



GEDLING BOROUGH COUNCIL

INTERNAL AUDIT REPORT- FINAL

IT ENTERPRISE ARCHITECTURE MATURITY
MARCH 2022

Maturity Level:

Managed

IDEAS | PEOPLE | TRUST



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EXECUTIVE SUMMARY

MATURITY ASSESSMENT OVERVIEW

Information technology (IT) supports the Council's ability to make a positive difference to residents, local communities and businesses in the borough. Rapid technological change presents Councils with the ability to embrace new and innovative ways of working that have the potential to improve how services are provided. The design and operation of the Council's IT platform is essential in ensuring that critical services can be provided and that new technologies can be embraced.

IT Enterprise Architecture (EA) is the blueprint or foundation that links an organisation's programs and business processes to Information Management and Technology (IMT) resources, and is the basis on which IMT investment decisions are made. It provides these perspectives for both the "as is" (current state) and the "to be" (future state). IMT resources include applications, information (data), and infrastructure (ie hardware, operating systems, networks, database management systems, and the environment that houses and supports them). As part of Gedling Borough Council's ('the Council') plan 2020-23, 'Serving People, Improving Lives', one of the key priorities is to be a high performing, efficient and effective Council. As part of this priority, the Council aims to 'improve use of digital technologies', with key actions being:

- Review and Implement a new Digital Strategy
- Continue to invest in digital infrastructure
- Develop and implement a new IMT Strategy.

Progress to implement the Digital Strategy is monitored at a high level through updates to the Corporate Risk Register.

A number of projects and upgrades have been completed within the ICT team, including Windows 10 migration, extension of Civic Centre Wi-Fi to the whole Council Offices, successful disaster recovery rehearsal testing, migration of the Web Content Management and Upgrade, transfer of BACS solution to AccessPay and obtaining PSN CoCo compliance certificate.

Furthermore, the Council has arranged an independent reviewer, Meritec to review its current ICT baseline arrangements. This includes a baseline review of the Council's current ICT service with a set of alternative options to inform senior management (and members) on choices for the best way forward.

The purpose of this review was to assess the maturity of the Council's IT Enterprise Architecture regarding the provision of critical services and the Council's ability to embrace future challenges.

COBIT2019 is an internationally recognised framework and includes a number of processes, practices and activities directly related to the management of Enterprise Architecture (EA). We have utilised the COBIT framework's three headings of Governance, Development and Implementation, and Oversight and Monitoring to assess the Council's EA maturity level:

Governance	Development and Implementation	Oversight and Monitoring
The governance structure in place to support transparent decision-making related to EA and the evolving needs of the Council.	The principles on which all IMT decisions regarding applications, information, and infrastructure are made.	Oversight and monitoring processes in place to ensure expected outcomes and key benefits related to EA are defined and being realised.

The current and target levels of maturity for each area were assessed in accordance with five categories, defined in Appendix II:



The IT Maturity Assessment definitions have been set out in Appendix II of this report. It is the intention that the results of this maturity assessment will support the work that is being undertaken by the Council to enable it to continually improve the services provided. Within our report we have identified actions for each area of scope, which, when completed, will support the Council in achieving its targeted maturity levels. These are included within the body of the report.

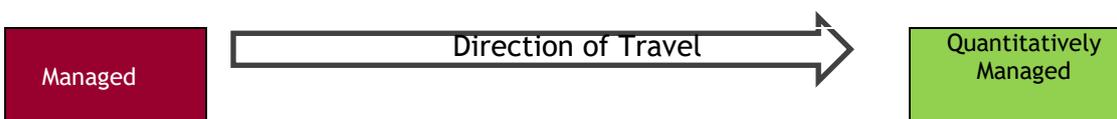
In the table below we have included the perceived direction of travel for the Council’s maturity based on the actions that have already been taken and are in place, those that are planned, and those that have been proposed.

We also asked the Council to assess their current level of maturity and to indicate their target levels for each of the three areas: Governance; Development and Implementation; and, Oversight and Monitoring. We have summarised in the table below the Council’s perceived maturity level against our assessment, as well as the Council’s target maturity level.

As shown below, the Council’s overall maturity level has been assessed to be **Managed** as part of our review; however, the Council has assessed its overall maturity as **Initial**. We have also included the proposed direction of travel for the Council’s maturity based on the actions that have already been taken, those that are planned, and those that have been proposed.

Maturity Assessment:

	Overall	Governance	Development and Implementation	Oversight and Monitoring
Council’s Self-Assessment	Initial	Initial	Initial	Initial
BDO Assessment	Managed	Initial	Managed	Defined
Target Level	Quantitatively Managed	Quantitatively Managed	Quantitatively Managed	Quantitatively Managed



Governance

- The Council has documented the ICT governance structure to demonstrate the reporting lines within the ICT department. The structure demonstrates that there is an independent function for ICT management and the ICT team reports to the Head of Finance and ICT.
- There is a Data Security Group in place that meets on a quarterly basis to assist the Council to fulfil its obligations to appropriately protect paper and electronic ‘data’ and to ensure that everyone who has authorised access to ‘data’ is aware of their ‘data handling’ responsibilities.

- We found that there is no clearly identified vision for the use of IT at the Council and currently, there are no short term and long-term ICT strategy goals in place.
- Furthermore, the Council does not have a data quality policy in place

Development and Implementation

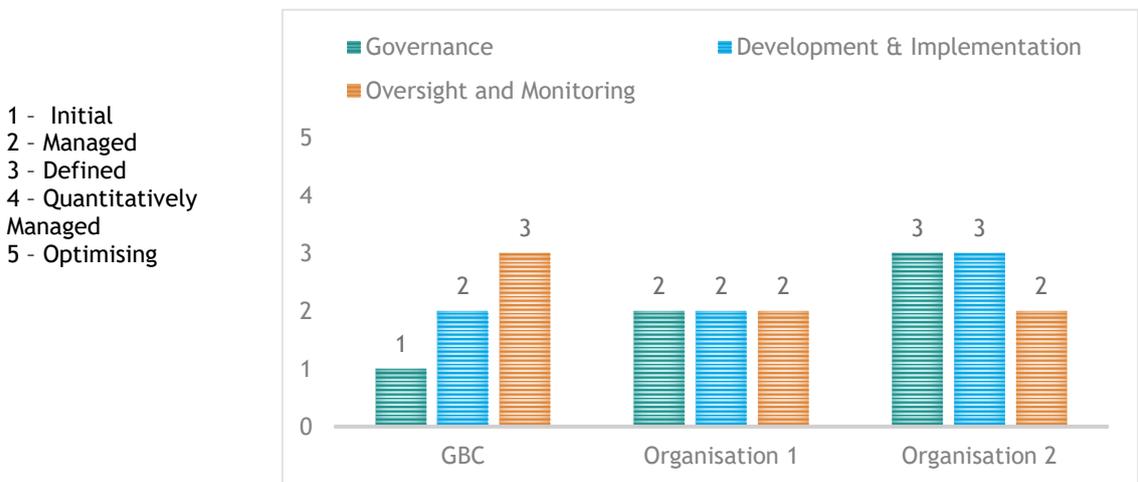
- The ICT team has a Project Plan (work programme) in place to include schemes identified by the department that requires IT support: to track and monitor all the yearly ICT projects that are scheduled to be implemented. The project plan is regularly reviewed and updated by the ICT Research and Development Manager and the ICT Service Delivery Manager and then reported to the Head of Finance & ICT.
- The Council uses Microsoft System Center Configuration Manager (SCCM) and SysAid tools to track all the physical assets across the Council.
- The Council are undertaking a major ICT related project: Agile Working. This project is assessing what IT equipment is needed in order for staff to be more agile when working both in the office and remotely.
- However, there is no information system steering committee/group established to provide the Council and the ICT team with the tools to be able to drive forward IT development and implementation through a consistent and co-ordinated approach.

Oversight and Monitoring

- The Council has three separate risk registers including a dedicated Cyber Security risk register, an Operations risk register and the Corporate risk register which is monitored and reviewed by the Senior Leadership Team.
- The ICT team’s Project plan is regularly reviewed and updated as necessary, with an oversight by the Head of Finance & ICT.
- There is a Service Plan 2021-2022 in place for Finance & ICT which include actions for the ICT platform. We found that all the actions from the Service Plan are maintained in the corporate performance management system, Pentana. There are performance management reports produced quarterly and reported to the Senior Leadership Team.
- However, there are currently no performance measures in place across the ICT team measuring the success of its ICT Strategy.

BENCHMARKING

Having conducted a number of these IT architecture assessments at other organisations we have compared the Council’s score against key indicators of the assessment against others. This can be evidenced by the graph below:



CONCLUSION

Primarily, the focus of the Council has been to configure the IT platform and provide the methodologies to enable members of staff to be able to work remotely considering the Agile Working project, whilst leading the direction of travel for technology enablement across the organisation.

The biggest challenge faced by the Council will be the significant change that will be necessary to move to the ever-changing digital landscape, and to monitor and enforce new ICT and Digital Strategy plans going forward.

As we have identified good practices within each of the areas as mentioned in the executive summary (like the management of project plans and having performance management reports) that were assessed as part of this review, we found that the Council is committed to enhance the enterprise architecture. Therefore, we have concluded that overall the maturity of the Council's IT architecture is **Managed** as to the Council's self-assessment, with opportunities to rapidly progress to **Quantitatively managed** in the short term and **Optimising** in the long term.

AREAS FOR IMPROVEMENT

Area for Improvement - Governance

Current Maturity Level as assessed by BDO: **Initial** - A comprehensive ICT strategy and key metrics are required to monitor, report on, and manage the performance of the ICT against the expectations of the Council.

Ref.	Finding
1.	<p><u>Digital Strategy</u></p> <p>The Council's Digital Strategy was in place from 2016-2019. This Strategy supported the Council's strategic priorities and had a central role in supporting the provision of high quality services on a tight budget. In addition, the Council's ICT Strategy (2005-2008) was developed to articulate a vision regarding how the Council can use ICT and realise the benefits that are offered, however this Strategy has now expired.</p> <p>We noted that annually, departments make bids for projects (including those for ICT systems) to be included in the capital programme. These are then ranked in terms of their link to Gedling Plan priorities and then considered by the Senior Leadership Team (SLT) before formal approval by Members.</p> <p>The ICT team is proactive in embracing the direction of travel with new and improved technologies including the Council's ICT service provision. However, there is no clearly identified vision for the use of IT at the Council and currently, there are no short term and long-term ICT strategy goals in place.</p>
2.	<p><u>Data Protection Policy</u></p> <p>The Council has a Data Protection policy dated November 2018, which applies to all records of personal information, whether on paper, on computer or on any other system to ensure all personal information is collected and used in a lawful, fair and transparent manner. We found that the policy has not been reviewed since 2018.</p> <p>The Council's Information Security policy has been updated with amendments in April 2021, however, has not been appropriately ratified.</p>
3.	<p><u>Data Quality</u></p> <p>Good quality data is crucial, and the availability of complete accurate and timely data is important in supporting customer care, corporate governance, management decisions, service planning and accountability. We found that the Council does not have a data quality policy in place.</p>
Governance Recommendations	
	<p>In order to achieve the Council's targeted maturity level for its IT Governance and strategy perspective, the following actions should be considered:</p> <ul style="list-style-type: none"> A. Assess and develop a long-term ICT Strategy plan to set out how the Council will meet its expectations and should also include defined objectives against which its delivery can be monitored and measured. The strategy should include appropriate funding models for the Council in light of changes to how technology is costed. As part of the development of the new ICT Strategy, covering the period from 2022 onwards, the document should be enhanced to cover the areas noted: <ul style="list-style-type: none"> i. Include an assessment of the current ICT capabilities of the Council, or a gap analysis that highlights its future needs ii. Address the organisation of the ICT function itself. Specifically, considering the range of capabilities necessary to deliver the strategic objectives iii. Explicitly link all of the defined strategic objectives to the Council's corporate strategy and priorities

	<p>iv. Include a plan or roadmap that illustrates how and when the delivery of the defined strategic objectives will enable the Council to meet its business goals in line with senior stakeholder/management expectations</p> <p>Management should consider adopting good practice guidelines for the ICT strategy management process found in industry-standards (e.g. COBIT or Information Technology Infrastructure Library (ITIL)).</p> <p><i>(As a good practice, the Council could refer to the below ICT Strategy that is developed for a similar local authority and is available on the public domain:</i></p> <p>https://www.hertsmere.gov.uk/Documents/11-Your-Council/How-the-council-works/IDS/ICT-Strategy-2018-2023.pdf)</p> <p>B. A strategy development workshop should be held to ensure there is adequate input from relevant key stakeholders. This workshop would help facilitate discussion to determine the service requirements of IT over the forthcoming four years (or however long the Strategy will cover)</p> <p>C. The Council should update and establish a Digital Strategy that considers the digital transformation plans. This document should align to the Council's corporate objectives</p> <p>D. The Council should review and update the Data Protection policy</p> <p>E. The Information Security policy should be ratified by the Senior Leadership Team and made available to all members of staff</p> <p>F. The Council should develop a Data Quality policy to set out the Council's approach to improve and maintain a robust data quality process across the Council. Key characteristics of a good quality data plan should include accuracy, validity, reliability, timeliness, relevance, completeness and secured.</p>
Management Response	Responsible Officer and implementation Date
<p>A. Develop an ICT Strategy The development and implementation of a new ICT Strategy from 2022 onwards to drive the Digital Strategy is one of the actions within the Finance and ICT Service Plan 2022-23. This will consider the outcome of the external review of ICT service provision and will cover the areas outlined above including a roadmap demonstrating how the ICT function will support the delivery of corporate and departmental objectives. The delivery of the ICT Strategy will be based upon good practice guidelines as set out in industry standards.</p>	<p>Head of Finance and ICT, 31 December 2022</p>
<p>B. Strategy Development Workshop In August/September each year before commencement of the annual budget setting process the Head of Finance and ICT along with the ICT Research and Development Manager will formally meet with each Chief Officer and Head of Service to receive their feedback on the service provided by the ICT team and to determine their</p>	<p>Head of Finance and ICT, 30 September 2022</p>

requirements for support from the ICT team in the short, medium and long term. This will assist in both planning and monitoring the work programme of the ICT team and ensure that this is properly focused upon meeting corporate and departmental requirements.

The meetings with Chief Officers and Heads of Service scheduled for August/September 2022 will feed into the production of the ICT Strategy.

C. Digital Strategy

The production and implementation of a new Digital Strategy to replace the one covering 2016-19 is one of the actions within the Finance and ICT Service Plan 2022-23. It is envisaged that this will align with the new ICT Strategy but cover wider digital transformation plans across the Council linked to the Council’s Gedling Plan objectives.

Head of Finance and ICT,
31 March 2023

D. Data Protection Policy

The Data Protection Policy will be reviewed and an updated version presented to the Data Security Group for approval before being made available to members and staff.

Data Protection Officer
30 June 2022

E. Information Security Policy

The review of the Information Security Policy will be concluded and an revised version presented to the Data Security Group for approval before being made available to members and staff.

Head of Finance and ICT,
30 June 2022

F. Data Quality Policy

The Council will produce a Data Quality Policy that will, once approved, be made available to staff.

Head of HR, Performance and Service Planning,
30 June 2022

Assessment of maturity for this element					
	Initial	Managed	Defined	Quantitatively Managed	Optimising
Current	<input checked="" type="checkbox"/>				
Target				<input checked="" type="checkbox"/>	

Area for Improvement - Development and Implementation

Current Maturity Level as assessed by BDO: **Managed** - The Council has to take steps to establish arrangements to manage future state of applications, information, and infrastructure to be in place.

Ref.	Finding
1.	<p><u>Project Development & Implementation</u></p> <p>The ICT team presented an update on the current ICT issues and all major projects that the team are working on, to the Senior Leadership Team on 5 October 2021. Furthermore, recently the ICT team has established an ICT review meeting to be held every two weeks to discuss current issues and updates on ICT projects and implementations. All project plan updates are shared regularly with the Head of Finance & ICT</p> <p>We noted that the requests are frequently made by the service departments to the ICT team for support in the implementation of a project when it is in its latter stages. The ICT team will therefore have a limited role in developing the scope for such projects and also may not have the capacity to support as the time is not built into their planning timetable.</p> <p>We found that there is no information system steering committee/group established to provide the Council and the ICT team with the tools to be able to drive forward IT development and implementation through a consistent and co-ordinated approach.</p>
Recommendations	
	<p>In order to achieve the Council's targeted maturity for its arrangements on IT development and implementation, the following actions should be considered:</p> <p>The Council should appoint an ICT Steering Committee/Group that consists of representatives from all business areas. The Committee/Group should define the strategic direction of the IT resources employed by the Council, and document this within a terms of reference. Responsibilities of this Group should include but not be limited to:</p> <ul style="list-style-type: none"> • Assessing the feasibility of new projects • Maintaining the ICT Strategy (when developed) • Budgeting and planning activities as well as ICT related discussions (ie implementation of new technologies) • Monitoring any deviations from the strategy • Reports to the Senior management Board for the overall organisational strategic plan • Receiving reports of any relevant user groups and monitoring their activities (ICT Review group). <p>An approach should be agreed with the service areas in which to involve the ICT team from the outset should IT solutions be required in any part of the project. This can then be factored in to the ICT's planner in order to ensure there is capacity and the skills available to support the service.</p>
Management Response	Responsible Officer and implementation Date
The recommendation to appoint an ICT Steering Committee/Group consisting of representatives from all business areas to assist in defining the strategic direction of the IT resources employed by the Council and document this within a terms of reference is noted. However, given the existing demands placed upon staff and the limited resources available to the	Head of Finance and ICT, 31 December 2022

<p>Council generally, this is not considered feasible at present.</p> <p>The Senior Leadership Team (SLT) will provide the ICT team and the wider organisation with strategic direction on ICT matters and ensure that progress on the delivery of actions in accordance with the ICT Strategy and Digital Strategy are closely monitored to enable any issues identified to be appropriately resolved.</p> <p>The annual meetings between the Head of Finance and ICT and the respective Chief Officers and Heads of Service along with more active engagement between the ICT team and departments should help to avoid requests made by departments to the ICT team for support in the implementation of a project when it is in its latter stages and ensure that the work programme of the ICT team is appropriately managed.</p>	
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Assessment of maturity for this element					
	Initial	Managed	Defined	Quantitatively Managed	Optimising
Current		☑			
Target				☑	

Area for Improvement - Oversight and Monitoring	
Current Maturity Level as assessed by BDO: Defined - There is a performance and accountability framework in place and performance/indicators would be established to assess the IT implementation plans and strategies are applied consistently in all IT investments.	
Ref.	Finding
1.	<p><u>Key Performance Indicators</u></p> <p>An ICT Strategy will describe the ICT vision for Gedling Borough Council, demonstrate the close link between the ICT Strategy and the Council's business priorities, and describe the key strategic areas required to realise the vision and align ICT with the business.</p> <p>In order to ensure that the Council's ICT Strategy is achieving its objectives and is appropriately aligned to business priorities it should include agreed performance measures and report progress to the appropriate group/committee. However, there are currently no performance measures in place across the ICT team measuring the success of its ICT Strategy.</p>
Recommendation	
	<p>In order for the Council to achieve its targeted maturity level for its arrangements of oversight and monitoring, the following actions should be considered:</p> <ul style="list-style-type: none"> • Performance measures for the ICT Strategy should be aligned with the ICT service/team objectives, and with the Council's objectives overall. It is important that the ICT Strategy objectives and goals are identified before the performance measures are set. When thinking about the performance measures it should be ensured that they are SMART: <ul style="list-style-type: none"> • Specific - they should be well defined, clear and unambiguous • Measurable - with specific criteria that measures your progress towards the accomplishment of the goal • Achievable - attainable and not impossible to achieve • Realistic - within reach and relevant to the service goals/objectives • Timely - clearly defined timeline, including a start date and target date. • These performance measures should be agreed within the ICT Strategy • Once agreed performance should be monitored and reported to the Senior Leadership team.
Management Response	Responsible Officer and implementation Date
<p>The production of the ICT Strategy will include the establishment of a series of performance measures against which the success of the delivery of the ICT Strategy can be assessed. There is the potential for such measures to a number of different areas such as system availability, cyber security, customer satisfaction and work programme completion. Once the performance measures have been defined, appropriate targets will be set and performance monitored by the Senior Leadership Team.</p>	<p>Head of Finance and ICT, 31 December 2022</p>

Assessment of maturity for this element					
	Initial	Managed	Defined	Quantitatively Managed	Optimising
Current			<input checked="" type="checkbox"/>		
Target				<input checked="" type="checkbox"/>	

APPENDIX I - STAFF INTERVIEWED

BDO LLP APPRECIATES THE TIME PROVIDED BY ALL THE INDIVIDUALS INVOLVED IN THIS REVIEW AND WOULD LIKE TO THANK THEM FOR THEIR ASSISTANCE AND COOPERATION.

Paul Adcock	Head of Finance and ICT
Gary Bennett	ICT Research and Development Manager
John Staniland	ICT Service Delivery Manager

APPENDIX II - DEFINITIONS

	Governance	Development and implementation	Oversight and monitoring
Optimising	<p>Complete and approved policies, directives and guidance exist for IT Enterprise Architecture development and maintenance, that are up-to-date and in use.</p> <p>A Digital strategy and transformation plan is active, and is in alignment with the Council's IT strategic plans that defines the current and future ICT environment.</p> <p>The business owners are actively engaged in the development of the IT Enterprise Architecture vision, strategies, policies, and principles for the organization.</p> <p>Overall, the IT architecture supports to assimilate new emerging digital landscape rapidly.</p>	<p>A high-level version of the IT Enterprise Architecture principles describing the Council's in terms of performance, business operations, data, services, technology, and security requirements have been effective.</p> <p>On the whole, roles and responsibilities for directing, overseeing, and approving the IT Enterprise Architecture are clear and have been established and assumed.</p> <p>The IT Enterprise Architecture related risks have been proactively identified, communicated, and mitigated.</p> <p>An IT Enterprise Architecture development and maintenance methodology exists and is in use.</p>	<p>Methodologies, tools, and key performance indicators exist to determine compliance with the corporate IT enterprise architecture.</p> <p>An IT Enterprise Architecture performance and accountability framework has been established and is working as intended.</p> <p>There are robust mechanisms in place to ensure performance and accountability framework has been established and is working as intended.</p>
Quantitatively Managed	<p>Complete and approved policies, directives and guidance exist for IT Enterprise Architecture development and maintenance, that are up-to-date and in use.</p> <p>A Digital strategy and transformation plan has been developed to align with the Council's IT strategic plans that defines the current and future ICT environment.</p> <p>The business owners are actively engaged in the development of the IT Enterprise Architecture vision, strategies, policies, and principles for the organization.</p> <p>Overall, the existing needs of the Council has been designed to assimilate new technologies rapidly</p>	<p>A high-level version of the IT Enterprise Architecture principles describing the Council's in terms of performance, business operations, data, services, technology, and security requirements have been developed.</p> <p>On the whole, roles and responsibilities for directing, overseeing, and approving the IT Enterprise Architecture are clear and have been established and assumed.</p> <p>The IT Enterprise Architecture related risks have been identified, communicated, and mitigated.</p> <p>An IT Enterprise Architecture development and maintenance methodology exists and is in use.</p>	<p>Methodologies, tools, and key performance indicators exist to determine compliance with the corporate IT enterprise architecture.</p> <p>An IT Enterprise Architecture performance and accountability framework has been established and is reasonably working as intended.</p> <p>There are robust mechanisms in place to ensure performance and accountability framework has been established and is working as intended.</p> <p>There is a reasonable level of compliance with data security training, which is tailored to cover homeworking.</p>
Defined	<p>Complete and approved policies, directives and guidance exist for IT Enterprise Architecture development and</p>	<p>A high-level version of the IT Enterprise Architecture principles describing the Council's in terms of performance, business operations, data, services,</p>	<p>Methodologies, tools, and key performance indicators exist to determine compliance with the corporate IT enterprise</p>

	<p>maintenance, that are up-to-date and in use.</p> <p>A Digital Strategy and transformation plan has been developed to align with the Council's IT strategic plans that defines the current and future ICT environment.</p> <p>There is some level of engagement from business owners in the development of the IT Enterprise Architecture vision, strategies, policies, and principles for the organization.</p> <p>Overall, the existing needs of the Council are being designed to assimilate new technologies rapidly.</p>	<p>technology, and security requirements have been discussed.</p> <p>On the whole, roles and responsibilities for directing, overseeing, and approving the IT Enterprise Architecture are clear and have been established.</p> <p>The IT Enterprise Architecture related risks have been identified.</p> <p>An IT Enterprise Architecture development and maintenance methodology exists and is in use but this is not comprehensive.</p>	<p>architecture but is not very comprehensive.</p> <p>An IT Enterprise Architecture performance and accountability framework has been established and is reasonably working as intended.</p> <p>There are mechanisms in place to ensure performance and accountability framework has been established and is working as intended.</p>
Managed	<p>Policies, directives and guidance exist for IT Enterprise Architecture development and maintenance, that are up-to-date and in use.</p> <p>A Digital Strategy and transformation plan has been developed to align with the Council's IT strategic plans that defines the current and future ICT environment, but is not structured well.</p> <p>There is some level of engagement from business owners in the development of the IT Enterprise Architecture vision, strategies, policies, and principles for the organization.</p>	<p>A high-level version of the IT Enterprise Architecture principles describing the Council's in terms of performance, business operations, data, services, technology, and security requirements are not discussed or considered.</p> <p>On the whole, roles and responsibilities for directing, overseeing, and approving the IT Enterprise Architecture have not been very effective.</p> <p>An IT Enterprise Architecture development and maintenance methodology exists and is in use but this is not comprehensive.</p>	<p>Methodologies, tools, and key performance indicators exist but determine low compliance with the corporate IT enterprise architecture.</p> <p>An IT Enterprise Architecture performance and accountability framework has been established and is reasonably working as intended.</p> <p>There are mechanisms in place to ensure performance and accountability framework has been established and is not working as intended.</p>
Initial	<p>Policies, directives and guidance exist for IT Enterprise Architecture development and maintenance, are either not in place or are not up to date.</p> <p>A Digital Strategy and transformation plan has not been developed to align with the Council's IT strategic plans that defines the current and future ICT environment.</p> <p>There is no engagement from business owners in the development of the IT Enterprise Architecture vision, strategies, policies, and principles for the organization.</p>	<p>The IT Enterprise Architecture principles describing the Council's in terms of performance, business operations, data, services, technology, and security requirements are not in place.</p> <p>On the whole, roles and responsibilities for directing, overseeing, and approving the IT Enterprise Architecture are in place.</p> <p>An IT Enterprise Architecture development and maintenance methodology do not exist.</p>	<p>Methodologies, tools, and key performance indicators do not exist.</p> <p>An IT Enterprise Architecture performance and accountability framework has not been established.</p> <p>There are no mechanisms in place to ensure performance and accountability framework.</p>

APPENDIX III - TERMS OF REFERENCE

PURPOSE OF REVIEW:

The purpose of this review is to assess the maturity of the Council's IT Enterprise Architecture regarding the provision of critical services and the ability to embrace future challenges. As primarily an advisory piece of work assessing the Council's current position against the COBIT 2019 Maturity Matrix, this assessment will not generate an assurance opinion.

KEY RISKS:

Based upon the risk assessment undertaken during the development of the internal audit operational plan, through discussions with management, and our collective audit knowledge and understanding the key risks associated with the area under review are:

- There are inadequate governance structure in place which supports transparent planning and decision making related to EA
- There are ineffective EA development and implementation processes in place to ensure alignment between IMT and the Council's objectives
- There is ineffective oversight of EA through performance measurement and monitoring to ensure expected outcomes and key benefits are realised.

SCOPE OF REVIEW:

The audit will focus on current and planned activities at the Council related to IT Enterprise Architecture. The review will assess the overall maturity as well as the maturity of the following aspects of the Council's IT enterprise architecture:

- **Governance:** The governance structure in place to support transparent decision making related to EA and the evolving needs of the Council
- **Development and Implementation:** The principles on which all IMT decisions regarding applications, information, and infrastructure are made
- **Oversight and Monitoring:** Oversight and monitoring processes in place to ensure expected outcomes and key benefits related to EA are defined and being realised.

For the assessment, based on the maturity of the process, a value of 1-5 will be assigned to the capability and maturity levels using COBIT 2019 framework. The five maturity levels are briefly described below:

Maturity Level	Definition
1 - Initial	Work is completed, but the full goal and intent of the focus area are not yet achieved.
2 - Managed	Planning and performance measurement take place, although not yet in a standardised way.
3 - Defined	Enterprise wide standards provide guidance across the enterprise.
4 - Quantitatively Managed	The Council's enterprise is data driven, with quantitative performance improvement.

5 - Optimising

The Council's enterprise is focused on continuous improvement.

However, Internal Audit will bring to the attention of management any points relating to other areas that come to their attention during the course of the audit. We assume for the purposes of estimating the number of days of audit work that there is one control environment, and that we will be providing assurance over controls in this environment. If this is not the case, our estimate of audit days may not be accurate.

APPROACH:

Our approach will be to conduct online interviews to establish the controls in operation for each of our areas of audit work. We will then seek documentary evidence that these controls are designed as described. We will evaluate these controls to identify whether they adequately address the risks.

We will seek to gain evidence of the satisfactory operation of the controls to verify the effectiveness of the control through use of a range of tools and techniques.

BAF/CRR REFERENCE:

To demonstrate achievement of defined services standards, and build capacity and capability through innovation and continuous improvement.

FOR MORE INFORMATION:

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The matters raised in this report are only those which came to our attention during the course of our audit and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. The report has been prepared solely for the management of the organisation and should not be quoted in whole or in part without our prior written consent. BDO LLP neither owes nor accepts any duty to any third party whether in contract or in tort and shall not be liable, in respect of any loss, damage or expense which is caused by their reliance on this report.

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