Complex & Project Non-Standard Service Request – Impact Assessment

Section 1: NSSR Details – To be completed by NSSR Coordinator

A. NSSR details

*NSSR Number	F1749059
*NSSR Title	Technology Impact Assessment - LMS
*NSSR Owner	███████████████████
*Allocated budget	£ 180,000
*Anticipated timeframe	By end of May 20 to Contract Award.
*Number of users	c.800 staff & volunteers + c.230,000 members of the public
*Customer Name	Libraries
*Business Function (List)	Corporate & Customer Services

B. *Summary of what is required to complete this NSSR?

> ***What is the business reason for raising this request? Please attach your business case where appropriate:*:***
> *Include details of any personal information being stored as part of the delivery of the NSSR*
>
> [Essex Libraries Future Library Services Strategy 2019-2014](#) sets out a commitment to implementing an up to date and flexible library management computer system (LMS).
>
> A Cabinet Member Action has been approved by Cllr Barker, Cabinet Member for Customer, Communities, Culture and Corporate 19/02/20 to procure a replacement LMS through The Libraries Consortium. The CMA states the decision is subject to ECC Legal's review and acceptance of the Libraries Consortium framework agreement and call-off terms. It is also subject to review and acceptance of the information sharing agreement that ECC is required to sign up to in order to join the Libraries Consortium.
>
> The Libraries Consortium currently comprises 18 local authorities (primarily in London) with approximately 170 libraries. In 2018 the Consortium, awarded a 4-year framework agreement to a single service provider, SirsiDynix.
>
> A live SR (F2238910) has been raised for purpose of Information Governance Impact Assessment. IG approval to proceed to procurement (decision) was provided 07/11/19.
>
> **This NSSR is to carry out an initial Technology Impact Assessment covering the implications of joining the Libraries Consortium and sharing data with other consortium members, alongside an assessment of the LMS supplied by SirsiDynix to inform the final decision to Contract Award. A more detailed implementation plan will be determined after Contract Award.**
>
> It is noted the library service's current LMS - VSmart supplied by Infor (United Kingdom) Ltd. - is heavily integrated with services and other systems that support the library operations. Please see Appendix I – Integration Diagram. An overarching piece of work

*denotes a mandatory field

is underway to ensure all technology related changes for Libraries Service can be co-ordinated, planned and prioritised effectively.

Section 2: Assessment – To be completed by the relevant team representative

Team Links & Guide (Complete the sections for (1) Your team and (2) Collaborative Questions). Please tick this checkbox on completion of IA:

☒ Saas (Customer/ People)	☒ IaaS Data Centres
☒ Saas (Testing)	☒ End User Computing (EUC)
☒ IT Security	☒ Technical Design Authority (TDA)
☒ Information Governance	Collaborative Questions (All Teams)
Guidance Notes	

*denotes a mandatory field   Go to Section 1: SR Details

SaaS Customer/People

(Return to Section 1)

☐ **No IA Required - If ticked, please confirm why this decision has been made:**

*IA Completed by	
*Date Completed	

SAAS1. *Please summarise the requirements of this Service Request.*

SAAS2. *Is the above information sufficient to proceed to quote or is extended Investigation / Requirements Specification required?*

SAAS3. *Is there a catalogue item on SupportWorks that will meet these requirements?*

SAAS4. *What configuration items/assets/users would be affected by this request?*

SAAS5. *Please complete the tables below in "**Collaborative Questions to be completed by all Teams**" for effort to complete this request.*

SAAS6. *Please provide details on any security issues, including level of access, number of users, external publication etc.*

SAAS7. *Is any database work required? Does this work need to be carried out by a DBA, IS Analyst or both.*

SAAS8. *Are there any other requirements or recommendations? (E.g. give options)*

SAAS9. *Is solution scalable for future growth? Is the likely number of hits/traffic/seasonal spikes, etc. known?*

SAAS10. *Will delivery of this work require any downtime?*

SAAS11. *Does this request involve purchase of any items? Please consider and include quantities:*

    a. *Software – new or upgrade? (Give full details, Full Software Name, version, license, media download, physical media or both.)*

    b. *If software is for an upgrade - provide previous version and serial for supplier (if withheld this will cause substantial delays)*

    c. *Hardware – please specify make and model?*

    d. *New VMs?*

    e. *Third party support?*

    f. *Domain names?*

    g. *Hosting services?*

SAAS12. *Is software/hardware compatible with existing equipment, build and existing applications?*

SAAS13. *Is packaging required? If so this is a new package or adjustment of existing package?*

SAAS14. *What other teams need to be involved? Summarise their involvement.*

SAAS15. *Does SaaS recommend that a Project Manager is assigned to this request?*

SAAS16. ***Estimated time your team would be able to start delivery of this request (check as applicable).**

*denotes a mandatory field   Go to Section 1: SR Details

- ☐ **10 days – 1 month**
- ☐ **2-5 months**
- ☐ **6 months +**

IaaS Data Centres

(Return to Section 1)

☒ **No IA Required - If ticked, please confirm why this decision has been made:**

At this stage and as per the suggestion in the IA that this is just required to highlight any issues with joining the consortium there does not appear to be any elements that require Platform and Infrastructure to complete an IA, when a more detailed technical design /plan is provided a new IA will need to be submitted, to engage at a technical level. As described there may be a requirement to submit an additional IA based on the overarching piece of work around VSmart and it's current integration.

*IA Completed by	███████████
*Date Completed	26/02/2020

IAAS1.**Scope of change** (for example, Single OU, single department, all users, Windows 7 Build, Organization wide Group Policy, DMZ, physical infrastructure

IAAS2.**Difference** (current state vs proposed state)

IAAS3.**Impact to existing environment** (effect of differences)

IAAS4.**Further information required** (is the request deliverable, does this need further design, business impact analysis etc.?)

IAAS5.**Prerequisites to this change (other changes required elsewhere prior to implementation, for example firewall changes, SAAS application installation, governance or security sign off?)**

IAAS6.**What other teams need to be involved?** Summarise their involvement.

IAAS7.***Estimated time your team would be able to start delivery of this request (check as applicable).**

  ☐ **10 days – 1 month**

  ☐ **2-5 months**

  ☐ **6 months +**

IAAS8.Please complete the tables below in "**Collaborative Questions to be completed by all Teams**" for effort to complete this request.

*denotes a mandatory field   Go to Section 1: SR Details

SaaS Testing
[(Return to Section 1)](#)

☐ **No IA Required - If ticked, please confirm why this decision has been made:**

*IA Completed by	
*Date Completed	

Test 1. **What activities are required to complete the service request and effort Involved and** *detail other teams that may need to be involved? Summarise their involvement.*

   a. This section identifies all the activities required and gives estimates of their timescales. The comments column contains any extra detail; if the comment is complex it can be referred to below.

Activity	Required (Y/N)	Effort (Days/hours)	Comments
Review requirement documents			
Write Test Plan/script & other documents			
Require/Obtain testing hardware			
Require/Create Test environment			
Perform testing & complete testing documents			
Test fixes in a later separate stage?			
Package Testing? (Y/N)			
Review & sign off Testing performed by others			
Review & sign off Test Plan (B11g) for release			
Support UAT			
Provide Testing advice and Consultancy			
Other tasks			

*denotes a mandatory field   Go to [Section 1: SR Details](#)

Test 2.   **What Environments will Testing Take place?**

Include details of all environments in which the test item will be tested using table below.

OS	32bit	64bit
Corporate Windows 7		
Corporate Windows 8.1		
Public network Windows 7		N/A
Other		

Browsers		
IE9		
IE10		
IE11		
Other		

Test 3.   **Testing Approach/High Level Test Plan**

This describes the approach to and stages of testing. Completing this section helps to define and justify the estimates given in this document.

Some examples;

- *After vendor install <application> on servers*
  - *Basic functional test using manually installed client*
- *After package built by IaaS*
  - *Package testing performed*
  - *Functional testing using packaged client software*
    - *<function tests described at high level>*
- *After package and internal tests signed off & Release process*
  - *Pilot within IS*
- *After IS pilot signed off*
  - *Rollout to business*

Sign off

Test 4.   ***Estimated time your team would be able to start delivery of this request (check as applicable).**

☐   **10 days – 1 month**

☐   **2-5 months**

☐   **6 months +**

Test 5.   *Please complete the tables below in "*<u>**Collaborative Questions to be completed by all Teams**</u>*" for effort to complete this request.*

End User Computing (EUC)

☐ **No IA Required - If ticked, please confirm why this decision has been made:**

*IA Completed by	
*Date Completed	

EUC1. **What activities are required to complete the service request and effort Involved and detail other teams that may need to be involved? Summarise their involvement.**

EUC2. **Engineers capture the following info for all IA's:**

- System requirements on website for software

- Check build compatibility on machines its intended for i.e. Win 7 Win 8.1

- Check OS version i.e. x86 x64

- Check RAM on intended laptops.

EUC3. **What other teams need to be involved?**

EUC4. **Will a new LWI be required for this delivery?**

EUC5. ***Estimated time your team would be able to start delivery of this request (check as applicable).**
☐ **10 days – 1 month**
☐ **2-5 months**
☐ **6 months +**

EUC6. *Please complete the tables below in "Collaborative Questions to be completed by all Teams" for effort to complete this request.*

*denotes a mandatory field

Technical Design Authority (TDA)

(Return to Section 1)

☐ **No IA Required - If ticked, please confirm why this decision has been made:**

*IA Completed by	
*Date Completed	

TDA1. **What activities are required to complete the service request and effort Involved? Summarise their involvement.**

TDA2. **Do we already provide an IT service which delivers this capability?**

☐ Yes
☐ No

TDA3. **Does a completely new IT service need to be designed from scratch to deliver this request**

☐ Yes
☐ No

TDA4. What items need to be quoted on in order to implement this solution (including quantities)?

TDA5. What Software has been requested? *[Give full details, Full Software Name, version, license, media download, physical media or both?]*

TDA6. What configuration items/assets are affected? *[I.e. what other systems or infrastructure servers or URLs or other assets that may be affected by the request]*

TDA7. Are there any access requirements? *[Please provide details on level of access, number of users etc… i.e. logins or accounts that may need to be created or altered as part of the request]*

TDA8. Is any database work required? Does this work need to be carried out by a DBA or will an Analyst be sufficient? *[Check with DBA's]*

TDA9. Is software/hardware compatible with existing equipment, build and existing applications? *[Check with vendor and Data Centre team]*

*denotes a mandatory field   Go to Section 1: SR Details

TDA10. Are there any other requirements or recommendations? *[E.g. give options]*

TDA11. Is the solution scalable for future growth? *[Check vendor scalability statements & ECC capacity for growth]*

TDA12. Is this a software upgrade? *[Provide previous version and supplier details]*

TDA13. What Additional Hardware is required? *[Give full Details, Make and model]*

TDA14. What other teams need to be involved? *[Include ALL stakeholder teams so they're identified early and involved from the start]*

TDA15. *Estimated time your team would be able to start delivery of this request (check as applicable).
   ☐ **10 days – 1 month**
   ☐ **2-5 months**
   ☐ **6 months +**

TDA16. *Please complete the tables below in "**Collaborative Questions to be completed by all Teams**" for effort to complete this request.*

IT Security

*IA Completed by	
*Date Completed	

In order to ensure that those processing ECC data (including 3rd party suppliers and partners) meet relevant statutory requirements and generally accepted good practice, IT Security (ITS) need to conduct reviews of the technical security controls employed to protect the data. In order to be able to do so, we require details of the proposed solution, along with the sensitivity (Impact level – See Information Governance) of the data involved. In cases where the data is of low enough impact, ITS may not need to perform a review. This will be indicated by a cross in the box below, and an explanation of why.

☐ **No IA Required**

Why?	*Replace with reasoning behind this decision*

Note: Where an IA is required, questions ITS1 – ITS6 are mandatory.

ITS1. With the information provided at this point, do the proposed products, systems and services look to meet relevant statutory requirements and generally accepted good practice?

☐ **A - Yes**

☐ **B - No – There is an indication that the solution proposed to be deployed would NOT be able to meet the relevant security policies. (See below for details)**

Why?	*Replace with reasoning behind this decision*

☐ **C - More information required**

What?	*Replace with details of the missing information.*

Note: Where more information is required, IT Security will <u>re-assign</u> their task to the sender, after specifying what information is required, above. We will 'email' the sender to let them know, prefixing the email title with "IT Security requires more information". Please assign the task back to IT Security once the required information has been provided to us.

*denotes a mandatory field   Go to

ITS2. **What other teams need to be involved?**

> *Replace with details of other teams that look to need to perform an IA, but have not been sent a task as yet.*

ITS3. **Estimated time IT Security would be able to start work on any delivery tasks required, including testing. Click on the appropriate timescale below.**

☐ **10 days – 1 month**

☐ **1-2 months**

☐ **2-5 months**

☐ **6 months +**

☐ **No future actions required**

Note: Please create and assign any delivery tasks we (IT Security) have specified as being required, in order that the work can be scheduled in.

ITS4. **What Security testing is required?**

> *Replace with details (Nessus vulnerability scans etc.)*

Note: If the security testing identifies vulnerabilities that are not able to be rectified, the answer to question one (**ITS1**) will move to "**B – No**". Full IT Security agreement of this IA cannot be given until <u>all</u> the required testing has been successfully passed.

Note: If this IA forms part of a Release, please ensure that the testing specified above is incorporated into the overall Release Testing plan.

ITS5. **What technical security measures need to be considered by the delivery teams?**

> *Replace with details*

Note: All solutions delivered should adhere to the Information Security policies published on the ECC Intranet, and conform to Industry good practice

ITS6.   Please **now** *complete the tables in the "*<u>**Collaborative Questions to be completed by all Teams**</u>**"** *section of this IA: Questions ALL1 to ALL7.*

*denotes a mandatory field   Go to <u>Section 1: SR Details</u>

Information Governance
[(Return to Section 1)](#)

☐ **No IA Required - IG Approval not required - If ticked, please confirm why this decision has been made:**

*IA Completed by	███████████
*Date Completed	03.02.2020

IG1.   What is the outcome of the assessment?

☐   a) IG approve with no further action required
☐   b) IG approve with conditions explained below
☐   c) Further information needed, create task to review a design when available
☐   d) Customer must complete a new [Privacy Impact Assessment](#) *
☐   e) Update an existing Privacy Impact Assessment (details below) *
☒   f) Other, please specify:

Additional comments:

Process has not been followed, DPIA already in progress.

*(Note to SR owner – if PIA is required this will need a separate IA task in SW to Information Governance)

IG2.   What other teams need to be involved?

IG3.   *Estimated time your team would be able to start the delivery stage of this request (check as applicable).
☐   **1 days – 9 days**
☐   **10 days – 1 month**

**IG4.   *Please complete the tables below in "[Collaborative Questions to be completed by all Teams](#)" for effort to complete this request.*

Collaborative Questions to be completed by all Teams
(Return to Section 1)

Team	Charging status if not BAU
IG	non-chargeable
ITS	non-chargeable
EUC	chargeable
SaaS Testing (T)	chargeable
SaaS People (P)	chargeable
SaaS Customer (Cu)	chargeable
IaaS	chargeable
TDA	non-chargeable

ALL1.   *Provide a breakdown of the effort required to **complete the impact assessment**

Resource Team	Resource Type	IA Time	Hours	Or Days	C=Chargeable B=BAU
IG		Complete IA			
ITS		Complete IA			
EUC		Complete IA			
SaaS (T)		Complete IA			
SaaS (P)		Complete IA			
SaaS (Cu)		Complete IA			
IaaS		Complete IA			
TDA		Complete IA			

ALL2.   *Provide a breakdown of the effort required to **deliver this request**

Resource Team	Resource Type	Activity	Hours	Or Days	C=Chargeable B=BAU
IG					
ITS					
EUC					
SaaS (T)					
SaaS (P)					
SaaS (Cu)					
IaaS					
TDA					
		Total			

*denotes a mandatory field   Go to Section 1: SR Details

ALL3.   *Are there any ongoing activities or support required from your team after go live?

IG	
ITS	
EUC	
SaaS Testing	
SaaS People	
SaaS Customer	
IaaS	
TDA	

ALL4.   **Dependencies** (Something on which successful delivery of this NSSR depends, which may often be outside the control of this NSSR)

IG	
ITS	
EUC	
SaaS Testing	
SaaS People	
SaaS Customer	
IaaS	
TDA	

ALL5.   **Assumptions** (Statement that will be taken for granted as fact upon which this IA will be justified)

IG	
ITS	
EUC	
SaaS Testing	
SaaS People	
SaaS Customer	
IaaS	
TDA	

ALL6.   **Risks** (Uncertain event that should it occur will impact the delivery of this NSSR)

IG	
ITS	
EUC	
SaaS Testing	
SaaS People	
SaaS Customer	

*denotes a mandatory field   Go to

IaaS	
TDA	

ALL7.   **Issues** (A current issue that will impact the delivery of this NSSR)

IG	
ITS	
EUC	
SaaS Testing	
SaaS People	
SaaS Customer	
IaaS	
TDA	

*denotes a mandatory field

Guidance Notes
[(Return to Section 1)](#)

Project Managers, Complex & NSSR Teams must use the current IA form that can be found via the link: [IS Collaborative IA Form Template](#) (the form is owned by the PMO; if you require any changes please email is.pmo@essex.gov.uk)

- **NSSR owner**'s responsibility to liaise with the customer about their requirements to ensure as much information as possible is provided to the Service Delivery Teams prior to raising the IA tasks

- **NSSR owner** <u>must</u> complete section 1 prior to assigning tasks to the relevant teams

- **NSSR Owners – Reminder** - if IG have selected IG1 c), d), or e) and IS Security have stated so also then they will also require a **delivery task** to ensure all specifications have been met, with potential further task depending on the project gateways requiring sign-off

- **NSSR Owner & PMO** – As copy of the completed IA form will be attached to Supportworks once the NSSR is in the delivery stage.

- **NSSR Owners – Helpful note to assist IG and Security –** Please consider how you allocate tasks. IG and Security will not be able to make a decision on the proposed solution if they receive tasks prior to the Service Delivery Teams completing their section of the IA

- **Teams** <u>must</u> complete their specific section of the IA form. Each section of the IA form has a check box – ☐ **No IA Required** - please check this box if your team will not be involved in the delivery of this request

- **Teams** - All IA responses must be added to the IA form not the task (not both)

- **Teams** – If further information is required it is the Delivery Teams responsibility to provide a list of requirements to the NSSR owner and return the Supportworks task to them. They can then collate the required information or arrange a meeting with the customer and relevant teams to discuss requirements. There should be a **single point of contact** to co-ordinate the delivery of the request

*denotes a mandatory field   Go to [Section 1: SR Details](#)