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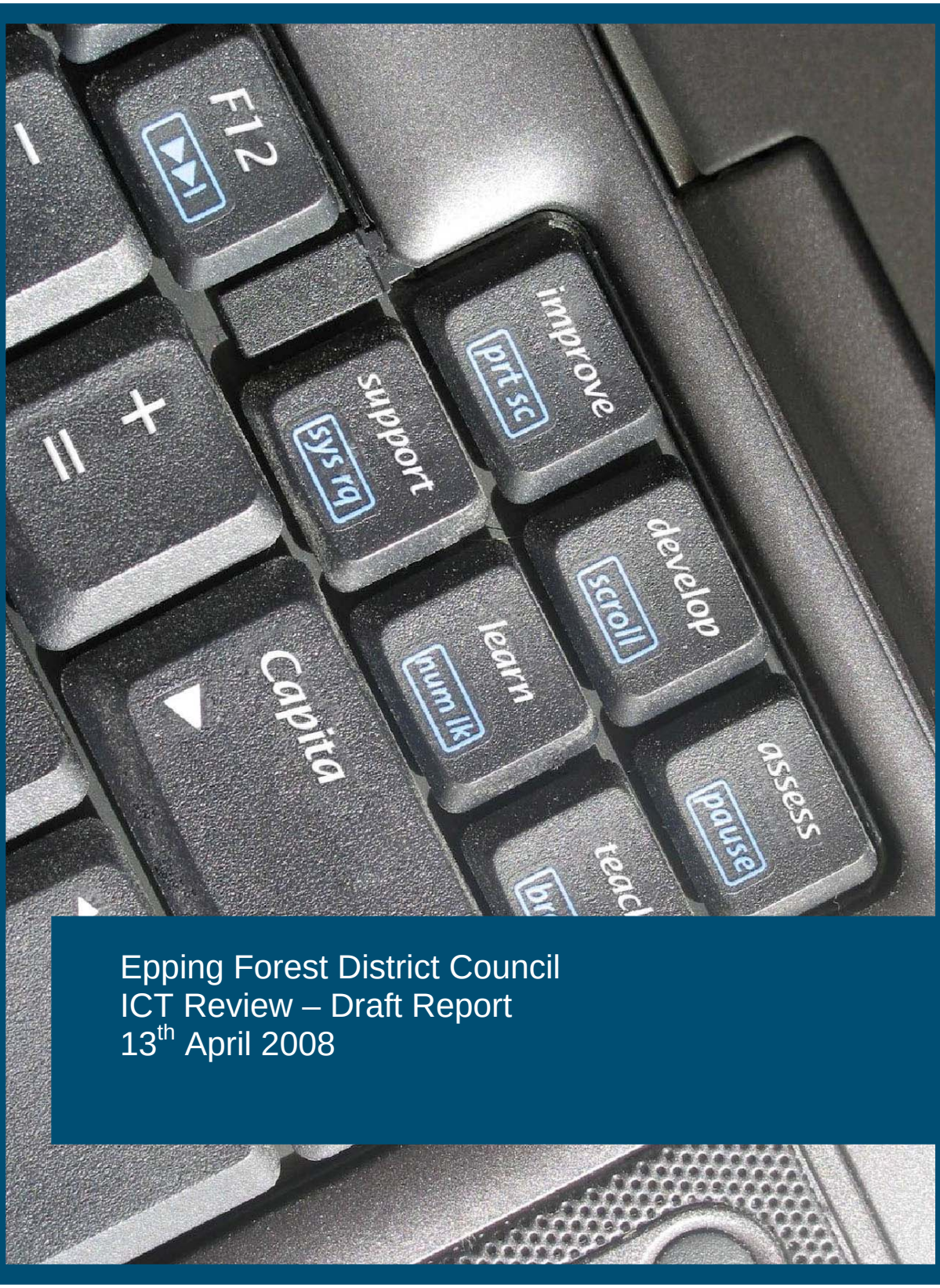
Epping Forest District Council



Epping Forest District Council
ICT Review – Draft Report
13th April 2008

Document Overview

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1 EXECUTIVE SUMMARY

1.1 Background

At the time of the review there were a number of issues and recent organisational changes which led to EFDC commissioning the review:

- Consolidation of ICT budgets
- User perception of the service was mixed
- Organisational restructure anticipating a new customer contact service
- A new Corporate Director

The review of the Council's current ICT operations within Epping Forest District Council concentrated on base lining the current operation comparing it to best practice and identifying the opportunities for ICT-related improvements and efficiency gains both at a strategic and service level.

1.2 Key Challenges

The review revealed that the current service is appropriate to maintain and improve the current IT environment. There are no major cost or risk management advantages from looking at alternative service provision such as outsourcing. There is a need to make some targeted investment in the service in order to address a range of issues identified during the review:

- Inconsistent alignment of ICT investments to strategic outcomes
- Although significant steps have been taken to improve engagement with users there is a lack of formal processes and structures for Directorates to access IT services.
- Resource planning suffers due to the absence of an overarching medium and long term development plan linked to corporate outcomes.
- EFDC has made investments in key corporate systems which have not been rolled out across the organisation.
- Any major projects will stretch the capacity and capability of the service and although a longer term view of resource planning will alleviate this somewhat there will be a need to bring in external resources.
- Shortfalls identified against ICT service best practice (ITIL).

1.3 Key Recommendations

Although guided by benchmarking against best practice the recommendations made take account of the size of and resources available to EFDC and are designed to be pragmatic. The key recommendations are:

- Targeted investment in the current service
- Creation of an IT Governance framework to ensure that investments are aligned to corporate outcomes, benefits are realised and engagement with the Directorates
- Move towards managing the ICT service and projects as a portfolio balancing outcomes and resources
- Exploit existing IT investments
- Strategic plan to move towards ITIL best practice with implementation of tactical quick wins.

2 GOVERNANCE AND STRATEGY REVIEW

2.1 Objectives:

- Baseline EFDC's current ICT Governance mechanism
- Review EFDC ICT programme and project management
- Review the current EFDC ICT strategy and policies
- Review the structure, roles and responsibilities of the ICT Department
- Understand user perceptions and views of the ICT function
- Review EFDC capital and revenue ICT expenditure
- Benchmark EFDC ICT Governance, strategy and expenditure against comparable district Local Authorities and Best Practice
- Produce an Options Appraisal identifying opportunities for improvement in ICT Strategy and Governance, for further development by EFDC.

2.2 Background

At the time of the review there were a number of issues and recent organisational changes which led to EFDC commissioning the review:

- Consolidation of ICT budgets
- User perception of the service was mixed
- Organisational restructure anticipating a new customer contact service
- A new Corporate Director

EFDC is not under any immediate pressure to achieve wholesale efficiency savings, although efficiency savings are seen as a means to invest in priority services. The Council's current strategic focus is on service improvement and ICT is seen as a key enabler of this. The recruitment and retention of ICT skills has been challenging given the salary levels that Epping can offer and the competition from central London.

2.3 Findings

2.3.1 Areas of strength

EFDC has made considerable progress in many areas to improve its ICT service particularly following the recent reorganization. There are a number of areas where the review identified strengths around the governance and strategic alignment of ICT:

- Staff within the ICT service are well regarded by the wider user community
- The consolidation of budgets has increased the strength of control over costs
- The ICT requirements coming out of the annual business planning process are being consolidated
- There is a desire both within the Directorates and ICT to move to more formalized planning processes
- Projects in the main are delivered within budget and on time
- Strategic ICT systems have been procured which could enable business change
- Cost benchmarks indicate that the Council is average in comparison with similar sized authorities.
- The enthusiasm of ICT staff and the Directorates to make the best use of ICT is a strong basis for change.

2.3.2 Best Practice Assessment

An assessment was made against the best practice for governance and strategy using the National eService Delivery Standards as a framework. EFDC currently exhibits characteristics bordering chaotic and responsive (see Figure 1). This when combined with the reactive assessment from the ITIL service review indicates an ICT service that has been fire-fighting. Responsive is seen as the minimum standard to ensure that the Council is using ICT effectively. This is typical of a district council such as EFDC and realistically the objective should be to move to proactive with some pockets of excellence.

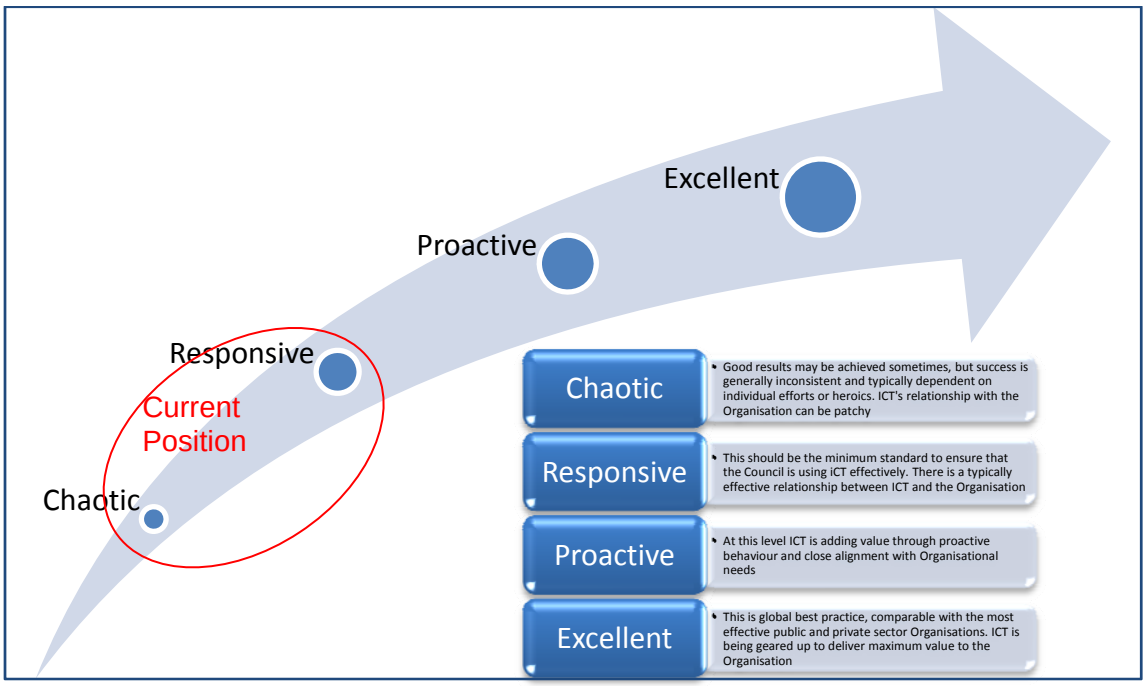

Figure 1 - Comparison with NESDS best practice

2.3.3 Strategic Challenges

The review identified a range of challenges that EFDC face in getting the best out of its investments into ICT. EFDC can consolidate its position at Responsive in the short term and move to Proactive as long as it addresses these. In summary they are:

- Inconsistent alignment of IT services and projects to corporate desired outcomes and business planning. Investments in IT are not managed as a portfolio.
- Inconsistent customer engagement with a lack of formal processes, (although this has improved dramatically in the last few months) has resulted in mixed perceptions of the value of the IT Service by the wider council.
- There is a mixed picture in terms of the capacity and capability of Directorates to make best use of IT.
- There is a lack of understanding within the Council of the impact of IT resource constraints on delivery of services to directorates including within IT.
- The absence of a comprehensive development plan hinders medium term resource planning.

- Existing IT investments such as EDRMS have not been fully exploited and in other areas, eg.GIS a corporate standard has not been adopted where it could sensibly be expected.
- Although the IT capacity and capability is appropriate to maintain and improve the current IT environment it will not be sufficient to support major IT enabled change projects, such as the deferred customer contact transformation programme.

2.4 Options for Service Delivery

As part of the review the various options for delivering the service were examined (Table 1 summarises these), the conclusion was that although there were reasons why the service could not remain the same there was no advantage in looking to outsource the service. The two key factors for outsourcing, cost reduction and managing risk are not strong enough to support a business case to outsource ICT.

The conclusion at this point is that focused investment will move the ICT service closer to best practice and assist in lessening the impact of diseconomies of scale on its capacity and capability. This will need to be supported by the use of external suppliers for specific areas where skills, experience and knowledge are needed.

Table 1 - Options for ICT Service Delivery (see 2.6.6 for analysis)

Stay same – No	**Outsource – No**
▪ Customer interaction needs to be improved ▪ There are some poor perceptions of the service ▪ There is not the capacity to handle major future projects	▪ Cost advantage – Marginal ▪ Risk management - Not currently High Risk ▪ Risk increases if Customer Contact Programme is initiated
Mixed economy – Where appropriate	**Invest in current service – Yes**

▪ Developments – Customer Contact
▪ Specific reviews and initiatives such as:
  ▪ Exploiting existing investments
  ▪ Green IT
	▪ Alignment with Strategic Planning
	▪ ITIL best practice to maximise resources

2.5 Recommendations

The recommendations contained in Table 2 below have been made in the context of where EFDC is at this point in time taking into account resource constraints and re designed to be pragmatic reflecting the appetite for change articulated by the corporate management team during the interviews.

Table 2 Summary of Recommendations - Strategic Review

Strategic Alignment	
2.5.1	Create an IT Investment Board with senior management involvement responsible for strategic direction of IT and alignment of projects to corporate outcomes
2.5.2	The interface between Business Continuity Planning and IT disaster recovery planning should also be within the terms of reference of this group
2.5.3	Introduce a benefits realisation process (Business case to benefits delivery)
2.5.4	Develop and manage IT investments as a Portfolio balancing outcomes/costs and resource constraints
2.5.5	Develop business improvement managers (super users) in Directorates with understanding of IT and how it can support business improvement
2.5.6	Use the business planning cycle to identify projects to support business outcomes
2.5.7	Exploit existing investments, develop roll out programmes for key corporate applications such as EDRMS
Resource Planning	
2.5.8	Create and maintain a rolling 5 year IT Development Plan including known and anticipated projects along with asset management plans for infrastructure and applications
2.5.9	Develop a supporting Cost Model with funding sources and funding needs.
2.5.10	Develop a resourcing plan to support the development plan using a mixed economy of in-house and selected external resources.

2.6 ICT Governance and Strategy Baseline Review

2.6.1 Approach

The review took place with a series of meetings with all of the Corporate Management Team and the approach was to take a high level overview of the ICT service and more importantly how it contributed to the delivery of the outcomes that EFDC wanted to deliver.

Capita would like to thank everyone that participated in the review for all their input plus the enthusiasm and courteousness shown.

2.6.2 Strategic Alignment

Best practice aims to ensure that organisations can:

- Link investment budgets directly to tangible outcomes, providing measurable, consistent and objective criteria to assess which investments are creating, or are likely to create, the most value for the organisation and the community
- Make best use of common technology for multiple services, resources for reuse, and knowledge from the transformation of one service applied to another
- Manage, deliver and sustain effective change through a simplified process based on a single aim: “Where and how can we best spend the money?”

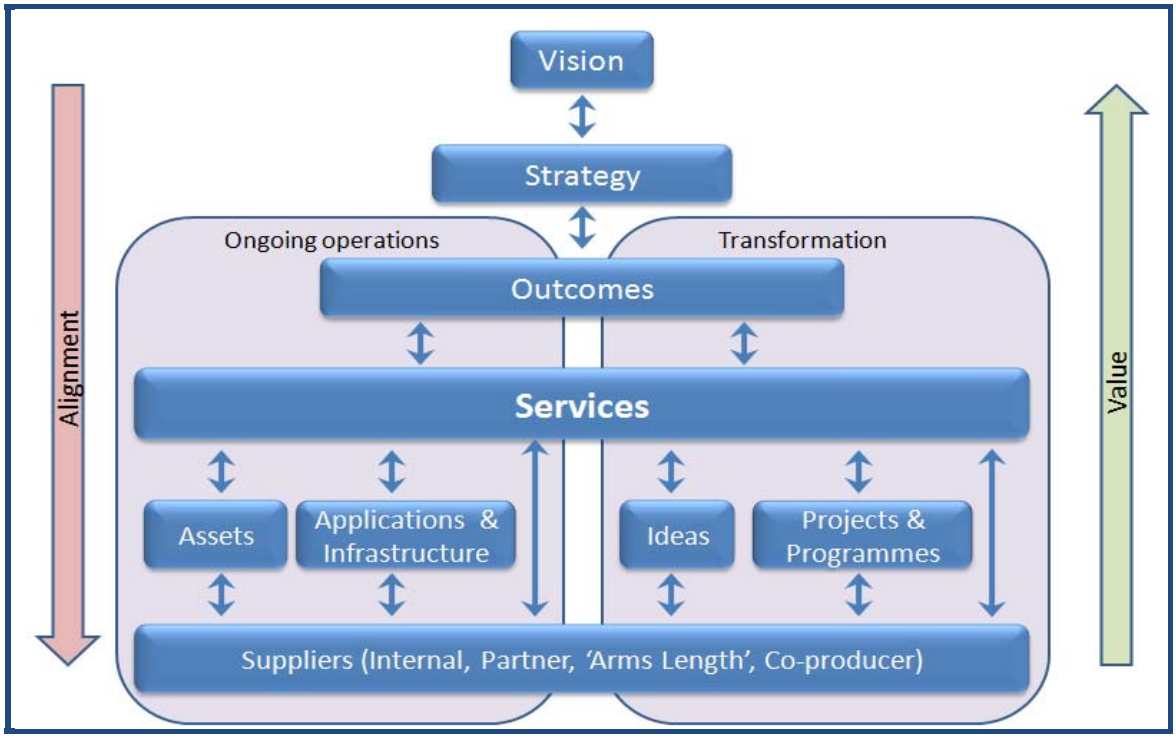

Figure 2 - Strategic Alignment of Services

Overview

Currently EFDC use the annual business planning cycle to identify the future ICT requirements. Significant steps have recently been taken by ITC to consolidate these into a development plan for 2008/9. However, EFDC is some way operating best practice where all of elements of a service both "business as usual" and "change" are aligned to desired outcomes and where their relative value can be assessed.

Key Issues

- Projects are not consistently aligned to corporate outcomes
- The outcomes that EFDC is aiming to deliver are not defined in such a way that the value that projects contribute to them can be easily assessed
- There is no formal mechanism to enable projects to be able to be prioritised
- Resource constraints are not considered at this stage

2.6.3 Customer Engagement

Using best practice, both in the public and private sectors, can provide the Council with a proven approach to IT Governance ensuring that all parts of the organization are involved. Figure 3 is a model which EFDC could move towards incorporating the processes and controls should support to reflect the need to control ICT investment decisions, performance monitoring, project development and delivery.

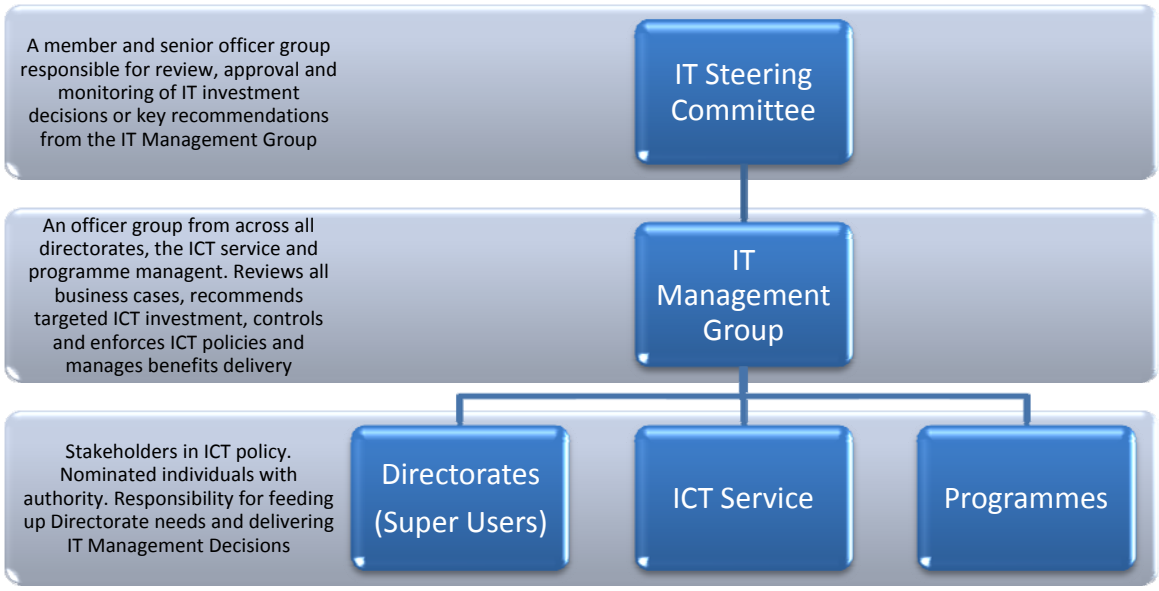

Figure 3 - Model IT Governance

Figure 4 shows specifically how these new processes could support the existing business planning process.

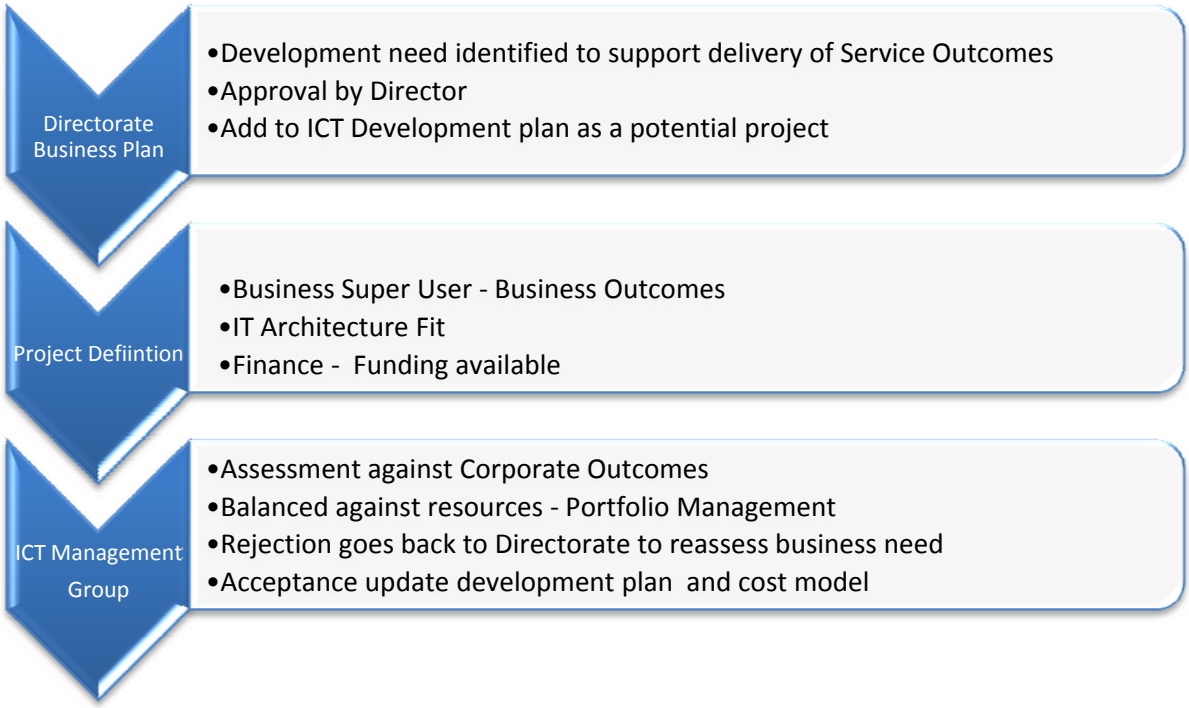

Figure 4 Project alignment to Business Planning

Overview

The initiatives implemented over the last few months have improved the engagement with ICT's customers. However, EFDC is a long way from best practice at present. A move to a more customer focused service delivery is key to aligning ICT with the business. Both this element of the review and the service element suggest that EFDC ITC and the Directorates would welcome such a move but without knowing the exact details of any previous customer-focused initiatives/culture, it is difficult to estimate the total effort required.

Key Issues

- There is a separation between the business and ICT
- Although improving there are some poor user perceptions of the ICT service but not the ICT staff which indicates an absence of process
- In the past promises have been made as to service or project delivery that either could not be delivered or were not delivered with consequent poor user perception of the service.
- The consolidation of budgets has not been accompanied by processes to enable the business to clearly understand how to access resources
- There is limited member involvement in detailed aspects of ICT decision making
- Inconsistent ownership by the business on ICT investment decisions
- Shortage of skilled, knowledgeable Super Users within the Directorates

2.6.4 Development Plan

The ICT development plan is the key resource planning tool for ICT it should include all related activities around ICT projects and the business projects that supported and enabled by ICT.

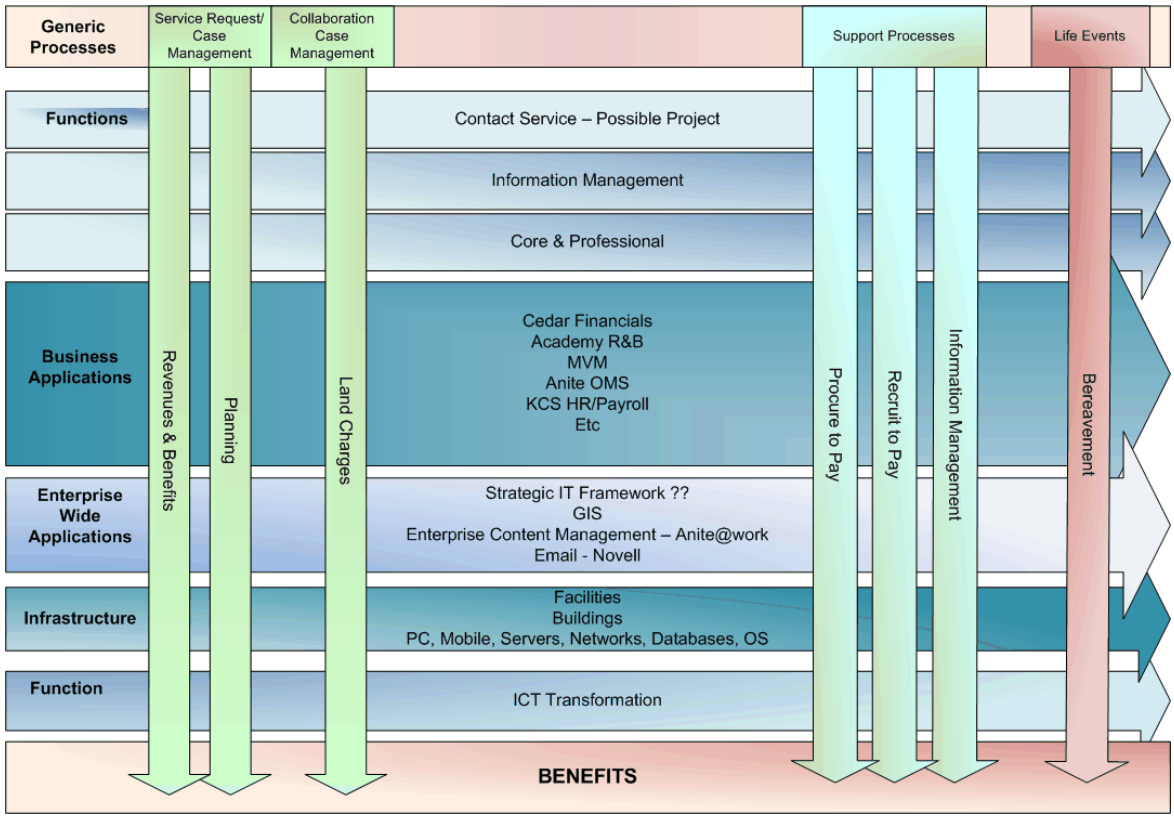

Figure 5 - ICT Development Plan

Figure 5 illustrates how such a plan could look for EFDC. The important points to note are that the ICT assets and projects are enablers to business change projects and programmes. Whilst project management skills and experience are increasing at EFDC there is little expertise around programme management and benefits realisation, let alone portfolio management..

Cost Model

A comprehensive cost model is a key support to the overall governance of ICT investments. Table 3 is an example. It should be comprehensive covering all aspects of ICT over a complete technology cycle 5, 7 or 10 years:

- Asset management plans for the existing IT Architecture
- Known projects inc. the future asset management implications on the architecture
- Prospective projects
- Existing staffing requirements
- Future staffing requirements

It should be a dynamic model with best estimates being used initially for prospective initiatives. The cost model should be updated as costs are refined as projects move through initial definition, design, deployment and to live operation.

Table 3 - Example ICT Cost Model

	2008/9		2009/10		5 yr Total	
	Capital	**Revenue**	**Capital**	**Revenue**	**Capital**	**Revenue**
Business Applications						
Cedar Financials						
Upgrade			X			
Support & Maintenance		X		X		X
Enterprise Wide Applications						
Anite@Work						
Upgrade					X	
Roll Out	X		X		X	
Support & Maintenance		X		X		X
Infrastructure						
PC's	X	X	X	X	X	X
Servers	X	X	X	X	X	X
Network	X	X	X	X	X	X
Telephony	X	X	X	X	X	X
IT Services						
Management		X		X		X
Application Support		X		X		X
		X		X		X
Total	**X**	**X**	**X**	**X**	**X**	**X**
Funding Available	**X**	**X**	**X**	**X**	**X**	**X**
Funding Gap	**Y**	**-Y**	**Y**	**Y**	**Y**	**-Y**

Overview

The development plan is in its infancy and is not being used as resource planning tool and it does not include all ICT related activity. Without this being able to communicate to the Directorates the resource constraints on service and project delivery is difficult and has lead to promises being made, not being delivered with consequent poor user perception of the service.

Key Issues

- Development Plan only covers one year
- There are limited asset management plans for the IT infrastructure
- Resource planning is reactive
- There is not a comprehensive cost model
- The impact of general and specific resource constraints is not consistently assessed
- Assets and projects are not managed as a portfolio balancing contribution to outcomes with resource constraints and risk

2.6.5 Cost Benchmarks

The overall costs of the service were examined and benchmarked where possible to other ICT services across local government, the costs of the switchboard function were excluded to aid comparison. The breakdown of costs is detailed in Appendix A.

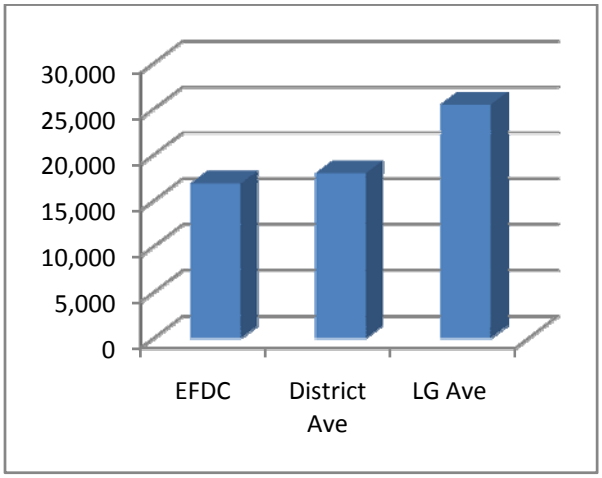

Figure 6 - Costs per 1000 population

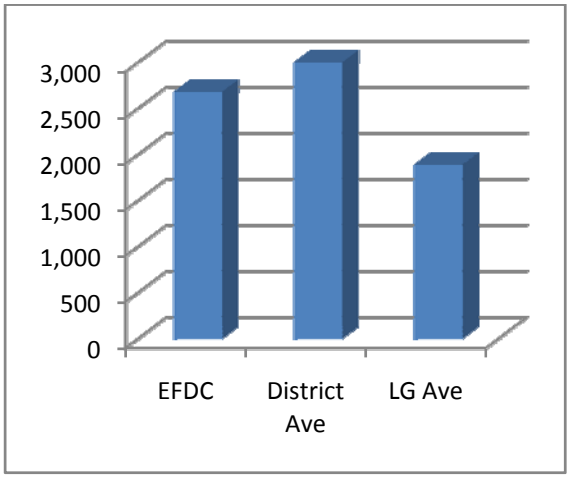

Figure 7 - Costs per User

Although only a guide the EFDC's ICT costs are comparable with other district councils and enjoys some of the benefits of economies of scale enjoyed by unitary councils when comparing costs by user. It would be useful to go into more depth particularly looking at the costs of the various elements of the service particularly the total cost of ownership of applications. Consideration should be given to joining a benchmarking service such as SOCITM.

Key Issues

- Costing information is limited and cannot be allocated to specific activities
- The management costs are relatively high but on closer review the managers in place are performing dual roles with a large proportion of their time being allocated to service and project delivery.
- The management overhead of the switchboard function is carried by ICT
- ICT infrastructure and application assets are not costed over their whole life
- Future forecasts of costs are not maintained

2.6.6 Options Appraisal

The options considered together with their advantages and disadvantages are summarised in the table below, staying the same was not seen as a option:

Table 4 - Options for Service Delivery

Advantages	Disadvantages
Externalise the ICT Service to a specialist provider	
Access to the resources of a larger organisation	Difficult to respond to business and organisational changes without increasing costs
Potential to achieve some economies of scale although limited	Difficult to specify service requirements in a regularly changing environment requires a strong client function
Reduced overhead in terms of supplier management	Size is very low for most outsourcers so market would be limited
Enhanced development opportunities for some existing staff	
Access to enhanced Disaster Recovery services	
Invest in the current ICT Service	
Service tailored to the needs of the Council	Has limited impact on capacity
Builds on the improved user perception of ICT	Will still require external skills to by procured
Continuity of service	
Maintains a good knowledge of the Council, its priorities and users	
Fully devolve the service to Directorates	
Closer direction of ICT resources by Directorates	Harder to maintain corporate standards
	Difficult to control costs
	Increased management overhead and duplication of roles
	The requirement to maintain corporate systems remains
Fully centralise the service	
Consolidates management arrangements for ICT development and support	Perceived loss of direct access to IT experts in the Directorates
Supports the corporate development of ICT	
Reinforces the objective to develop contingency for key personnel by developing back up contingency	

2.6.7 Exploit existing investments

Overview

EFDC has made a number of key corporate investments over the last few years and has plans to review some of its other key elements of its IT architecture. Like most Councils EFDC has not maximised the benefits from its investment in ICT. The e-government investment has resulted in the introduction of technology but has failed so far to deliver the required business change and ultimately the business benefits (in efficiencies or significant service improvements) on which the investment was justified.

Key Issues

There are key reasons for this:

- the lack of clear ownership and therefore responsibility for the delivery of benefits
- the Council has not re-engineered the business to take advantage of the new IT investment but incorporated it into how it conducted business previously
- the deferment of a coherent strategy to change the way that the Council manages its customer contact

The review identified some potential areas for improvement that would bear further scrutiny, affording the opportunity to:

- Rationalise by making greater use of existing applications already in use in the Council, such as:
    - Anite@Work – Electronic Document Management
    - Cedar Financials
- Standardise on a common GIS and LLPG platform
- Rationalise some smaller IT applications, particularly desktop databases, removing them altogether through re-engineering and utilising other IT applications
- Potential to rationalise further through the use of targeted IT investments, justified in business case terms by the reduction in small scale systems, support, infrastructure and licensing costs.
- Effect targeted integration of some specialist smaller systems to support the prime IT architecture.
- The current number of servers is large given the size of the organisation; virtualisation and server consolidation will not only reduce costs but will enhance business continuity and resilience.

These are potential enabling opportunities, however, without a business change programme to take advantage of them then EFDC will not deliver the benefits that are possible or that will support the outcomes that EFDC is striving to deliver. Re-engineering EFDC to take advantage of these enablers can appear daunting but a pragmatic approach concentrating on the existing IT investments should be adopted particularly Anite@work and Cedar, key elements of which are:

- Challenge current processes (Why do we do this?)
- Catalyst for challenge and agreed improvement
- An incremental approach to minimise change impact

To deliver these there is a need for strong programme management to deliver specific benefits and portfolio management to ensure that investments deliver the maximum benefit.

2.6.8 Customer Contact Strategy

EFDC has intended to initiate a new Customer Contact Strategy for the last few years but this has been deferred. During the review it was clear that there is a need and a desire within EFDC to improve its customer contact. In formulating the strategy the council may like to consider the current context of customer contact within local government.

Key Issues

The current challenges that customer services face:

- Customer at the heart of services in an outcome focussed world
- Customer Insight and segmentation – Need for granular demographic information. Time and cost of building single view of customer
- Brand - Perception is always linked to promises
- Increasing assessments concentrate on evidence of need – CAA so need better information
- Desire to understand customers both their interactions – demand management (NI14) and the assessment of need
- Widening access whilst managing demand
- Poor integration - Not just technology but managing the hand off to delivery
- Efficiency not being delivered
    - Cashed Savings
    - Service Improvement
- Limited funds – Funding already exhausted need efficiencies to spend to save
- Lack of capability - Information Management is a new discipline

Approaches to meeting these challenges

There are mature models for which can be delivered through new contact layer and IT architecture to support it with organisations concentrating on:

- Re-engineering processes
- New and improved information technology
- Infrastructure changes
- Training

However, these are tools and enablers in order to effect real change the more successful organisations concentrate on increasing satisfaction as their key outcome and satisfying customers is about:

- Making and managing promises
- Building relationships
- Building trust

Their businesses are networks of people making and managing promises to satisfy customers. It would be relatively easy to develop a strategy taking the best from other organisations experiences once EFDC has decides on what it wants to achieve for its customers.

3 SERVICE MANAGEMENT REVIEW

3.1 Objectives:

- Review EDHC service management procedures, processes and policies
- Review EFDC current helpdesk operations
- Compare EFDC service management against ITIL and ISO 20000 for Best Practice comparison
- Produce an Options Appraisal identifying opportunities for improvement in ICT Service Management, for further development by EFDC.

3.2 Background

The review took place with a series of meetings with David Newton, Chris Askew and Angelo Stephen. The approach was to take a general view of the delivery of IT services evaluated against ITIL and ISO20000 which are industry standards for good practice within IT service delivery.

EDFC ITC have are number of initiatives in place focussing on establishing and maintaining closer working relationships between ITC and business users. Examples of this are the User Group Forum to be initiated shortly and the implementation maintenance of ICT service action plans. This is a purposeful move to help to ensure that business requirements and technological initiatives are both understood and shared across the organisation. However, in terms of day-to-day IT service delivery, Capita's view is that there is a consistent lack of formal customer engagement and whilst there are some examples of good practice undertaken by ICT there is little evidence of good practice processes rolled out in a joined-up way across the ICT Division.

3.3 Findings

3.3.1 ITIL

When an organisation does not have ITIL-based processes aligned to its service delivery objectives, then it can only be expected that comparison to an ITIL model will result in many more non-compliance areas than compliance areas. In terms of EFDC's alignment with ITIL good practice guidelines the following table sets out the % alignment measured against the key ITIL processes: The following tables present a summary of the ITIL assessment ratings for each ITIL process. The ratings for each process was determined by a Yes/No response to a number of set questions (around 50 per process) using standard criteria in gauging the responses.

An ITIL definition of each process along with Capita's evaluation and key issues noted are set out in Appendix A and was ascertained by relating EFDC ICT's current processes against ITIL good practice guidelines.

The overall view shown in Figure 8 illustrates that EFDC ITC is some way from embracing a fully-compliant ITIL model, but it does show that in some areas, there is a sound basis from which these processes can emerge of which particular examples are Financial Management, Service Level Management, Capacity Management and Release Management. Particular weaknesses include Service Level Management, Incident, Problem Management and Availability and Configuration Management. Capita accepts that EFDC has already acknowledged that the Service Continuity Plan (DR) is in need of review but a major concern is that business risk to service unavailability has not been fully established and these needs to be reviewed along with the SC plan.

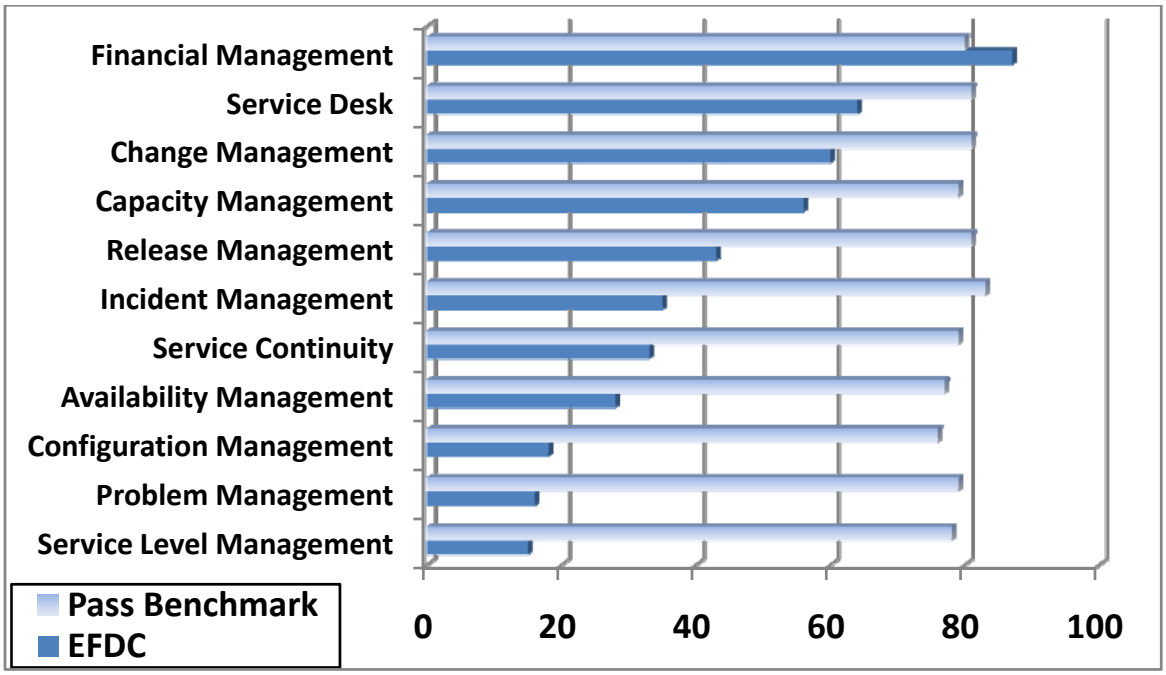

Figure 8 - ITIL EFDC Comparison with Benchmark

Although only from a small sample of district councils Figure 9 shows that EFDC compares favourably with the average except in the key areas highlighted in the benchmark review.

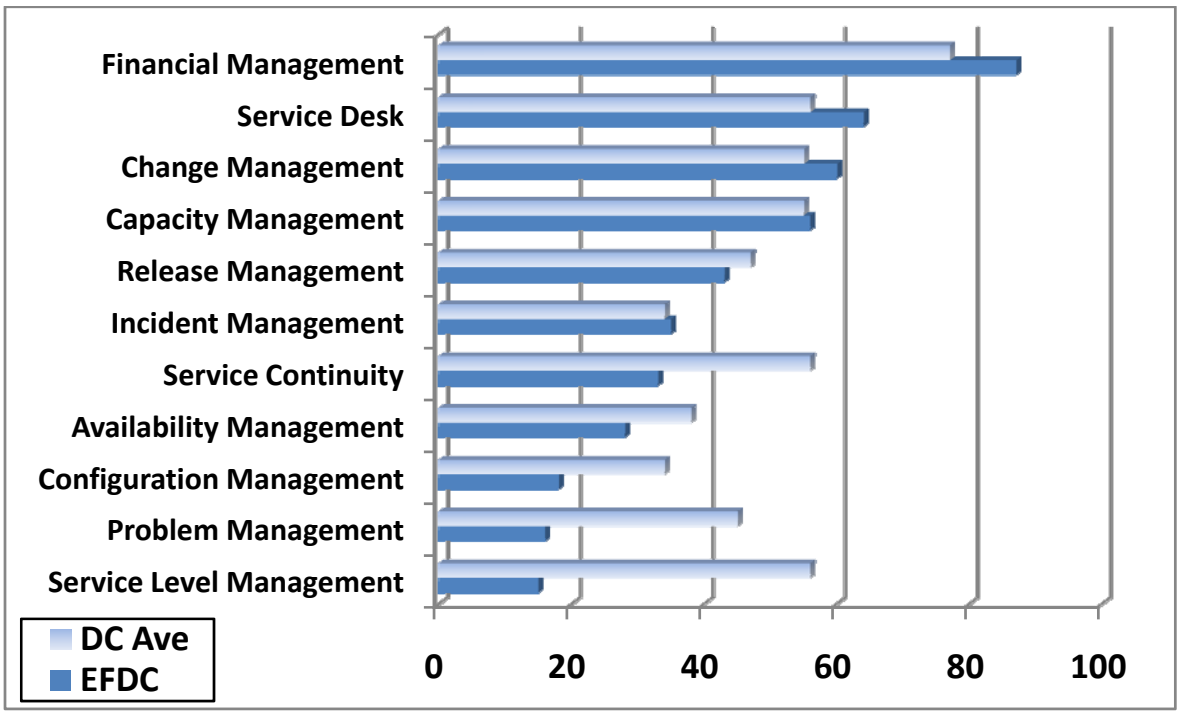

Figure 9 - ITIL Comparison with other Districts

3.3.2 Customer focused service

A key element is the culture within an organisation and if EFDC ICT wish to move to a more customer focussed and service orientated delivery approach then a culture shift is required. Under the management of David Newton and there is a definite emphasis on ICT service improvement, but in our experience, the change to a more formal approach to service delivery needs to be nurtured and buy-in obtained before it can easily accepted within an organisation. Both this element of the review and the strategic element suggest that EFDC ITC and the Directorates would welcome such a move but without knowing the exact details of any previous customer-focused initiatives/culture, it is difficult to estimate the total effort required.

3.3.3 Areas of strength

With regard to Capita's findings the following positive areas within ICT were noted:

- Strong financial process
- Service Desk functionality
- Good process detail in the areas of Capacity Management, Release Management, and to a certain extent Change Management
- The staff appear committed to an overall Service Management Improvement Plan
- A willingness to engage more with the Business Users and move towards a more formal approach to day to day IT service delivery

3.3.4 Areas that need attention

The following key issues were noted:

- A lack of formal day-to-day engagement with Business Users
- No Service Level Agreements in a place
- A slow and cumbersome Service Desk tool
- A somewhat confused Change Management process
- A lack of key good practice processes but in particular
    - Incident Management
    - Problem Management
    - Service Level Management
- Very limited ICT management service reporting/information
- Very limited customer service reporting/information
- A Service Desk that acts as a switchboard for general calls
- Service Continuity plans may not meet business requirements.

3.4 Recommendations

Table 5 Recommendations – Service Improvements

3.4.1	Gain senior management commitment to establish ITIL-based processes throughout ICT.
3.4.2	Set up a programme to ready ITC and implement ITIL-based processes
3.4.3	Initiate an awareness campaign aimed at ICT staff and business users
3.4.4	Introduce formal ITIL training for all staff and key business users
3.4.5	A phased implementation is recommended with Incident Management, Problem management, Change Management, Service Level management, a realignment of the Service Desk function plus a review of the Service Continuity (DR) Plan is included in the initial phase.
3.4.6	The structure of ICT is reviewed in line with the ITIL implementation programme as different disciplines will involve modified responsibilities.
3.4.7	Communicate approach to Directorates.

3.5 Quick Wins

Although Capita's recommendations are set out above, some quick wins could also be achieved, whether an ITIL programme is formally initiated or not and Capita recommend the following recommendations to enable a more immediate service-centred ICT delivery:

Table 6 Recommendations - Quick Wins

3.5.1	ITIL training is introduced to at least team leader level
3.5.2	Basic Service Level Agreements are established with key Directorates/business users
3.5.3	The change process is reviewed and streamlined
3.5.4	A change manager function is introduced to act as an ICT focal point for all requested changes
3.5.5	An ITC wide Incident Management process is introduced
3.5.6	Service reporting requirements are established
3.5.7	The Help Desk tool is upgraded (We understand that this is already planned for April 2008)
3.5.8	The IT Desk is re-developed and re-launched (along with the ICT Incident management process) to promote it as the key interface for IT customer related IT service incidents (i.e. not a Departmental switchboard)

3.6 ICT Service Management Baseline Review

3.6.1 Approach

The review took place with a series of meetings with David Newton Chris Askew and Angelo Stephen and the approach was to take a high level overview of the delivery of IT services evaluated against ITIL and/or ISO20000 which are industry standards for good practice within the IT industry.

Capita would like to thank the above named individuals for all their input plus the enthusiasm and courteousness shown.

3.6.2 ITIL processes and guidelines

Although ITIL is currently undergoing a review and Version 3 of the standard is now. For the purposes of the review of EFDC, ITIL V2 was uses as the benchmark and the good practice processes are grouped as follows within ITIL V2 and were used as the basis for the review:

Service Support

- Service Desk (function)
- Incident management
- Problem Management
- Change Management
- Configuration Management
- Release management

Service Delivery

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

Note: the Financial Management of EFDC ITC Division was not discussed during the interviews but was scored on the ITIL compliance questionnaire.

3.6.3 Service Desk

Provides a single point of contact between ICT and its customers to enable the reporting and recording of Customer service incidents and queries and to manage the allocation of incidents to other IT Service lines for investigation and resolution

Capita Review

The Service Desk (SD) provides the interface into ITC for all business user ICT service incidents and enquiries, The Help Desk Assistant generally takes the telephone calls although users can email “calls” and some calls emanate from emails and from certain standard forms. Calls are logged by the Service Desk on the QSM system (QSM was not

evaluated for this review). A call waiting system was introduced in 2008 due to counter the "line busy" tone.

Calls taken

The SD takes on average an estimated 120 service calls per week. At least 50% are closed at the time of the call by the SD and these types of calls are the fast fix types for example, resetting of user passwords. In addition, an estimated 60 "cold" calls are received per week and these come from various sources such as EFDC users wishing to speak with an individual in ICT or telesales calls from suppliers. The Service Desk does have its own procedures for logging and the handling of calls, but there is no overall ICT encompassing Incident Management process to fulfil an end-to-end call handling process.

Key Performance Indicators

There are two Key Performance Indicators (KPIs) currently established:

To respond a call within one business day of it being logged - "respond" in this sense is understood to be any activity dealing with active call investigation for example, contacting the caller or logging investigative activity. Note: calls can have a status of open, responded or fixed

Call target resolution time of 5 days - each call has this standard priority attached to it.

Call Allocation

After the call is verified and logged, the SD undertakes 1st line analysis of the call it cannot be resolved by the SD, the SD will allocate the call to ICT service lines i.e. Business Analysts, Technical Support or Network Support. Calls may also be handed off to other Directorates at this point, for example, Housing marketplace calls. If the SD has resolved a call itself then the call is closed at this point.

Urgent calls

If a particularly urgent call is detected, the CS Supervisor tends to get actively involved in the call resolution activity and typically provides progress updates to users via email.

Call monitoring

The CS Supervisor monitors calls on a daily basis (approx 16:00) and chases ICT supervisors or individuals if a call response has not been actioned.

Issues noted

- High staff turnaround of Help Desk Assistant (3 in 18 months)
- The SD acting as a switchboard type operation for non service delivery calls
- The poor performance of the SD s/w tool in terms of functionality and performance
- The self-service aspect of the upgraded SD system may impact SD staff activity (assuming self-service will be used)
- Relative call priority levels are not used within the call handling process
- Lack of MI reporting from the SD system data
- No link to an end-to-end incident management process.
- Limited MI reporting

3.6.4 Incident Management

The main objective of the Incident Management process is to restore normal service operation as quickly as possible.

Overview

EFDC have a partial incident management (IM) process. It is partial in the sense that the incidents are reported to and logged by the Service Desk and some initial first line investigation and resolution is undertaken by the SD and any incident not resolved by the SD is allocated to the ITS Service Lines. The overriding issue is that the Incident Management process needs to be end-to-end with responsibilities and ownership established for the complete incident life-cycle.

Key issues

- No end-end-end IM process for ICT
- A lack of incident ownership
- No formal incident reporting
- No relative prioritisation of incoming incidents
- No formal Major Incident handling sub-process

3.6.5 Problem Management

The goal of Problem Management is to prevent the recurrence of incidents by establishing the root cause of incidents, and initiating the necessary preventative actions.

Overview

There is no formal Problem Management process within EFDC ITC, although some root cause investigation is carried under the existing call handling process which constitutes Problem Management activity.

Key Issues

- Root cause of all incidents is not always be formally established
- Preventative measures are put in place at the discretion of Service lines
- Trend analysis of incidents is not routinely undertaken.
- No ITC owned “known errors” log
- No ITC managed problem log of all open problems

3.6.6 Change Management

The key objective of Change Management is to ensure that standard methods and procures are used for the efficient and prompt handling of infrastructure changes and to minimise the impact of change-related incidents on service quality.

Overview

EDFC have a change process in place and is in line to an extent with good practice guidelines. The process does however appear to be somewhat cumbersome and bureaucratic and the fact that there are five change forms evidences this. To a certain extent, the bureaucracy comment is to be expected due to the nature of change management, but the overriding issue is that there is no formal ITC Change Management function that owns and manages the end-to-end change process i.e. from the receipt of a change request to its assessment, approval, implementation and closure. The concept of a Change Advisory Board (CAB) which is a regular forum to assess and approve changes from within the business and ITC perspectives was not a known concept.

Key Issues

- Unclear ownership of the current change process.
- No ITC Change Manager function
- No trending or reporting of change implementations
- No formal change forum to review and approve changes
- A large number of change request forms are in use.

3.6.7 Configuration Management

Configuration Management provides a logical model of the infrastructure/service by identifying, controlling, maintaining and verifying versions of Configuration items (CIs). In the physical sense the Configuration Management Database (CMDB) contains all information about each CI and including relationships with other CIs. The CMDB would also be used by the incident, problem and change processes.

Overview

EFDC ICT does not have an ITIL-aligned configuration management process or a Configuration Management Database (CMDB). An Asset register comprising of server and PC provides a layer of management information enabling those assets listed to have a known status. Tools such as Express Metrics are used to monitor the hardware and software estate and provide regular reports.

Configuration Management in its complete guise is perhaps the most difficult and time consuming process to set up, however, when it is in place and the CMDB has been designed and implemented, this brings with greater integration between other Service Management processes such as Incident, Problem and Change Management for example.

Key Issues

- No formal Configuration Management process

3.6.8 Release Management

The goal of Release Management is the successful rollout of software and related hardware by ensuring that planning, design, build and testing of software to create a set of release components for a live environment.

Overview

EFDC ITC have a number of good practices in place for Release Management such as the use of the Shavlik tool to deploy OS patches and definite links with the existing change system to manage the roll-out of OS changes. Application changes are managed by the Business Analysts. In addition security hardening is a standard for initial releases of hardware. A number of S/w release are governed by the package suppliers.

Key issues

- Release Management processes need to be more formalised
- Review the “test bed” server base in that it is sufficient for business needs

3.6.9 Service Level Management

Ensures that service providers know what is expected of them and that customers have a clearer view of ITS capability. This is achieved by the existence of formally agreed Service Level Agreements (SLAs) and Operational Level Agreements (OLAs).

Overview

There is no formal Service Level Management within EFDC ICT and there is little formality about describing, agreeing and documenting services. The result is that the business users maybe unclear of what ITC services they are receiving and to what performance levels (SLA) and that ITC maybe unclear about the service quality measures and targets that services need to delivered against (OLA). Capita suggest that this is a priority area for EFDC ITC to invest in to a) enable service quality improvements and b) improve its day-to-day customer relationships.

Key issues

- No documented and agreed SLAs
- No documented and agreed OLAs
- Unclear Service delivery targets for ICT
- Directorates unclear what ICT services they receive and to what quality
- No regular formal mechanism for ICT to review the service with its customers.
- Lack of formal service reporting

3.6.10 Availability Management (AM)

This process is concerned with the design, implementation measurement and management of IT services to ensure the stated business requirements for availability are consistently met.

Overview

Availability Management has been deployed by EFDC to a certain extent as the inherent infrastructure features availability and resilience within its design. What is unclear is the level of understanding by ICT that the availability provided by the infrastructure does support Directorates in the delivery of their services. Service availability is a key business requirement which the underlying IT infrastructure should support (and the DR infrastructure). Formal engagement between ICT and Directorates with regard to value-for-money and business-fit solutions should be pursued. Service availability targets would need to be included in a SLA.

Key Issues

- Service availability offered may not meet business needs
- Availability requirements not fully established
- Availability requirements not documented
- DR availability requirements not fully realised

3.6.11 Capacity management

This process is responsible for ensuring that adequate capacity is available to meet the needs of the business. Note this process is related to business requirements and is not solely about the performance of a system's components.

Overview

There a number of Capacity monitoring processes in place covering the monitoring of server file-systems, CPU and memory using a variety of software tools and reports are produced and bi-weekly meetings take place to review any issues raised. Table space is monitored by DBA and manual MI reports are constructed.

Key Issues

- Capacity planning with business needs/growth as a key input is not undertaken.
- Business aligned capacity plans are not produced
- Capacity reports not generally shared with users.

3.6.12 ITS Service Continuity Management

The key focus of Continuity Management is to support the overall Business Continuity management process but ensuring that the required IT services and facilities (e.g. servers, applications and networks) can be recovered within agreed business timescales.

Overview

It was acknowledged that the DR plan is out of date and in need or review. Daily backups to tape are held offsite via a 3rd party contract so that data is secured at a system level and the second computer suite is more robust in terms of fire prevention, but there is no off-site DR facility. The Business Continuity Plan (BCP) has been discussed with ITC but the involvement of ITC in this overall corporate plan is unclear. One area that needs confirmation is the level of risk assessment undertaken to determine the risks to EFDC's business (including IT systems) and to realise the impact on the Council and its citizens if key IT services become unavailable. If for example, the site had a major fire and the site was out of action for a period of time as a result, does the service continuity plan adequately document roles, responsibilities, activities to achieve full or partial service restoration and the impact on the Council to function without key IT systems. Capita recommends this a priority activity.

Key issues

- Service continuity ownership
- Unknown business risk if key IT systems are unavailable
- ICT customer's understanding of current service continuity arrangements
- Lack of off-site back-up IT facility
- Lack of testing of recovery plans

3.6.13 ITS Financial Management

This process is concerned with the accounting and budgeting and charging principles for all IT services including the processes for allocating expenditure for these services and cost recovery.

Overview

This process was not reviewed by Capita, and the ITIL assessment questionnaire was undertaken by David Newton. Not surprisingly EFCD ITC has mature financial processes in place.

Key Issues

None at this time.

4 APPENDICES

Appendix A – ICT Budget

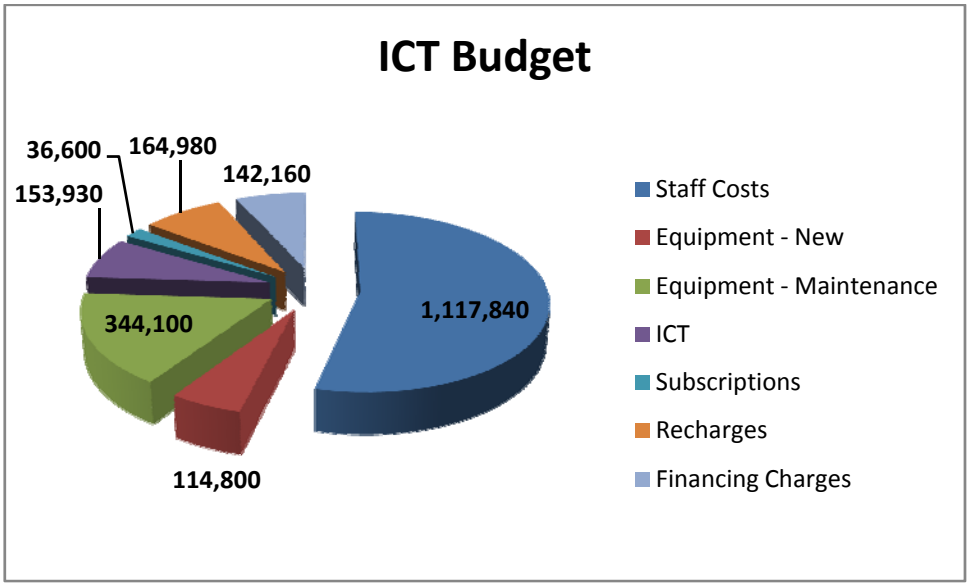

Figure 10 - ICT Revenue Budget

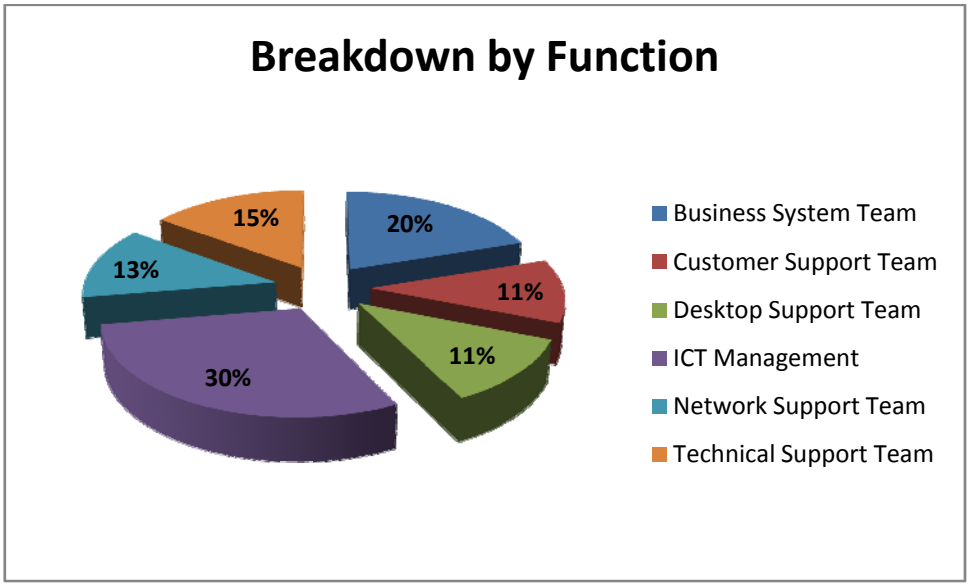

Figure 11 - % Costs by Function

Appendix B - ITIL Assessment ratings

Service Desk	Rating	Pass
Pre-requisites	75	75
Management intent	77	77
Process capability	80	84
Internal integration	71	71
Products	50	81
Quality control	50	87
Management information	37	87
External integration	0	83
Customer interface	40	100

Service Level Management	Rating	Pass
Pre-requisites	50	75
Management intent	0	75
Process capability	3	82
Internal integration	0	75
Products	0	80
Quality control	0	83
Management information	33	75
External integration	0	85
Customer interface	20	100

Incident Management	Rating	Pass
Pre-requisites	75	75
Management intent	66	83
Process capability	42	89
Internal integration	0	75
Products	50	83
Quality control	12	87
Management information	0	83
External integration	0	84
Customer interface	20	100

Financial Management	Rating	Pass
Pre-requisites	100	75
Management intent	60	80
Process capability	100	82
Internal integration	75	75
Products	66	66
Quality control	100	83
Management information	94	76
External integration	16	86
Customer interface	20	100

Problem Management	Rating	Pass
Pre-requisites	16	66
Management intent	42	71
Process capability	5	82
Internal integration	10	80
Products	20	80
Quality control	0	83
Management information	0	83
External integration	0	66
Customer interface	20	100

Capacity Management	Rating	Pass
Pre-requisites	100	75
Management intent	75	62
Process capability	26	84
Internal integration	16	66
Products	20	80
Quality control	83	83
Management information	46	80
External integration	9	81
Customer interface	20	100

Change Management	Rating	Pass
Pre-requisites	75	75
Management itent	75	75
Process capability	76	82
Internal integration	77	77
Products	50	83
Quality control	66	83
Management information	6	80
External integration	0	87
Customer interface	20	100

Availability Management	Rating	Pass
Pre-requisites	66	66
Management intent	25	75
Process capability	35	55
Internal integration	14	71
Products	0	80
Quality control	0	83
Management information	15	84
External integration	18	87
Customer interface	20	100

Configuration Management	Rating	Pass
Pre-requisites	50	83
Management itent	16	66
Process capability	0	80
Internal integration	0	62
Products	16	66
Quality control	0	83
Management information	22	77
External integration	0	82
Customer interface	20	100

Service Continuity	Rating	Pass
Pre-requisites	25	75
Management intent	30	80
Process capability	33	76
Internal integration	57	71
Products	0	75
Quality control	33	83
Management information	36	81
External integration	7	88
Customer interface	20	100

Release Management	Rating	Pass
Pre-requisites	83	66
Management intent	25	75
Process capability	25	87
Internal integration	33	77
Products	33	88
Quality control	66	83
Management information	12	81
External integration	23	82
Customer interface	20	100