

Secure Bureau Service (Capita)

Application Form

ICT and Business Improvement Projects



Document: BITICT Application Form
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New Project Name:	Secure Bureau Service
Project Type:	Upgrade
Supplier (if applicable):	Capita
Proposed Use:	Securing Card holder information
Funding:	ICT/BIT budget

If you require help with completing this application form please refer to the guidelines at the end of the document.

**Please also refer to the Policy for Introduction of ICT/BI Projects.
(Also found at the end of this Document)**

Section A - Use

<p>A.1</p>	<p>Please describe what it is you are applying for?</p> <p>Applying for funds to upgrade the Capita onsite APACs Server to Capita offsite managed APACs through Secure Bureau Service (SBS) and aid Breckland Council in achieving its PCI Compliance aims.</p> <p>This application is not to deliver the Council wide solution to Payment Card Industry (PCI) standards compliance but will minimise the scope for the PCI project. In other words, delivering SBS on its own will not gain PCI compliance for Breckland.</p>
<p>A.2</p>	<p>What business problems and opportunities are addressed by the proposed project?</p> <p>Current situation</p> <p>Breckland District Council uses a wide suit of Capita Payment Management solutions. Currently the majority of card payments go via Capita managed service which eliminates the risk and cost of maintaining on site card data. However one element of payments does reside on-site for call centre payments and are stored within an on-site APACs server.</p> <p>As of April 2011, the Capita on-site APACs solution will no longer be supported.</p> <p>Opportunity</p> <p>Following the above situation, there is an opportunity for Breckland DC to upgrade to the full SBS Managed APACs solution (the same as Chip & PIN) which will bring benefits such as:</p> <ul style="list-style-type: none"> - No cost/resource associated with maintaining on-site APACs box - Eliminates risk of any on-site card data - Considerably reduces scope for PCI DSS (if all payments go via Capita managed service, the authority can qualify for SAQ C, sum 36 questions) - Peace of mind - PA DSS Compliant solution <p>Formed to ensure safe handling of payment card data, the PCI Data Security Standard was originally the result of aligning the security programmes for VISA and MasterCard.</p> <p>The need for such a standard has been highlighted through security incidents such as TJX (TK Maxx), and Newcastle City Council, which involved exposure of cardholder data. All merchants and service providers dealing with cardholder data are now required to demonstrate compliance to the PCI Data Security Standard.</p> <p>This project will be one step in moving towards a PCI compliant council.</p>
<p>A.3</p>	<p>Who will be using the systems and/or new processes and at which location?</p> <p>There will be no change in the way in which the service processes are affected only in the way that card holder information is handled, stored and processed for the elements of payments which reside currently onsite.</p>
<p>A.4</p>	<p>What are the likely or possible changes in working practices, which will result from the introduction of the proposed system/process?</p> <p>There will be a potential reduction in support needs from Steria with regards to onsite APACs</p>

Section B – High Level Benefit Analysis

	Please list any expected benefits, particularly those with productivity, efficiency and cashable gains.
B.1	<ul style="list-style-type: none"> Reduction in associated support by Steria/Breckland ICT for maintaining the onsite APACs server. Eliminate risk of any on-site card data storage over the Capita systems Reduces the scope for PCI compliance and allow the PCI project to be completed more easily and quicker Migrate the solution to a PA DSS compliant software solution
B.2	Please list any expected benefits, particularly those with improvements in accessing information for customers, staff, stakeholders, and members.
	Access to information will be restricted and card information encrypted and stored offsite by Capita.
B.3	How does the project deliver improved monitoring for performance (e.g. National Indicators)

Section C – Relationship to the Corporate Business Plan

	Please list and define known relationships to Corporate Business Plan/LAA.
C.1	<p>Building Safer and Stronger Communities 1a) Tackle anti-social behaviour</p> <p>Delivering the Entrepreneurial Council 4a) Identify and maximise the full earning potential of the Council 4b) Ensure the Council manages its resources well and delivers value for money 4c) Maintain strong systems of governance and business management 4d) Maximise the potential of the Council's natural resources, assets, people and technology to meet current and future needs</p> <p>Your Council, your services 5b) Improve the quality and consistency of services provided to our customers</p>

Section D – Risk Assessment

	How will the system enable better management of risks identified in the Council's Risk Register? Please provide comprehensive list.
D.1	<p><u>R.F.04: Failure to maintain adequate internal controls (Finance)</u> Failure to maintain adequate internal controls leading to increased risk of fraud or inappropriate use of council resources.</p> <p><u>R.ICT.01: Security breach due to non-compliance</u></p>

	The Council currently runs the risk of non-compliance to PCI standards and is not helped by having part of the Capita solution not managed directly by Capita who are PCI compliant. By delivering the SBS solution, no future card details via transactions will be stored onsite. Historic card transactions will require careful deletion and disposal.
D.2	How will additional risks introduced during or after the project be managed?
	The only risk requiring careful consideration is the disposal of the existing server and any data held containing card details. Most of the risk with Cardholder Data loss will be placed with Capita through their managed service.
D.3	What is the risk of doing nothing?
	Continuance of the risks identified: 1) Processing, transmitting and storing Card information onsite runs the risk of security breaches. Allowing this process to be carried out by a managed Capita service reduces Breckland's risk. 2) Failing to comply with PCI standards can carry some fairly hefty fines. The card vendors can also choose to suspend settlement of card transactions, which would disable your our ability to process card information until verified as compliant. As an example of how much it can cost, TJX estimate to have spent or put aside \$250m for a series of compromises. TJX settled with Visa for \$41m to avoid further penalties relating to non compliance with PCIDSS at the time of the data loss. 3) Running with an unsupported system from Apr 2011

Section E – Other Reference Sites

E.1	What other reference site is the system/process currently in use? Please provide a list of references and contact details (e.g.: names, telephone numbers and/or e-mail addresses).
	South Norfolk Kings Lynn

Section F – Alternatives Investigated

F.1	What alternatives have been considered in reaching this recommendation? Please list.
	Preferred Option: SBS Alternatives: Option 1: Do nothing – continuance of situation Option 2: Sharing services Option 3: Replace Capita infrastructure Option 4: continuance of situation but improve security of data held onsite
F.2	Please explain for each option why these are not the preferred solutions?
	Option 1: Do nothing – continuance of situation Council continues with risk of card data breach within the Capita systems Option 2: Sharing services

	<p>Single SBS for more than one site would require a complete overhaul of the infrastructures and Breckland would still be responsible for any PCI compliance required regardless of outcomes.</p> <p>Option 3: Replace Capita infrastructure</p> <p>Breckland do not wish to replace the Capita infrastructure as a result of the return of investment made with the solution(s) for payment/transactions.</p> <p>Option 4: continuance of situation but improve security of data held onsite</p> <p>Not really an option an internally improved service around securing the onsite APACs would be unsupported by Capita from April 2011</p>
F.3	<p>Has consideration been given to the underlying service processes before considering an ICT solution? Please explain giving detail.</p> <p>Yes – this is to migrate the onsite server to the managed Capita service so is a “background” activity to frontline processes</p> <p>The Business Improvement Team have also put this forward as a recommendation.</p>

Section G – Costs & Support

	Please give an indication of expected overall project costs (capital & revenue)?
G.1	<p>Capital costs to implement SBS: £18,000</p> <p>Revenue costs to support SBS: £1,265</p>
	Please indicate the expected source of funding? (e.g. Corporate, Service, ICT)
G.2	<p>Capital costs will be sourced from Unapproved ICT Strategy Funds</p> <p>Revenue costs will be sourced from the ICT revenue budget 4625 and will be funded from the £5k revenue saving made through reductions in Lagan BPM which has already been achieved in the financial year 2010 – 2011</p>
	Who will provide annual maintenance and support?
G.3	<p>Capita will be providing annual maintenance and support</p> <p>Steria will continue to provide the admin support (setting up new users etc) and will support any issue through the helpdesk with Capita</p>
	Will Steria be required to provide support for the project and the ongoing support?
G.4	<p>Once SBS is in place Steria will no longer need to support the onsite APACs server as this will be managed by Capita but may be required to support the project and any issue resolution in conjunction with Capita if required</p>
	Please indicate how you intend to resource the project?
G.5	<p>Most of the activity will require Capita to come onsite for 1-2 days.</p> <p>Once switched to the managed service Customer will need to test that payments can be taken.</p> <p>Finance will be required to test the transition</p> <p>Customer Services will also need to be involved to ensure any payments are tested correctly</p>
	Please indicate who will be sponsoring the project?
G.6	<p>Finance/ICT – Margaret Bailey, Kevin Rump</p>
G.7	Will the project impact on any other Service? Explain how?

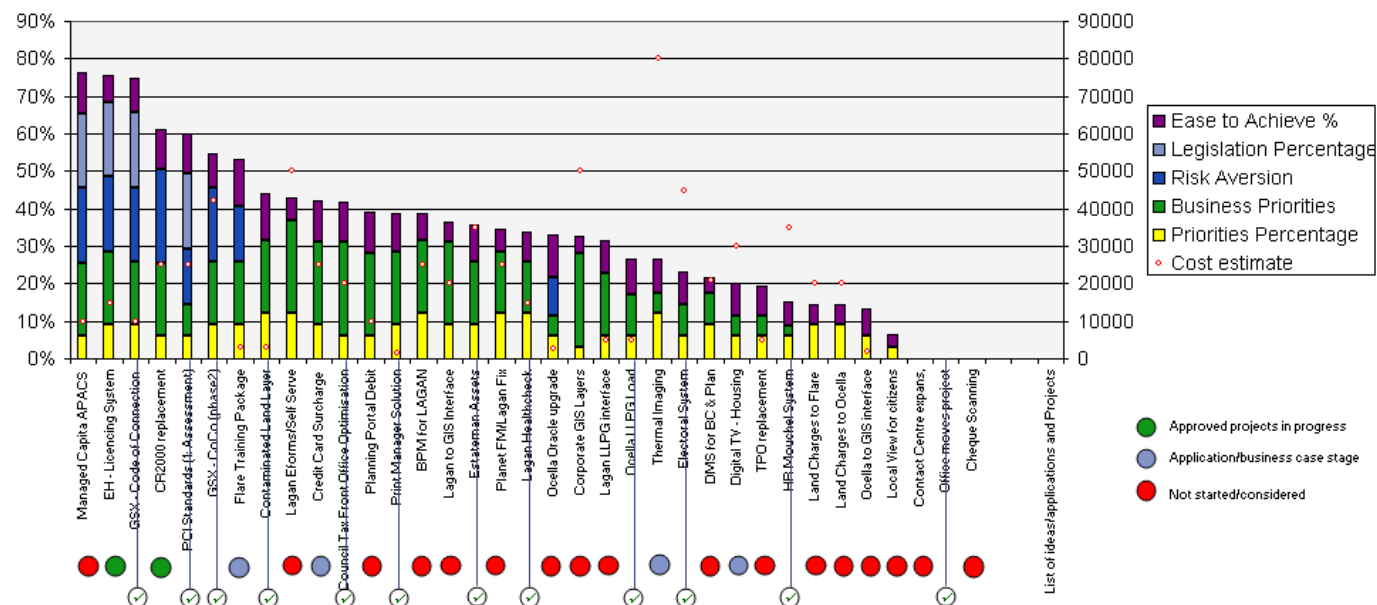
The switch over should be seamless but in the event of issues the project could affect front line customer services for those payment channels affected

Section H – Impact on External Parties

H.1	<p>Please provide details on any potential impact on external agencies & partners which the new process/system is likely to affect.</p> <p>Steria – already indicated elsewhere within this document</p> <p>Capita – already indicated elsewhere within this document</p>
H.2	<p>Please indicate where the project is required due to Government targets or Legal obligation? If yes, how and what are the timescales for compliance?</p> <p><u>Payment Card Industry Standards</u></p> <p>Although this project in itself is one component of the wider PCI Programme for Breckland it is a big step towards compliance. The merchant could pressurise Breckland by setting deadline for PCI compliance so this is a proactive piece of work that aims to safeguard customer information rather than react to merchant deadlines.</p> <p>The Payment Card Industry (PCI) Data Security Standard (DSS) was developed to raise awareness and improve security across the board in the way payment card details are stored and processed. While the standard is not enforceable under law there is a contractual obligation enforced by fines and the risk of adverse publicity should payment card details be made public. Currently Breckland council stores / processes card information on-site so the PCI DSS needs to be addressed.</p>

Section I – Training

I.1	<p>Please provide any training/skills transfer information?</p> <p>There are no training implications as the service will be managed by Capita</p>
I.2	<p>Please explain how training will impact your current operation and workload.</p> <p>The preparation and testing is important and could take 1-2 weeks of Customer/Steria/ICT and Finance input</p>



Note: Sections J,K to be completed by ICT/BIT.

Section J - Scoring

J.1	Project Score	Programme Rank
	76%	1 of 33

Section K – Comments

K.1	ICT
K.2	Steria
K.3	Business Improvement Team
K.4	Performance & Value for Money
K.5	Finance & Procurement
K.6	Service Manager (if not the applicant)

Internal Checks

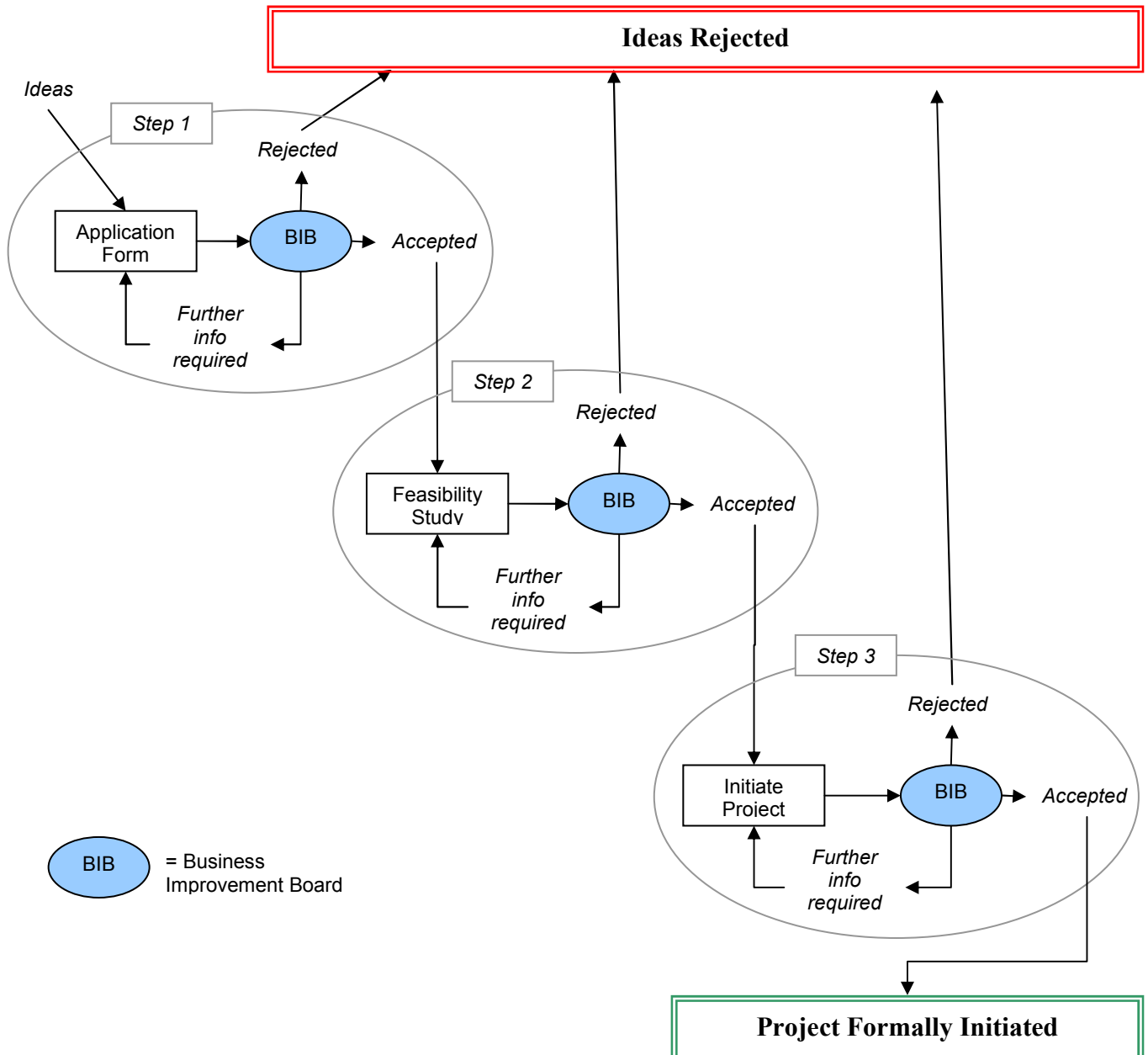
		Ref:	
1	Completed Form		<input type="checkbox"/>
2	Service Manager Approval		<input type="checkbox"/>

3	ICT Checked	<input type="checkbox"/>
4	Steria Checked	<input type="checkbox"/>
5	BIT Checked	<input type="checkbox"/>
6	Performance & Value for Money Check	<input type="checkbox"/>
7	Finance Checked	<input type="checkbox"/>
8	Service Manager Checked	<input type="checkbox"/>
9	Application Verified	<input type="checkbox"/>

Policy for Introduction of ICT & BI Projects

In order for an “idea” to become a resourced approved Project it will need to follow the steps below. This Application Form is step 1 only.

- Staff wishing to obtain either new ICT systems or Business Solutions must make a written application, using this application form, to the Chairman of the Business Improvement Board.
- The completed application must be based on sound evidence, giving full details.
- The application must be supported by the Portfolio Holder and Head of Service.
- Any incomplete application will be rejected



Application Forms are required for:

- New software/hardware, including those provided initially at “no cost”
- Replacement software/hardware (including any upgrades)
- Integration and interfacing
- Significant increases in software support expenditure
- Strategic Service Reviews/End to End Business Process Re-engineering
- Business Process Improvements

The Business Improvement Board will consider the application, employing external expert advisers where necessary, and make one of the following recommendations:

- Further investigation and research required
- Reject application
- Accept Application and progress to Step 2: Feasibility Study

The ultimate decision on the introduction of new projects involving ICT and Business Improvement will rest with the Business Improvement Board.

The introduction of service review/project must be monitored and audited against an agreed protocol and regular audit reports must be made available to the Board to ensure the expected benefits of the investment are realised.

Guidelines for Form Completion

Before passing the application for approval, please be sure to:

- 1) Complete all sections. This will ensure that all relevant information is available so that an early decision can be made. Incomplete sections may result in the application being refused or returned.
- 2) Attach any supporting evidence which the Business Improvement Board should take into account.
- 3) Ask your finance representative to calculate the impact on the budget of your own and any other Service.
- 4) Obtain the approval of your Service Manager.
- 5) Send the completed application (as an e-mail attachment only) to the following recipients:
Adam Colby: adam.colby@breckland.gov.uk
Kevin Rump: Kevin.rump@breckland.gov.uk
Kevin J Taylor Kevin.taylor2@breckland.gov.uk
- 6) When required, you should be prepared to brief a representative on the Board in order to support the application and answer questions. You may be required to attend meetings in person.