Social Care System Replacement (SCSR) programme, outline the benefits and future development.

The new Liquidlogic and ContOCC systems are scheduled to go live the week commencing 20 November, following successful completion of live testing. The project is progressing through a series of five Programme Board 'Go / No Go' gates. The final 'Go/No Go' gate is on 20 November. At the time of writing the report preparations for go live are on target.

It is proposed that there will be a further report to the January meeting of this Committee providing a further update on the programme and a demonstration of the system.

### Recommendation:

**The Digital Innovation and Efficiency Committee are asked to note the progress on delivering the new Social Care Record System for Adult Social Services, Children's and Finance and to agree to a further report to the January meeting of this Committee.**

<b>1</b>	<b>Introduction</b>
1.1	CareFirst has been NCC's social care system since November 2007. It is a key core system for NCC and its availability and functionality are business-critical. The system is used by Adult Social Services, Children's Services, Finance Exchequer Services for paying providers and charging for social care, and Procurement for contract

	administration. The current contract with OLM for the CareFirst system should have expired in March 2016 and has been extended to March 2018.
1.2	There were a number of reasons for replacing CareFirst. The key benefits are: 1) A resilient and adaptable system to underpin our planning and delivery of social care through to 2025; 2) Savings, integration and service improvement through an intuitive, flexible system; 3) Compliance with the legal and procurement imperatives.
1.3	<p>The Policy and Resources Committee agreed on 8 February 2016 to:</p> <ul style="list-style-type: none"> <li>• Allow an exemption to Contract Standing Orders to extend the contract for the current CareFirst system to March 2018, to permit a phased transition;</li> <li>• the procurement of a replacement social care recording system that meets current and future business requirements, effectively;</li> <li>• associated capital funding of £7.926m;</li> <li>• recommend the revenue funding of £0.150m for 2015-16 and £2.271m over the three years 2016-17 to 2018-19.</li> </ul> <p>Reports had been presented to the Adult Social Care Committee on 25 January 2016 and to the Children's Services Committee on 26 January 2016 and their recommendations were presented to the Policy and Resources Committee.</p>
1.4	<p>In February 2016 the project to replace Care First had been provisionally planned as follows:</p> <ul style="list-style-type: none"> <li>• Phase 1 (Requirements) – to inform the development of an agreed Requirements Specification by March 2016;</li> <li>• Phase 2 (Procurement) – selection of a solution and supplier by October 2016;</li> <li>• Phase 3 (Implementation) – configuration of solution, business process review, training, migration of data and go-live by April 2018.</li> </ul>
1.5	The project engaged with the market, users and stakeholders to inform the development of an agreed Statement of Requirements (SoR) by March 2016. A contract notice to start the formal procurement process was published on 6 May 2016. Three bids were received by 10 June 2016 and the bids were formally and extensively evaluated. Following this NCC awarded the contract to the new system provider, Liquidlogic, on 31 August 2016.
1.6	The project aims to implement the new system (LAS – Liquidlogic Adults System) for Adult Social Care and associated Finance functions (ContrOCC) by the end of November 2017, and for Children's Services (LCS – Liquidlogic Children's System) and associated finance functions (ContrOCC) by the end of March 2018.
<b>2</b>	<b>Governance</b>
2.1	The cross departmental nature of this programme dictates that it sits under its own governance hierarchy and provides reporting for information to each departmental transformation change programme. There is a SCSR Programme Board that meets monthly and includes: the Executive Director of Adult Social Services; the Executive Director of Children's Services; the Executive Director of Finance and Commercial Services; the Strategy Director; the account manager for Liquidlogic; the External Quality Assurance Consultant; the Head of IMT; the Joint Leadership Advisory Group Leads; and the two Senior Project Managers. Updates are provided regularly to CLT (County Leadership Team) and CLT make key decisions.



2.2	The Joint Leadership Advisory Group (JLAG) meets weekly to monitor progress, resolve issues and make decisions. It consists of: the Assistant Director Early Help and Prevention (Adult Social Services); the Assistant Director Performance and Challenge (Children's Services); the Head of Finance Exchequer Services; and the two Senior Project Managers. Other people attend as required.
<b>3</b>	<b>Benefits</b>
3.1	<p>The strategic principles for the Social Care System Replacement are:</p> <ol style="list-style-type: none"> <li>1) <b>A joined-up social care system for Adults, Children's, Finance and Procurement</b> - in order to enable and support more integrated approaches with the whole family, transition from child to adult, contracts, commitments and forecasting.</li> <li>2) <b>Integration with Health and other partners</b>, reflecting our integrated commissioning and delivery in Adults, including direct working together under partnership arrangements under section 75 of the NHS Act 2006, and the new locality-based multi-agency hub approach in Children's.</li> <li>3) <b>Supporting vulnerable people</b> – the solution is an enabler for our corporate outcome framework - that all vulnerable people who live, work, learn and are cared for will be safe; and that vulnerable people are more resilient and independent.</li> <li>4) <b>Simplicity, with straightforward recording, automated workflows and readily accessible information</b>, in order to improve efficiency and release practitioner time while supporting our compliance with relevant legislation.</li> <li>5) <b>Information and our use of it drives the system</b>. Information sharing with partners underpins commissioning and delivery within a 'whole system' approach. We also need to make citizens' own records more accessible to them.</li> <li>6) <b>Transformation</b> – from the National Information Board digital strategy through to local initiatives (Caring for Our County, Signs of Safety and Promoting Independence) - will require a system and supplier that are flexible and offer innovative solutions.</li> <li>7) <b>The strategic IMT architecture</b> requires integration of the social care system - with Identity Management, the Information Hub, Records Management, Customer Relationship Management, portals, and the means to control staff and other users access to systems - in order to support the corporate programme and exploit wider benefits.</li> </ol>
3.2	<p>The benefits include:</p> <ul style="list-style-type: none"> <li>• Time savings delivered through reduced administrative and data input time required by front line social care staff in Adult Social Services and Children's Services</li> <li>• Improved management information to reduce managers/supervisors' administration time and improve case management</li> <li>• Reduction in annual application support costs</li> <li>• Improved outcomes and efficiencies through mobile working</li> </ul>

	<ul style="list-style-type: none"> <li>Improved service through integrated working and data sharing with NHS and other public sector partners</li> <li>Improved care package commissioning process through improved information</li> <li>More robust data quality for reports and mandatory returns</li> <li>The ability to generate accurate client based milestone-driven information to enable NCC to plan and target services, manage demand and improve performance.</li> </ul> <p>Screenshots of how the new system will look to a social care user of the system are included in Appendices One to Four:</p> <ul style="list-style-type: none"> <li>A snapshot of how a case will appear</li> <li>A user worktray</li> <li>A visual display of a person's network</li> <li>Workflow.</li> </ul>
<b>4</b>	<b>Phase Two</b>
4.1	<p>As part of the implementation planning for the SCSR programme it is intended to deliver a number of functions in Phase Two, after the major go live dates for Adults and Adults Finance in November 2017 and Children's and Children's Finance in March 2018. Detailed planning for Phase Two will start after the Adults and Finance Go Live in November. The functions include:</p> <p><b>Adults Client and Citizen Portal</b> including integration with NCC portal This will enable service users elements of self service and interaction with NCC online. This can be one way eg provision of information or two eg exchange of information. This could enable the citizen to receive their care information (assessment/plan) directly from LAS into a secure online account – saving on postage and ensuring more secure, electronic transfer of information. Citizen portal functionality also enables online referrals to be made directly in the Liquidlogic systems. For example this could be used to enable GP referrals to be made directly online into LAS (as Wirral do) rather than GPs ringing into the Customer Service Centre as they do at present.</p> <p><b>Integration of Liquidlogic with the corporate CRM (Client Record Management) System</b> – Would enable information captured at the front door by the Customer Services team to be automatically fed into social care system, and to prevent duplication of recording for the Customer Service Centre, who double-key the information at present into both systems.</p> <p><b>Adults Finance - Online Financial Assessment Portal</b> - Enables self-service financial assessments, which are required to see if people should contribute towards the cost of their social care. This has a dependency on corporate pieces of work and is a complex function to implement.</p> <p><b>EHM (Early Help Module) rolled out to partners via Professional Portal</b> - Enables NCC workers to delegate parts of assessments to other professionals to contribute to assessments held in the Early Help Module. It could also mean that non-NCC early help professionals could complete Family Support Plans.</p> <p><b>Mobile working including deployment of mobile apps</b> - Enables use of <i>restricted</i> case management system on mobile devices (tablets/hybrids). It would have significant benefits in enabling recording work to be carried out 24/7, and would have a</p>

	<p>real impact when combined with mobile printers. Eg Staff who assess under the Mental Health Act at all hours and have to leave a copy of their assessment immediately on a ward. Currently the staff hand-write the assessment, and then return to the office to double-key. The opportunities will be informed by the results of the pilot. It will need a separate business case to secure funding for hardware.</p> <p><b>Children’s Troubled Families module.</b> The Troubled Families functionality enables families to be identified and matched across multiple data sources. Data from contributing systems such as Police, Education, Youth Offending, etc would be into the Liquidlogic Single View and Data Warehouse, from where the payment by results returns can be generated. It enables increased automation of the identification of troubled families, able to see how the family is progressing, monitoring for payment by results and reporting requirements to central government.</p> <p><b>Adults Finance Client Finance Portal</b> – the ability for service users to self-serve online: Online Remittances; Online Documents (upload/download); Link to the ‘Online Financial Assessments’ (OFA); View Invoices; Accounts and Balances.</p> <p><b>Children’s Portal including extensions.</b> Families and Children would be able to view documents, complete forms and message about their cases and plans. Professionals could also report concerns. Care leavers could contribute towards pathway planning and review processes; they could view information published out to them from their records.</p> <p><b>Integration with Health</b> - the system can facilitate a shared care record. A shared care record is an overview of a person’s health and social care information in one digital record. All the health and social care professionals involved in a person’s care have access to the information they need and thus provide better care, making the best decisions about diagnosis, treatment and care plan. It could include test results, medications, allergies and social or mental health information. It would mean that: people don’t have to keep repeating their medical or social care history; care professionals have access to the right information when they need it; a reduction in duplicate appointments and tests; people should receive the right treatment and care more quickly.</p>
<b>5</b>	<b>Progress To Date</b>
5.1	<p>The <b>Adult Social Services and Finance project</b> has completed all four formal test rounds and a dry run is in progress.</p> <p>The training programme started at the beginning of October, taking seven weeks. The face to face training (some 3,500 units; there are multiple units of training per staff members that vary by role) has commenced. It is being delivered in Great Yarmouth, Kings Lynn, Dereham, Cromer and County Hall.</p> <p>Efforts are focused on building the helpdesk function that will support staff through the implementation process, on training staff and on communication. A comprehensive structure of support resources have been developed over time to help users continue to work effectively during the implementation window when there is no system available and to adjust to working with the new systems. An intranet site includes FAQs, guidance and other materials and is already updated on an ongoing basis. A network of over 100 Champions has been developed from early in the year to provide local support. A helpdesk function has been established in room B33 bringing together members of the current CareFirst support team, the Adults project team and the IMT</p>

	<p>System Administration team. The Finance team also has a network of champions and the project team will be on site to provide assistance. The eLearning training materials are available for reference and Liquidlogic trainers have been retained as floor walkers to provide support in locations across the county for two weeks following go live.</p> <p>Work on the Provider Portal continues to progress positively, with process maps being finalised, training videos being produced and regular communications being provided to providers.</p> <p>A suite of reports is on target to be available from Go Live to provide dashboard style access to information relating to Adult Social Services case work. The reports provide the ability to drill down to individual cases. Core financial reporting is also under development and is expected to be available from go live. Further work will be carried out after go live to develop more sophisticated self-service reporting.</p> <p>The new Liquidlogic and ContOCC systems are scheduled to go live the week commencing 20 November, following successful completion of live testing. The project is progressing through a series of five Programme Board 'Go / No Go' gates. A set of 94 acceptance criteria have been defined based on key project deliverables and these are re-assessed for each Go/No Go decision point. The final 'Go/No Go' gate is on 20 November.</p> <p>At the time of writing this report preparations for go live are on target and there are no show stopping issues.</p> <p>However it is important to note that the Briefcase function will not be available from go live delaying the ability to work 'offline'. Work is continuing by NCC and Liquidlogic to diagnose the performance issues being experienced as the Briefcase' offline working performance needs to be improved on NCC infrastructure if it is to be usable.</p> <p>Also a key issue for the programme currently is the delivery of the secondary Network link. The primary network link to the hosting site is in place and was tested in round 4 of UAT (User Acceptance Testing). The secondary link from the disaster recovery site has been installed by Virgin Media at the Millennium Library and is due to be connected up by staff from Liquidlogic's parent company (System C) by the end of October.</p>
5.2	<p>The <b>Children's Services and Finance project</b> has completed two of the four formal rounds of testing. The third round of testing starts from the 30 October and lasts for three weeks.</p> <p>There are risks currently being mitigated relating to: the availability of finance project team members not being ready to be released from the Adults half of the programme to support the Children's side; the availability of Liquidlogic resources to deliver NCC's form requirements; the timely availability of testers; and that Children's testers will not be available should an Ofsted inspection coincide with the third round of testing due to commence on 30 October.</p>
<b>6</b>	<b>Financial Implications</b>
6.1	The project overall continues to be forecast to be on budget.
<b>7</b>	<b>Issues, risks and innovation.</b>
7.1	<p>At the time of Policy and Resources Committee on 8 February 2016 the major risks identified were:</p> <p>1) Being unable to resource the project to meet the April 2018 deadline</p>

- 2) Setting a scope that is either too ambitious or not challenging enough
- 3) The market may not provide an affordable solution
- 4) It may be difficult to establish costs and fund the project
- 5) National and local agendas may cause our requirements to change radically between procuring and implementing the system
- 6) Corporate governance may be challenging to establish standard requirements for a complex project involving users from four council departments and three committees.

These risks are being successfully managed.

The Programme has a Risk Register which is reviewed regularly by the JLAG Leads and by the Programme Board. Given the scope, size and nature of the programme the project team and Board are managing risks and issues all the time.

The key risks and the mitigations currently are:

- a) Numbers of 'no shows' at Adults training cannot be accommodated in the limited remaining training window. There are regular communications to managers and staff that they must complete their eLearning before attending face to face training and the need to maintain their booked slot where at all possible
- b) Transactions are lost in the period where there is no system available. Business continuity processes have been updated to enable capturing of case information to Liquidlogic format form templates and storing in a structured way to enable recording in new systems when live. Champions and helpdesk in place to help support staff.
- c) Briefcase function is not available from go live delaying the ability to work 'offline'. Work is continuing to diagnose the performance issues being experienced.
- d) A total failure of the Adults live implementation delays effective go live and results in a prolonged period working with business continuity processes. Detailed implementation plans are in place and the testing completed has informed acceptance criteria which so far indicates no show stopping issues. A full dry run will be completed before actual go live and contingency plans are being developed to inform decision making and action at the time of implementation.
- e) The risk that Children's testers will not be available should an Ofsted inspection coincide with the third round of testing due to commence on 30 October (this date is also an Ofsted Inspection notification date). The main mitigation for this is the project team are separately funded and will still be available to complete a reduced level of testing. In addition to this a number of part time staff have been identified who would be willing to work additional hours to support testing activities.
- f) Testing will not be completed to a level that provides assurance the Children's systems are ready to go live. There are two current challenges relating to this risk including the unavailability of testers during Childrens user acceptance round 2 and LL not delivering certain aspects of functionality in line with the agreed project plan. Both elements are being addressed ready for the third round of testing.
- g) There is a risk around the level of technical resource available from within the finance project team. The resource was expected to be released from the Adults part of the programme, but is still required to complete outstanding work to support Adults go-live. This risk has been known for a while but has increased in likelihood recently. Previously additional business analyst resource was secured and is working on the Children's Finance part of the project. To further mitigate this risk additional specialist ContrOCC support has now also been secured which started from 16 October.

	h) The risk that not all form requirements will be met by Liquidlogic (LL) due to their lack of available resource. NCC have prioritised the forms to better enable LL to manage the workload. Liquidlogic have also scheduled an additional configuration release in early February to provide additional capacity and have offered overtime to their product analyst in an attempt to meet the demand.
<b>8</b>	<b>Conclusion</b>
8.1	<p>The SCSR programme has progressed well with an ambitious scope and timeline since the Policy and Resources Committee agreed on 8 February 2016 to the procurement of a replacement social care recording system.</p> <p>The new Liquidlogic and ContOCC systems are scheduled to go live the week commencing 20 November, following successful completion of live testing. The project is progressing through a series of five Programme Board 'Go / No Go' gates. The final 'Go/No Go' gate is on 20 November. At the time of writing the report preparations for go live are on target.</p>
<b>9</b>	<b>Recommendation</b>
9.1	<b>The Digital Innovation and Efficiency Committee are asked to note the progress on delivering the new Social Care Record System for Adult Social Services, Children's and Finance and to agree to a further report to the January meeting of this Committee.</b>

## Officer Contact

If you have any questions about matters contained in this paper please get in touch with:

**Officer Name:** Janice Dane      **Tel No:** 01603 223438      **Email address:** [Janice.Dane@norfolk.gov.uk](mailto:Janice.Dane@norfolk.gov.uk)



If you need this report in large print, audio, Braille, alternative format or in a different language please contact 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

### Appendix One: Screenshot of My View – a snapshot of the case

**Child: Emily Example** 13 years (Ref: 34)

My View

ERM

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My View

My Page 1

Timelines

### Case Summary

Emily and her family have moved to this authority area in August 2011.

There have been repeated DV incidents between Emily's mother Edith (alleged victim) and Edith's partner, Jonas Jones (alleged perpetrator).

**Emily has witnessed DV incidents and has unexplained injuries resulting in A&E visits.**

Emily has unexplained unauthorised periods of school absence. Emily has chronic asthma which is not being managed at home. House shows evidence of drug and alcohol abuse.

**Repeat...**

Last updated by Ken Wetherby 784 days ago

+ Show extra detail...

### Parental Factors of Related Persons

Name	Parental Factor	Yes	No
Jonas Jones	Known History of Domestic Violence (Perpetrator)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Problem Drinking Abuse	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Problem Drug Abuse	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Edith Example	Problem Drug Abuse	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Problem Drinking Abuse	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Known History of Domestic Violence (Victim)	<input checked="" type="checkbox"/>	<input type="checkbox"/>

### Professional Involvements

Name	Involvement	Dates
Ken Wetherby	Allocated Case Worker	02 Apr 2012 to present

### Case Pathway Timeline

### CLA Timeline

### Last 5 People to view this record

- Ken Wetherby 12 minutes ago
- Dylan Delegate 19 Nov 2015
- System User 26 Oct 2015
- Terry Transitions 14 Sep 2015
- Ruby Davidson 01 Jun 2015

### 5 most recent case notes

#### Ken Wetherby - Statutory Visit (Looked After)

Emily is happy and likes living with her carer.  
13 Apr 2015

#### Ken Wetherby - Statutory Visit (Looked After)

Looked after statutory visit to assess whether placement is meeting Emily's educa...  
09 Sep 2014

#### Ken Wetherby - Statutory Visit (Looked After)

Emily is happy in her placement  
17 Mar 2014

#### Ken Wetherby - Statutory Visit (Looked After)

Emily's first CLA statutory visit goes here....  
17 May 2013

#### Ken Wetherby - Child Sexual Exploitation

Emily has made an allegation of sexual exploitation against Wayne Smith

### Relationship Summary with Alerts

Relationship	Name	Alerts
Self	Emily Example	
Mother	Edith Example	
Mother's Partner	Jonas Jones	
Carer	Nanny McPhee	
Cared For of Nanny McPhee	Charlie Fredricks	
Cared For of Nanny McPhee	Annie Cranshaw	
Cared For of Nanny	Amy Adoption	

## Appendix Two: Screenshot of User Worktray

Child: Emily Example 13 years (Ref: 34)

My View

My View

My Page 1

Timelines

Case Summary

Emily and her family have moved to this authority area in August 2011. There have been repeated DV incidents between Emily's mother Edith (alleged victim) and Edith's partner, Jonas Jones (alleged perpetrator).

Emily has witnessed DV incidents and has unexplained injuries resulting in A&E visits. Emily has unexplained unauthorised periods of school absence. Emily has chronic asthma which is not being managed at home. House shows evidence of drug and alcohol abuse. Repeat...

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+ Show extra detail...

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	Problem Drinking Abuse	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Problem Drug Abuse	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Edith Example	Problem Drug Abuse	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Problem Drinking Abuse	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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Professional Involvements

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Ken Wetherby	Allocated Case Worker	02 Apr 2012 to present

Case Pathway Timeline

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**Ken Wetherby - Statutory Visit (Looked After)**  
Emily is happy and likes living with her carer.  
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**Ken Wetherby - Statutory Visit (Looked After)**  
Looked after statutory visit to assess whether placement is meeting Emily's educa...  
09 Sep 2014

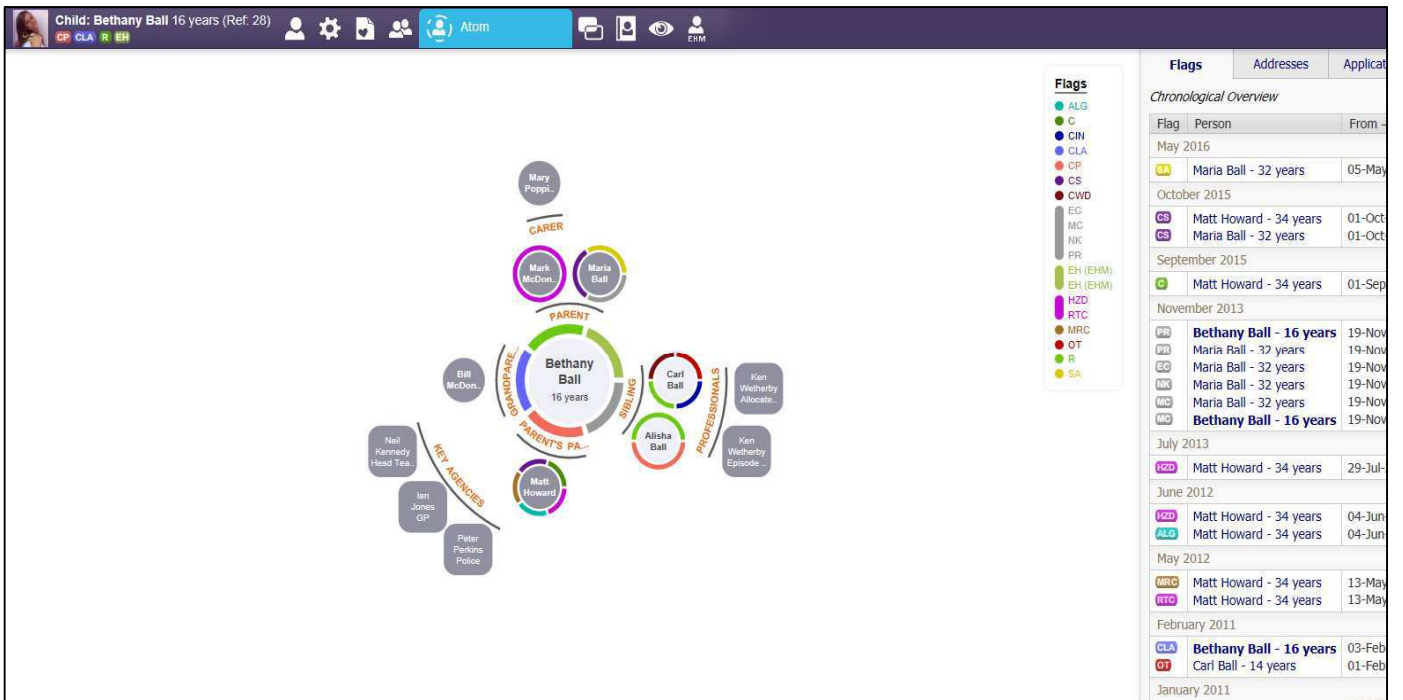
**Ken Wetherby - Statutory Visit (Looked After)**  
Emily is happy in her placement  
17 Mar 2014

**Ken Wetherby - Statutory Visit (Looked After)**  
Emily's first CLA statutory visit goes here....  
17 May 2013

**Ken Wetherby - Child Sexual Exploitation**  
Emily has made an allegation of sexual exploitation against Wayne Smith who works...

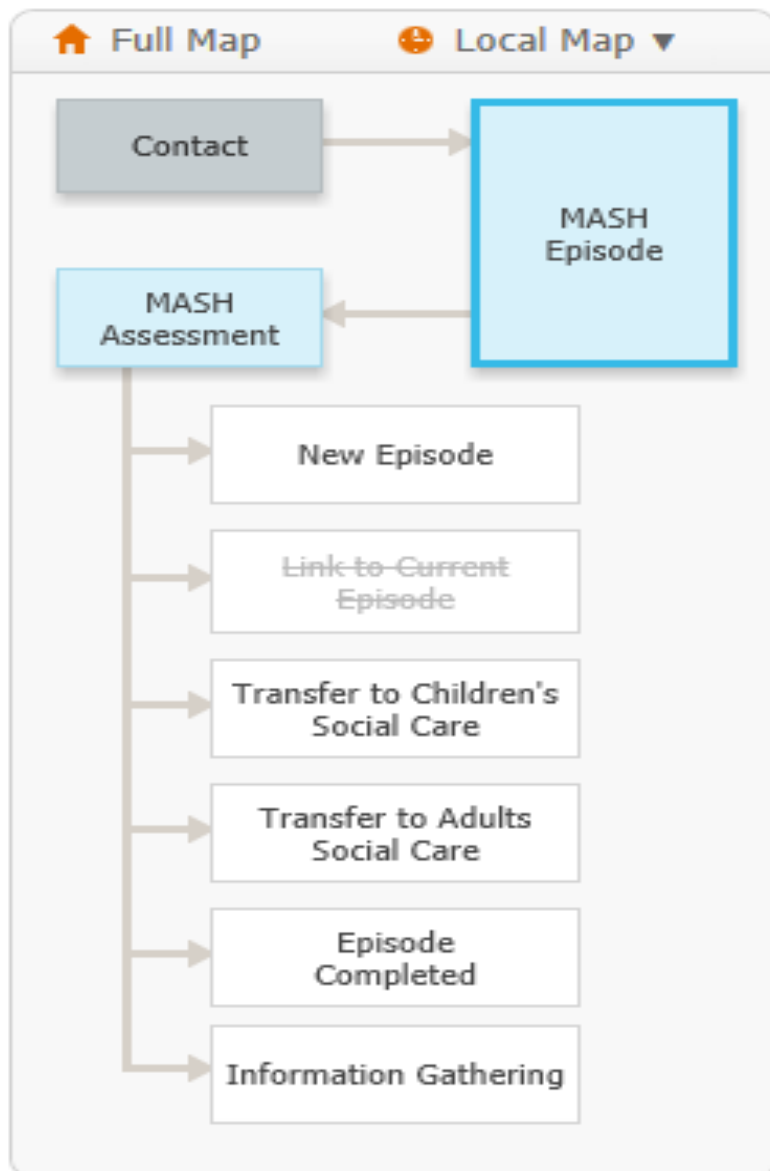


## Appendix Three: Screenshot of Atom – visual display of a person's network



## Appendix Four: Workflow (example from Early Help)

Workflow is embedded in the system. It enables training and learning. It steps the worker through case management – shows them where they have been, and what the next options are.



# Digital Innovation and Efficiency Committee

Item No. ....  
Item 12

<b>Report title:</b>	<b>IMT Risks and Associated Actions Report</b>
<b>Date of meeting:</b>	<b>8<sup>th</sup> November 2017</b>
<b>Responsible Chief Officer:</b>	<b>Executive Director, Finance and Commercial Services</b>
<b>Strategic impact</b> Risk management contributes to achieving the Digital Innovation and Efficiency Committee's objectives, and is a key part of the performance management framework. Assurance on the effective governance of risk management helps the Committee undertake some of its key responsibilities.	

## Executive Summary

This is the first Risk Management report to this committee. This report provides the latest corporate and departmental level risks, relating to the Committee, as at November 2017, following the review conducted in October 2017. Risk management is reported in its own right but the reporting is aligned with, and complements, the performance and financial reporting to the Committee.

**Recommendations:** Committee Members are asked to consider:

- a. That risk management reporting to this Committee is no less than twice per year;
- b. The risks reported to this Committee (**Appendix A**)
- c. if any further action is required (**Appendix B**)
- d. The background information in **Appendix C**

## 1. Proposal

- 1.1. Relevant Departmental Management Teams (DMTs) have been engaged in the updates to the corporate and departmental level property risks within this report that are proposed to be presented to this Committee going forward. Any additional risks identified will be added to be reported at future Committee meetings appropriately.

## 2. Evidence

### 2.1. Direction and Development

- 2.1.1. This report reflects two key business risks, relating to this Committee, that are managed in Finance and Commercial Services, and Community, and Environmental Services (CES) departments. Key business risks materialising could potentially result in the departments failing to achieve one or more of their key objectives and/or suffer a financial loss or reputational damage. Two risks are presented in **Appendix A**, which contains a full description of each risk, with the tasks to mitigate it and the progress of each mitigation;

- **RM010 - The risk of the loss of key ICT systems including:**
  - internet connection;
  - telephony;
  - communications with cloud-provided services; or
  - the Windows and Solaris hosting platforms.
- **RM14223 - Payment Card Industry compliance of call monitoring system**

- 2.1.2. There are three risk tolerance scores (original, current, and target), with each score expressed as a multiple of the impact and the likelihood of the event occurring. Where there are sufficient risks to report to this Committee, a heat map will be produced and reported, showing the position of these risks on the County Council's risk spectrum.

- 2.1.3. Work is taking place to further develop those risks that fall under the remit of this Committee. As part of this work, risks that could affect the Council priorities that are relevant to this Committee will be identified and reported appropriately going forward.

- 2.1.4. For future Risk Management reports, a reconciliation report will be provided to Members detailing any significant changes to the risk reported to this Committee since the last Committee meeting, including score changes, and major mitigation or progress updates.

- 2.1.5. The Council has a [Risk Management Policy](#) which has recently been refreshed and reported to the Audit Committee and Policy and Resources Committee. As part of the overall development of the performance and risk management framework for the Council, a new approach to corporate and departmental risk management is being adopted. This new approach involves the development of corporate and

departmental level risks that are: outcome focussed; linked to strategic priorities; business critical, identifying areas where failure places the organisation in jeopardy; linked to financial and performance metrics. It is dependent upon a shared understanding of the risk appetite of the council.

- 2.1.6. A key element of this work is cultural change and absolute clarity of roles, responsibilities and process. Specifically, clarity of what these risks are, who is responsible for them, what they are doing to actively manage the risks and what measures are in place to hold people to account.
- 2.1.7. To assist Members with considering whether the mitigations identified in this report are appropriate, or whether other mitigations or another course of action is required, a list of such possible actions, suggested prompts and challenges are presented for information and convenience in **Appendix B**.
- 2.1.8. Explanations for the various scores and terminology can be found in a 'Bite Sized Guide to Risk Management' previously presented in an Audit Committee meeting agenda paper, pages 368-378. Risk tolerance scores are based on the scoring model found in the Norfolk County Council Management of Risk Framework.
- 2.1.9. The criteria for Corporate and Departmental risks are described at Note 1. A description of target scores is shown at Note 2.

### **3. Risk Management Reporting to Committees**

- 3.1. Risk management is reported separately to Financial and Performance Management at Committees, although there continue to be close links between financial, performance, and risk reporting.
- 3.2. Risks that, by their nature, are either directly or indirectly related to this Committee are referenced in this report. Going forward, the reporting to this Committee will be by exception, including full information for risks with a current risk score of 12 and above where the prospects of meeting the target score by the target date is reported as amber or red. Those risks that fall under the remit of this Committee and which are not reported at other Committees will be presented to this Committee in a summary.
- 3.3. As per a recommendation from the June 2017 Audit Committee, full Committee risk registers are reported at least once per year, detailing all of the Committee's departmental level and corporate risks for consideration. Members are asked to consider the frequency of reporting for Risk Management for this Committee. For guidance, other Committees receive quarterly Risk Management reports.
- 3.4. Background information on the different levels of risk, along with the definitions of risk appetite and tolerance can be seen in **Appendix C**.

### **4. Financial Implications**

- 4.1. The financial implications of this Committees risks will be reported to this Committee. At present, there are no financial risk implications to report.

## 5. Issues, risks and innovation

- 5.1. There is a new risk that is being managed on the Communities departmental risk register: *RM14293 - The organisation does not have sufficient technical capacity and/or skills to meet the needs of its digital transformation and technology driven efficiency agenda at the required pace.*

Risks affecting the better Broadband for Norfolk programme of work are managed and reported separately to the Better Broadband for Norfolk Steering Group.

A recent ICT Continuity presentation was delivered at the Council's Resilience Board, outlining measures being taken to ensure effective ICT continuity.

The Risk Management Strategy 2016-19 will include best practice. The intention is to promote the benchmarking of the function from 'Highly rated against peers' to 'world class'.

## 6. Background

- 6.1 The review of existing risks has been completed with responsible officers.

### Officer Contact

If you have any questions about matters contained in this paper or want to see copies of any assessments, i.e. equality impact assessment, please get in touch with:

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**Officer name :** Thomas Osborne **Tel No. :** 01603 222780

**Email address :** [thomas.osborne@norfolk.gov.uk](mailto:thomas.osborne@norfolk.gov.uk)



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### Note 1:

A Corporate Risk is one that:

- requires strong management at a corporate level thus the Council Leadership Team should direct any action to be taken

- requires input or responsibility from more than one Executive Director for mitigating tasks; and
- If not managed appropriately, it could potentially result in the County Council failing to achieve one or more of its key corporate objectives and/or suffer a significant financial loss or reputational damage.

The criteria for a Departmental Risk Register is that:

- It requires strong management at a departmental level thus the Departmental Management Team should direct any action to be taken.
- If not managed appropriately, it could potentially result in the County Council failing to achieve one or more of its key departmental objectives and/or suffer a significant financial loss or reputational damage.

## **Note 2:**

The prospects of meeting target tolerance scores by the target dates are a reflection of how well mitigation tasks are controlling the risk. The contents of this cell act as an early warning indicator that there may be concerns when the prospect is shown as amber or red. In these cases, further investigation may be required to determine the factors that have caused the risk owner to consider that the target may not be met. It is also an early indication that additional resources and tasks or escalation may be required to ensure that the risk can meet the target tolerance score by the target date. The position is visually displayed for ease in the “Prospects of meeting the target score by the target date” cell as follows:

- Green – the mitigation tasks are on schedule and the risk owner considers that the target score is achievable by the target date
- Amber – one or more of the mitigation tasks are falling behind and there are some concerns that the target score may not be achievable by the target date unless the shortcomings are addressed
- Red – significant mitigation tasks are falling behind and there are serious concerns that the target score will not be achieved by the target date and the shortcomings must be addressed and/or new tasks introduced.





Risk Number	RM010		Date of update		22 September 2017					
Risk Name	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.									
Risk Owner	Simon George		Date entered on risk register		02 September 2015					
Risk Description										
Loss of core / key ICT systems, communications or utilities for a significant period - as a result of loss of power, physical failure, fire or flood, supplier failure or cyber attack - would result in a failure to deliver IT based services leading to disruption to critical service delivery, a loss of reputation, and additional costs. Overall risk treatment: reduce.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	1	3	3	Mar-18	Amber
Tasks to mitigate the risk										
1) Full power down completed periodically. 2) Voice and Data repurchase. 3) Commission Independent Data centre and power audit 4) Reproduce storage with suitable resilience and Disaster Recovery (DR) 5) Reprocure Microsoft Server Infrastructure with suitable resilience and DR 6) Replace ageing Local Area Network (LAN) equipment 7) Identify a suitable DR site. 8) Ensure access to services if county hall lost by reconfiguring Core Infrastructure Services (DHCP, DNS, Active directory) 9) Implement Cloud-based business systems with resilient links for key areas. 10) Replace voice services (contact centre / desk phones) with resilient cloud based service including Relocate resilient Network Routing Server to allow call routing to continue for other sites if County Hall failed Reconfigure sites to point to an active Survivable Media Gateway (one of the 4 ISDN sites) so if Avaya fails a reduced fall back service is available  11) Review and Implement suitable arrangements to protect against possible cyber / ransomware attacks including <ul style="list-style-type: none"><li>• Carry out recommendations from Cyber Security Audit</li><li>• Carry out recommendations from Phishing Simulation exercise, and repeat.</li><li>• Retire Windows 2003</li><li>• Implement new client service security for Windows 10 build</li><li>• Independent IT Health Check for PSN accreditation (Oct 2017)</li></ul>										
Overall risk treatment: reduce										
Progress update										

## Progress update

- 1) Full power down completed and procedures updated from lessons learned.
- 2) Voice and Data reprocurement complete and implemented significantly increasing resilience for the Wide Area Network and internet.
- 3) Commissioned Independent Data Centre and Power audit, which completed in August 2017. The audit recommended separate diverse power supply and new data centres. Costing additional power and plan (subject to approval) of new data centre's.
- 4) New storage procured, implemented in July 2017, providing additional resilience and necessary DR capability once a full DR site is implemented.
- 5) New Microsoft Server Infrastructure procured September 2017, implementation due by January 2018 providing additional resilience and necessary DR capability once full DR site is implemented.
- 6) Replacement New Local Area Network (LAN) to be procured in Nov/Dec 2017 to reduce risk of network failure.
- 7) New potential DR site identified, and work has started to cost and seek relevant permission to implement. Once complete server, network and storage DR equipment will be moved into the new site providing full failover facilities in the event of loss of County Hall. Estimated timescale for completion; by Summer 2018.
- 8) The Core Infr-  
astructure Services (DHCP, DNS, Active directory) will be reviewed and reconfigured to enable access to systems and services in the event of the loss of County Hall and/or the DR site January 2018; implementation Summer 2018.
- 9) Cloud-based highways management system has been implemented; Liquid Logic replacement is remotely hosted and due live by April 2018 with resilient network connections ordered; review of Oracle hosting has commenced.
- 10) Replacement of contact centre system to a cloud based service due to begin migration to the cloud service Q4 2017, with full completion by Q1 2018 and replacement of the desktop telephony with Skype for business initial pilot late 2017.
- 11) To mitigate against a cyber attack, network segregation has been improved over the Wide Area Network (WAN), ensuring all partners that use the NCC network are fully segregated. Denial of Service (DDOS) and Intrusion Prevention system (IPS) has been implemented on our internet gateways and robust patching and host based protection implemented on all NCC devices that attach to the network (this is a pre-requisite of PSN accreditation, and is an ongoing task). A simulated phishing attack has been run and the results are being analysed.

<b>Risk Number</b>	RM14223			<b>Date of update</b>			14 September 2017			
<b>Risk Name</b>	Payment Card Industry compliance of call monitoring system									
<b>Risk Owner</b>	Andrew Blaxter			<b>Date entered on risk register</b>			10 March 2015			
<b>Risk Description</b>										
The current call monitoring system is not up to current PCI compliance standards, potentially leaving the organisation exposed from a compliance perspective.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	2	3	6	1	3	3	Nov-17	Amber
<b>Tasks to mitigate the risk</b>										
New call monitoring capability will be brought in from November 2017.										
<b>Progress update</b>										
Voice and data contract awarded. Update have produced a Project Initiation Document (PID) and solution.										
Implementation has been rolled back from April 2017 to November 17.										
Finance looking at new payment system, where calls transferred to an automated service, removing all PCI risk of card data.										



## Risk management discussions and actions

Reflecting good risk management practice, there are some helpful prompts that can help scrutinise risk, and guide future actions. These are set out below. Item 12

### Suggested prompts for risk management improvement discussion

In reviewing the risks that have met the exception reporting criteria and so included in this report, there are a number of risk management improvement questions that can be worked through to aid the discussion, as below:

1. Why are we not meeting our target risk score?
2. What is the impact of not meeting our target risk score?
3. What progress with risk mitigation is predicted?
4. How can progress with risk mitigation be improved?
5. When will progress be back on track?
6. What can we learn for the future?

In doing so, committee members are asked to consider the actions that have been identified by the risk owner and reviewer.

### Risk Management improvement – suggested actions

A standard list of suggested actions have been developed. This provides members with options for next steps where reported risk management scores or progress require follow-up and additional work.

All actions, whether from this list or not, will be followed up and reported back to the committee.

#### Suggested follow-up actions

	Action	Description
1	Approve actions	Approve recommended actions identified in the exception reporting and set a date for reporting back to the committee
2	Identify alternative/additional actions	Identify alternative/additional actions to those recommended in the exception reporting and set a date for reporting back to the committee
3	Refer to Departmental Management Team	DMT to work through the risk management issues identified at the committee meeting and develop an action plan for improvement and report back to committee
4	Refer to committee task and finish group	Member-led task and finish group to work through the risk management issues identified at the committee meeting and develop an action plan for improvement and report back to committee
5	Refer to County Leadership Team	Identify key actions for risk management improvement and refer to CLT for action
6	Refer to Policy and Resources Committee	Identify key actions for risk management improvement that have whole Council 'Corporate risk' implications and refer them to the Policy and Resources committee for action.



# Digital Innovation and Efficiency Committee

Item 13

<b>Report title:</b>	<b>Business Intelligence</b>
<b>Date of meeting:</b>	<b>8 November 2017</b>
<b>Responsible Chief Officer:</b>	<b>Simon George – Executive Director, Finance and Commercial Services</b>
<b>Strategic impact</b>  <p>Effective use of data, enabled by technology represents one of the few opportunities available to the council to achieve better outcomes for local people and places despite reducing budgets. Data warehousing, reporting, dashboards and GIS visualisation tools have the capacity to help staff increase operational efficiency and improve strategic decision making.</p>	

## Executive summary

In order to help the council make better decisions at a strategic and operational level, we need to ensure that we use data effectively. Access to up-to-date information, combined from multiple systems and made available through easy to use interfaces can enable the council to utilise its increasingly scarce resources more effectively.

The council's data warehouse and associated technology (known as GRID) only went fully live earlier this year but is already showing significant capacity to improve the efficiency and effectiveness of the organisation through consolidated reports, dashboards and GIS applications.

This presentation is intended to showcase the councils Business Intelligence technology, including some specific examples of where it has made a difference.

### Recommendations:

- 1. To note the development of the council's Business Intelligence technology and plans for ongoing development.**

## 1. The Background and Context

- 1.1. The term business intelligence refers to the strategies and technologies used to gain insight from business data. In a large organisation such as Norfolk County Council this will typically involve a data warehouse with feeds from line of business systems plus external reference datasets (such as property databases), linked to reporting and visualisation tools which enable the data to be shown as charts, maps and in other forms which help users to derive meaning and actionable intelligence from the underlying data.

Individual line of business systems such as Highways, Social Care, Education and Finance all have their own reporting capabilities. However, they are at varying levels of effectiveness and do not generally have the ability to benefit from cross referencing with data from other systems (internal or external) to provide greater

insight.

## **2. Example benefits of the Grid system**

- 2.1. The first example of the Grid's impact is on the performance of the IMT service. The "Dashboard" reports provided to this committee are generated using the system and the Power BI front end. These reports, combined with the ability to drill into the indicators and visualise in other ways enables IMT managers and their staff to see their individual, team and service workload in close to real time. They can then make better informed decisions about how staff time is allocated and how to process the workload. It informs problem management work (on recurring faults), enables better staff performance management, shows which systems, staff and processes are most effective and ultimately helps achieve better levels of performance and satisfaction from a smaller, lower cost support team.
- 2.2. Three other examples are provided as case studies in the presentation. They show how different data-sets are being analysed to inform whole system health and care redesign, to engage the social care service market, enabling better commissioning and an award winning children's SEN transport application. The SEN application is reducing operational costs right now and will inform future service commissioning to further reduce costs and the time children spend travelling.

## **3. Financial Implications**

- 3.1. The "Grid" data warehouse was developed by Norfolk County Council staff and so does not attract any direct licence or service fees. Therefore the ongoing use of the system has no financial implications apart from staff time and use of the Microsoft technologies upon which it is based. Experience to date shows that the system can be a valuable asset to help the councils services achieve their savings targets and maximise the effectiveness of future budgets.

## **4. Issues, risks and innovation**

- 4.1. No major issues or risks have been identified with the possible exception of information security. The information security risks have been minimised by design as the business intelligence work is managed by the council's information management team. This team is also responsible for ensuring the data we hold is only used in an open, fair and legal manner.

### **Officer Contact**

If you have any questions about matters contained in this paper or want to see copies of any assessments, eg equality impact assessment, please get in touch with:

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