

|   |  |
|---|--|
|  | <p align="center"><b>Policy and Resources Committee</b></p> <p align="center"><b>23 February 2017</b></p>  |
| <p align="center"><b>Title</b></p>  | <p><b>Implementation of IT Strategy:<br/>Full business case for implementation<br/>of Microsoft Smarter Working tools<br/>and a pilot of Electronic Document<br/>Management technology</b></p> |
| <p align="center"><b>Report of</b></p>  | <p>Director of Resources</p>   |
| <p align="center"><b>Wards</b></p>  | <p>All</p>   |
| <p align="center"><b>Status</b></p>   | <p>Public</p>  |
| <p align="center"><b>Urgent</b></p>   | <p>No</p>  |
| <p align="center"><b>Key</b></p>  | <p>No</p>  |
| <p align="center"><b>Enclosures</b></p>   | <p>Appendix A: Full Business Case</p>  |
| <p align="center"><b>Officer Contact Details</b></p>                              | <p>Jenny Obee, Head of IT and Information Management.<br/><a href="mailto:Jenny.Obee@barnet.gov.uk">Jenny.Obee@barnet.gov.uk</a>; 020 8359 4859</p>  |

## Summary

The Council is committed to providing its staff and service users with a flexible, collaborative working environment in line with modern working practices.

Collaboration is a central theme that runs right through the council's Corporate Plan. Collaboration between Officers, Members and Partners is a foundation stone to spearhead collaboration across the public sector and help us to achieve our ambitious aims for service improvement and cost saving. One key aspect of the council's Corporate Plan is to create new office accommodation in Colindale, which will create cost savings and support the council's commitment to the regeneration of the borough, and in particular the Colindale area. The council has already committed to "invest in new IT to enable staff to work more flexibly across a range of locations; allowing them to be closer to the residents they work

with”.<sup>1</sup>

It is important to enable staff, Members and partners to access information when and where they need it (rather than being restricted to office locations), as well as recognising that they need to collaborate effectively (while not restricting this collaboration to physical proximity). Consequently, the provision of document sharing, instant messaging, video and phone conferencing is critical for supporting the need of our users to work together without restriction. Furthermore, information is a key asset for the Council, and the effective management and use of it is important for supporting Council decision making and providing information and data for use by our customers and partners.

The business case attached at appendix A discusses the options, recommendations and costs to undertake a pilot exercise for an Electronic Document Management (EDM) system. The EDM pilot will enable the Council to not only manage the risk of the proposed technical solution, it will also identify any perceived deficiencies before substantial costs and resources are committed.

The business case also recommends the implementation of Microsoft Smarter Working tools which provide standard collaboration and communication functions. In conjunction with Office 365 this provides the following capabilities: new Microsoft (MS) Office suite from any device (including Word, Excel, Outlook and PowerPoint); share screens and information interactively during meetings; softphones & multi-user video-conferencing; simultaneous document editing; presence information and instant messenger

Finally, the business case recommends a ‘Choose your Own Device’ approach for accessing the network for Members and staff, along with the purchase of IT peripherals such as laptop bags to facilitate flexible working.

## **Recommendations**

- 1. That the Committee approves the implementation of Microsoft Smarter Working technology at a capital cost of £1,373,725 and yearly revenue costs of £423,282. This is a maximum cost that may reduce following the technical assurance of the proposal.**
- 2. That the Committee approves the implementation of a pilot of an Electronic Document Management System at a capital cost of £250,000. This is a maximum cost that may reduce following the technical assurance of the proposal.**
- 3. That the Committee approves the investigation and implementation of a ‘Choose your Own Device’ approach to accessing the network at an initial capital cost of £50,000, along with the purchase of IT Peripherals at an initial capital cost of £90,000.**

---

<sup>1</sup> London Borough of Barnet, Corporate Plan 2015-2020, p.9 <https://barnet.gov.uk/citizen-home/search.html?keywords=corporate+plan>

- |   |
|---|
| <p><b>4. That the Committee approves commissioning CSG, as part of their managed service provision to the Council, to investigate and undertake any required strengthening work on the Council IT network to ensure fast and efficient access to Smarter Working and EDM tools.</b></p> |
| <p><b>5. That the Committee notes the intention to commission Leidos, the council's contracted IT technical assurance partner, to scrutinise the technical proposals before funding is released or contracts are signed.</b></p>  |
| <p><b>6. That the Committee delegates authority to the Director of Resources to enter into contracts and take all other necessary actions to implement the recommendations of this report</b></p>   |

## **1. WHY THIS REPORT IS NEEDED**

- 1.1 The Council is committed to providing its staff and service users with a flexible, collaborative working environment in line with modern working practices. Collaboration is a central theme that runs right through the council's Corporate Plan. Collaboration between Officers, Members and Partners is a foundation stone to spearhead collaboration across the public sector and help us to achieve our ambitious aims for service improvement and cost saving. One key aspect of the council's Corporate Plan is to create new office accommodation in Colindale, which will create cost savings and support the council's commitment to the regeneration of the borough, and in particular the Colindale area. The council has already committed to "invest in new IT to enable staff to work more flexibly across a range of locations; allowing them to be closer to the residents they work with".<sup>2</sup>
- 1.2 The 'Way we Work' Programme has been set up to deliver these commitments and the programme's vision is to: 'Work with our partners in the heart of our communities to serve our residents and support our Members and staff'. It is focused on these key objectives:
- To develop flexible and attractive accommodation that enables staff to work where they are best placed to do their job effectively;
  - To ensure staff and Members have the right tools to work effectively in, and out of, the office;
  - To develop a fully flexible, empowered and agile workforce which is better able to meet the needs of our customers; and
  - To streamline our processes to maximise agile working benefits.
- 1.3 The introduction of modern, fit for purpose technology is a key component of this programme, enabling up to date business practices to be realised to support the more flexible working approaches emphasised by this move.

---

<sup>2</sup> London Borough of Barnet, Corporate Plan 2015-2020, p.9 <https://barnet.gov.uk/citizen-home/search.html?keywords=corporate+plan>

- 1.4 It is important to enable staff, Members and partners to access information when and where they need it (rather than being restricted to office locations), as well as recognising that they need to collaborate effectively (while not restricting this collaboration to physical proximity). Consequently, the provision of document sharing, instant messaging, video and phone conferencing is critical for supporting the need of our users to work together without restriction. Furthermore, information is a key asset for the Council, and the effective management and use of it is important for supporting Council decision making and providing information and data for use by our customers and partners.
- 1.5 The business case attached at appendix A discusses the options, recommendations and costs to undertake a pilot exercise for an Electronic Document Management (EDM) system, along with the full implementation of smarter working technology. The EDM pilot will enable the Council to not only manage the risk of the proposed technical solution, it will also identify any perceived deficiencies before substantial costs and resources are committed. Delivery units in document management 'stress' have been identified to participate in the pilot - these are Special Educational Needs (SEN), Governance and Information Management.

## **2. ELECTRONIC DOCUMENT MANAGEMENT (EDM)**

### ***Introduction***

- 2.1 An EDM is a system designed to store and organise electronic and digitised information and enables Council services to manage documents throughout their lifecycle automatically, from creation to secure destruction.
- 2.2 An EDM is generally part of a modern day working environment, and reference visits to a number of Councils as well as private sector organisations (including a legal firm and a bank) indicate that it is not a new approach to introduce this technology, more a sensible, modern approach to support flexible working and expected by people entering the job market.
- 2.3 Examples of an EDM include the market leading Microsoft SharePoint along with technology from Objective, HP, ECM and Alfresco.

### ***The As-Is situation***

- 2.4 Within the Council at present, documents are stored in multiple locations – different shared drives for different teams within delivery units, within Outlook email accounts, within personal drives and on desktops, including physical documents that are stored with our third party records management storage provider. All of this significantly restricts the effectiveness of collaboration and management of the information staff need to carry out their core business functions and results in the following issues and consequences:
- The need to search across numerous repositories with a lack of effective search technology and naming conventions, leading to wasted time and effort;

- Lack of version control making it difficult to know which the latest version of a document is. This incurs wasted time and effort from a resource perspective including the risk of losing information;
- Lack of audit information on documents. Consequences can arise such as not knowing which documents serve as a business purpose, which documents can and should be disposed of and which documents should be retained due to their enduring value;
- Duplicated versions of the same documents stored in multiple locations, with the consequent increase in storage costs which applies to physical and electronic storage;
- There is no effective search capability on the shared drives making it extremely difficult to search for information.

### ***The proposed To-Be situation***

- 2.5 An EDM brings together disparate document repositories in one place, leading to greater efficiency in the collaboration, creation and use of information, reducing the time spent searching for information and reducing duplication and old information, therefore saving storage costs.
- 2.6 The following case studies below describe today's ways of working and the implications incurred on time spent searching for information across numerous repositories, including our off-site storage provider's storage facilities. The case studies also serve to explain the benefits of being able to collaborate and share information virtually without being office based or attaching documents to review or share information via the Council's email system.

### **Case Study 1: Special Educational Needs: The requirement for an EDM**

*Currently SEN information is stored in the following locations:*

- *Synergy (electronic files and documentation; generated letters from the system)*
- *Paper based files on-site (LBB) – approx. 2,000*
- *Paper based files off-site (Northampton) – approx. 3,000*

*The cost of the three methods outlined above is unsustainable and inefficient. The cost of printing for SEN and Inclusion alone is nearly £150,000 per year, coupled with the storage and transportation costs associated with storing and retrieving paper based records. Not only is this incredibly costly, but also provides an extra level of overhead on time for the whole process. Process efficiencies have been put in place to reduce printing as much as possible however there is a strong desire (and need) to move towards a digital storage and distribution model to further increase efficiency and saves costs.*

*SEN currently have 3 admin posts, largely to cope with the manual processes of printing Panel and Tribunal papers, filing advisers and other reports in paper files and retrieving files from storage.*

*The inefficiency of the system and the delays caused by retrieval of files from Northampton effectively means that the SEN team are unable to be fully responsive to queries from Stakeholders.*

*The SEN and Inclusion team have reduced their local storage requirements as far as possible by archiving in Northampton. However, there are still approx. 2,000 files at NLBP as these are current and required frequently. This will not be possible at Colindale. Digital storage is needed before the move takes place.*

**The benefits of implementing an EDM for SEN are in reducing the emphasis of paper documentation through reverting to electronic storage, leading to efficiencies for customers and staff, and a reduction in printing and paper storage and retrieval costs.**

### **Case Study 2: Governance - Time spent searching for information**

*As a result of incremental changes to the methodology for saving documents on the Council's network and the use of numerous shared drives, there is currently an incomplete electronic record retained centrally for Governance information. Recently the Governance Service were required to search records for evidence of a policy that affected Members. Locating this information proved problematic and costly due to the lack of clarity about what information is held and in what format. Eventually the recalled information was then used to inform the updated policy. It is estimated that recalling this information took a total of 5 hours of Officers time. The average hourly rate for a Governance Officer is £36.50 per hour. The Governance service would typically deal with 2 or 3 requests per month with the amount of time spent dependent on how specific the search time is. This is just one team within the council, and will not be a situation limited to this team.*

**The benefits of implementing an EDM are that information is stored in one place with an effective search engine to search the repository.**

### **Case Study 3: Project and Council Governance - Collaborating in the creation of information.**

*The Project Manager (PM) for the EDM project stores electronic project documentation on the Information Management Team shared drive. The Solutions Architect project team member does not have access to the project shared drive because he works for CSG. This means the PM has to email all attachments for editing and feedback using email to the Solutions Architect rather than via a link leading to increased email storage and inefficiency, as an issue occurred where the Solutions Architect was working with an old version of a Technical Requirements document instead of a later version that had been updated.*

**The benefits of implementing an EDM are that council staff and partners can access the same documents, leading to effective version control and storage.**

*Another example is the processes involved with collating committee papers. This is largely a manual process at present. Committee papers for clearance are emailed by the author of the paper multiple times to different clearance parties across the council and its partners. Different copies are sent back leading to manual corrections by the paper author. Documents are then emailed to the committee organiser to collate for the committee meeting. The process also involves the meeting organiser physically visiting paper authors with a checklist to ensure the information is being prepared on time.*

**The benefits of implementing an EDM is that in an EDM environment the document author would send a link of the paper to each clearance party. Each person responsible for submitting a committee paper/document for approval would simply upload it into the Committee folder on the EDM as opposed to the heavy email process today. This would reduce the time involved to collate the information, avoids duplication of effort, and ensures there is only one version of the truth and that all the information for the meeting is stored in one central repository.**

## **Benefits**

- 2.7 The main benefits of implementing an EDM is the reduction in time spent searching for information, and the reduction in storage costs.
- 2.8 According to a McKinsey report, “staff spend 1.8 hours every day (9.3 hours per week on average) searching and gathering information”<sup>3</sup>. Given the size of the Council, this suggests a substantial waste of effort which could be spent otherwise better supporting our residents and businesses.
- 2.9 In addition, duplicated and redundant information existing on shared and personal drives takes up an increasing amount of server space and significantly increases the search time to find information. The amount of storage held in the Council shared drives is currently 21 Terabytes. Information shared by a Council of similar size to Barnet suggests that removing duplicated and redundant data could result in potential annual cost savings of c.£150k. Reducing the use of paper could result in potential annual cost savings of c.£70k.
- 2.10 Other key benefits for implementing an EDM technology which also support the full business case for the office move to Colindale, and in particular the reduction in overall office space, include:
  - Provide a collaboration platform to support the easier sharing of documents across the organisation and its partners.

---

<sup>3</sup> . <http://utrconf.com/top-3-reasons-why-we-spend-so-much-time-searching-for-information/>

- Support office-based and remote access to information and knowledge from their desktops or mobile device which will be seamless to the user.
- Support automated workflows to ensure streamlined transactions and efficient service delivery.
- Deliver the scalability needed to support the Council's 2000 employees when we move to Colindale.
- Provide the flexibility to integrate with new enabling technologies and existing business systems over time.
- Utilise space more effectively rather than using it for physical documents.
- Reduction in consumables including reducing printers, copiers, copier paper, printer, stationary and toner.
- Physical security of information is improved as there is less of a requirement to print confidential documents as they will be securely stored in the EDM and will be centrally available to authorised individuals. This will make documents securely available remotely and reduce the need for paper documents to be transported where they could be at risk of loss or unauthorised access.
- Enabling the Council to become a "paper-light" organisation - high retrievers of paper records stored off site will deliver a more reliable, efficient service based on reliable records and evidence-based decision-making and scanning physical records at the point of retrieval into EDMS. Enquiries from the public will take less time and be resolved in fewer contact sessions.
- Electronic documents will be automatically managed throughout their entire lifecycle. This means from the point of creation, to draft, to publishing and finally archived in accordance with LBB Information Retention Schedule or deleted.

### ***Implementation approach***

- 2.11 In a time of stretched public finances, it is recognised that committing capital investment and ongoing revenue into a system such as EDM can be difficult. However, by not implementing an EDM we will continue with the inefficiencies already in place and we will not support our aims to be a modern employer, supporting modern working practices and realising the benefits of moving to Colindale.
- 2.12 The saving in efficiency (staff time) and storage are real, and this business case supports the wider cost savings established in the main Colindale business case. However, recognising stretched council finances, the business case for EDM focuses on an initial pilot of the technology over a four month period in three areas of the Council: Special Educational Needs; Governance and Information Management. Taking an agile approach, engaging in a pilot of up to c.100 users will allow the council to consider the business benefits and opportunities of this technology before committing to a full roll-out. It also allows time to consider the right technology offering and to consider the correct procurement approach. The procurement for the pilot is timetabled to commence in May 2017 and the pilot itself will last for a four month period.



- 2.13 The Council has created a comprehensive set of requirements for EDM and the pilot and has highlighted a number of systems in which it is interested. Should Members approve the business case to implement a pilot EDM then CSG will be approached in the first instance to put together a pilot proposal. Should that approach prove unsuccessful, then the council will procure a system through a Government procurement framework.
- 2.14 The proposed timescales for the pilot are as follows:

| Milestone                      | Date     |
|--------------------------------|----------|
| Full Business Case to P&R      | 23/02/17 |
| Select supplier                | 31/05/17 |
| Development and start of pilot | 31/07/17 |
| Pilot concludes                | 30/11/17 |
| Pilot assessed                 | 31/12/17 |

### Costs

- 2.15 The costs set out in the business case are for the implementation of a pilot for up to 100 users. As these are pre-procurement and so at a high-level, they do have contingency built around them. Should Members approve the business case, the EDM project will commence the procurement phase and full costs will be established.
- 2.16 The cost to undertake an EDMS pilot for up to c100 users over a period of 4 months will not exceed £250,000 and includes:

| EDM Pilot Implementation Costs   | Cost            |
|--|-----------------|
| Labour (Installation, development, training, testing, project mgt, support.) | £157,000        |
| Software Licenses  | £33,000         |
| Hosting  | £60,000         |
| <b>Total Pilot Implementation Costs</b>                                      | <b>£250,000</b> |

- 2.17 There are low cost EDM products on the market which are free to use (such as Drop Box), but these services are designed largely for personal use rather than corporate use. Furthermore, there are concerns about the security and resilience offered by these free services. In addition, a product such as Microsoft SharePoint, while offered as part of the Microsoft licensing we will have in place through the Smarter Working technology tools, requires configuration to make it fit for purpose. Out of the box and un-configured, it is a system which looks very different to how our staff operate at present in their shared drives set-ups and would be un-controlled and un-managed. Even though SharePoint may therefore be seen as a “free” product, there is a great

deal of configuration (and therefore cost) needed to make sure it is a system that successfully supports the needs of an organisation.

### ***Members***

- 2.18 It is not planned to include Members within the pilot groups for EDM; however, in tandem with the pilot and benefits realisation exercise, discussions will be held with the Members about their requirements and whether a move to EDM is appropriate for them, and the timescales for doing so that would best fit their needs.

## **3. SMARTER WORKING TECHNOLOGY**

### ***Introduction***

- 3.1 The vision for Barnet is that by 2020 services will be commissioned jointly for the borough by pooling resources and expertise from across the council, NHS, Job centre, police, education providers and other partners from the public, private and voluntary sectors to create truly integrated services. For residents this will mean more intuitive services and for the Council and its partners, saving money and reducing bureaucracy. Smarter Working Technology provides standard collaboration and communication functions. In conjunction with Office 365 this provides the following capabilities:
- New Microsoft (MS) Office suite from any device (including Word, Excel, Outlook and PowerPoint).
  - Share screens and information interactively during meetings.
  - Softphones & multi-user Videoconferencing.
  - Simultaneous document editing.
  - Presence Information.
  - Instant Messenger.

### ***The As-Is Situation***

- 3.2 At present staff employed directly by the Council and its partners do not have access to the full range of contact details, calendars and other corporate information required for efficient communication and collaboration. Presence information is fragmented and staff cannot easily arrange meetings, make calls, send instant messages, or conveniently find out where staff are and how best to contact them.

### ***The Proposed To-Be Situation***

- 3.3 Smarter working technology will allow users to communicate effectively via a wide range of tools and not only make phone calls from various devices such as laptops and personal mobile phones but also to share live content, multi user video conferencing, instant messaging and an ability to see live user presence such as their availability, including the ability to share screens for presentations, documents etc. Smarter working technology provides tools which allow staff to do the following:

- Edit a document simultaneously.
- Share text and resources such as images without resorting to email.
- Chat via audio or instant messaging.
- Phone and video conferencing.
- Standard business telephone functions (e.g. transfers, hunt groups) without needed to be logged onto a physical phone.
- Share their screens.
- Draw notations on documents.
- See whether other staff are currently working or are away or logged off (presence information).
- All of the above through online service on any device.

### **Case Study 1: Efficiency in collaboration from a Local Authority**

*An officer from a London Borough has stated that “I often collaborate in project clusters with people from different teams around the Council. Rather than always arranging formal meetings as a group, we adapt the way we work to suit the needs of the project. This might mean having a video conference call through Skype or meeting in a break-out space. It’s so much quicker than having to book a room, send an appointment and hold the meeting.”*

#### **Benefits**

- 3.4 The benefits of implementing Smarter Working technology using a combination of Microsoft technologies are to:
- Enable The Way We Work objectives to be met by ensuring that staff are able to work effectively from different locations and from any device, and not just from a single, central office on a corporately provided computer. This is a key enabler of staff working more flexibly and having less need to come to the office which will in turn ensure we can work from the reduced office space in Colindale
  - Improve collaboration meaning multiple users can contribute to a document while voice chatting and/or communicating by instant messaging;
  - Work remotely, yet securely. The solution will be a PSN compliant Office 365 cloud based email service, configured according to the latest Government Digital Service (GDS) secure email guidelines, which provides GCSX email replacement. This will result in a removal of the need for separate GCSX mailboxes enabling LBB users to have a seamless user experience when communicating securely with partners.

#### **Implementation Approach**

- 3.5 It is proposed to commission CSG, through schedule 15 of the CSG contract, to implement and support the Smarter Working tools. CSG has taken on board Council feedback on their previous implementation of IT projects in a manner that was focussed too heavily on the technical aspects of the project and not enough on the effective management of the project into council

delivery units. On this basis, the proposal for this project will be to wrap around the technical implementation with project and change management capacity from the resource pool in the Corporate Programmes team.

- 3.6 From a project management perspective this will deliver a more effective project by ensuring robust project governance is in place and documentation is in place in line with the Council's Project Management Toolkit.
- 3.7 The current high-level implementation timescale is as follows:

| Milestone                 | Date               |
|---------------------------|--------------------|
| Full Business Case to P&R | 23/02/17           |
| Model office / pilot      | May-June 17        |
| Roll-out                  | July 17 – March 18 |

### ***Costs: Smarter Working Technology***

| O365/Skype Implementation Costs                                | Cost              |
|--|-------------------|
| Labour (Installation, dev., training, testing, project mgt.)   | £1,103,206        |
| Software, hardware, VPN (Sonos, Bitglass, conference hardware) | £167,393          |
| Headsets (if required)   | £103,126          |
| <b>Total Implementation Costs</b>                              | <b>£1,373,725</b> |

| O365/Skype Ongoing Costs          | Cost     | Per User |
|-----------------------------------|----------|----------|
| Ongoing costs (licenses, hosting) | £423,282 | £154     |

### ***Members***

- 3.8 The implementation of smarter working technology for Members has been discussed at the Members' IT Working Group who felt that cloud hosted Office 365 could be useful for Members. Should Members approve this business case, further discussions will be held with them about ensuring this product set meets requirements and about including this key group of users early on in the implementation cycle. It is also felt that there could be strong use cases for Members with the use of phone and video conferencing, and the other smarter working tools, and so discussions on the implementation of these will be taken in tandem with Office 365 conversations.

## **4. 'CHOOSE YOUR OWN DEVICE' APPROACH**

- 4.1 In order to support the implementation of Smarter Working and EDM technology, it is recognised that how Members and staff access the Council's network needs to adapt to support our ambitions to enable more flexible, mobile working. Consequently, the Council would like to explore the

implementation of a 'Choose Your Own Device' (CYOD) approach in tandem with Smarter Working and EDM technology to enable greater access choice for our users. This will involve the enabling of network and system access from personal devices (through Citrix, VPN and direct cloud access) along with considering offering a greater choice of corporate smart devices to staff (in addition to the current corporate BlackBerry offering – so involving the choice of Windows, Android and / or Apple technology).

- 4.2 This is a changed approach, but is in keeping with the Council's stated ambition within its IT<sup>4</sup> strategy to implement a proportionate risk approach to technology and information security. Consequently, the risk of this approach will be carefully considered to assess which levels of Council system and information can be accessed from non-corporate devices.
- 4.3 Should Members approve exploring this approach, detailed design discussions will be held with CSG IT and Information Security teams about the implementation approach and security approvals required. It is proposed that a CYOD approach could be in place by the end of Q2 2017-18, although further detailed design work will provide a fuller implementation approach. An initial capital budget of £50k has been proposed for this work.

### ***Members***

- 4.4 Having listened to the views of Members at meetings of the Members' IT Working Group, it is clear that enabling a more flexible approach for Members accessing the network would be very useful. It is therefore envisaged that Members would be the first group to benefit from this approach.
- 4.5 This approach would require changes in corporate policy, including the council's Acceptable Use, Information Security and other associated Information Management policies. As these policies are relevant to Members, these changed policies will be presented to General Functions Committee for consideration and approval.

## **5. PERIPHERALS**

- 5.1 In order to assist council staff in working more flexibly using these smarter working tools, it is envisaged that users can, where required, choose to be provided with items such as keyboard and mice for remote working, laptop bags, laptop stands, additional laptop power cables and other supportive peripherals. 4G connectivity for mobile workers will also be considered. An initial budget of £90k is proposed for this equipment.

---

<sup>4</sup> Policy and Resources Committee, 5 October 2016, ICT Strategy  
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&MId=8730&Ver=4>

## **6. SECURITY AND NETWORK CONSIDERATIONS**

### ***Security***

- 6.1 Ensuring appropriate access and security to information and records will be a key part of each of the projects. Whilst the council already has policies and processes that manage access to and security of information, these will need to be amended for our new working environment. The Information Management Team and Information Security Manager will remain key stakeholders and supporting partners within the projects.
- 6.2 To deliver assurance, a full Information Management Impact Assessment (IMIA) will be completed and reviewed and amended as necessary throughout the project. An IMIA looks at the project's aims and objectives, the workflows of information and the processes to manage the information. It considers the access, sharing, security and privacy rights relating to the project and identifies whether a Privacy Impact Assessment (PIA) is required. Completing an IMIA allows the council to identify potential issues and apply good practice, allowing the project to make the best use of information and achieve objectives, whilst ensuring appropriate risk management and compliance with legislation.
- 6.3 Security considerations will be a key aspect of the implementation of this technology. As the council's current shared drive environment is difficult to manage, moving to EDM aims to improve security and access controls. Processes for managing access and security will be considered either through the EDM and Smarter Working tools themselves, or through complementary software, such as that designed specifically for managing user access to documents. Bitglass software has been specified as a cloud access security broker and proxy, and this solution will be ratified by the Government Digital Service (GDS) as part of detailed design. This gives additional security wrapper over the generic Microsoft Cloud security, in order to meet GDS Cloud Security principles.
- 6.4 Security will also be key to the Choose your Own (CYOD) arm of the project, as managing access through non-corporate devices brings with it specific risks in relation to security in a wider sense, including virus protection, ransom-ware, and hacking and data leakage. The use of an IMIA will help identify some of these risks, for recommendations to be made in how to manage them. Risk assessments and technical tools, such as penetration tests, will also be used to identify risks and allow the council to choose its risk tolerance in various areas, such as CYOD in the future. The interplay of rights and responsibilities between the organisation and the individual when considering officers using their own equipment as part of CYOD is another example of risk work to be considered as part of the project.

### ***Network capacity***

- 6.5 It is recognised that implementing the new technology set out in this paper will place strain on the capacity of the network to support the increased amount and size of traffic placed within it. Not addressing this at a technical level will result in slow system speeds being experienced by users, as well as a lag in accessing information.

- 6.6 In order to ensure fast and effective access from the new flexible working tools, if Members approve this proposal, then CSG IT, as part of the managed service provision under the CSG contract, will be commissioned to undertake any required strengthening work on the network. The costs of this work are to be established.
- 6.7 Meeting our security requirements and addressing any capacity issues on the network will ensure that we have robust Smarter Working tools and an EDM that are quick and reliable to access and use, and that can be accessed from both corporately provided laptops, tablets and smartphones as well as users own devices.
- Technical assurance***
- 6.8 Both the Smarter Working and EDM pilot proposal that will be received by the Council from CSG will be passed through the Council's Technical Assurance Partner, Leidos, for assurance. This will consider factors including network capacity, delivery approach and value for money.

## **7. TRAINING AND SUPPORT**

- 7.1 In order to ensure successful implementation and ongoing use of the EDM pilot, smarter working technology and CYOD, training and support will be provided to staff. Smarter working is a huge cultural change to staff, Members and partners, and the introduction of new technology for some can often be a very daunting experience which will need to be dealt with sensitively and tailored in accordance to people's different levels of learning abilities and how they adapt to change. Training will initially be designed to enable staff to use the new technology, and following this will be tailored and refreshed according to requirements after a period of use.
- 7.2 Support across all projects will include a Records Management and IT helpdesk, as well as regular 'drop in sessions' for staff. Super users in business areas will also be set up and provided with specific training to ensure that each business area has a contact that is familiar with the new technologies and how these can benefit their business processes.
- 7.3 Various methods of communications will be used both in the run up to the implementation and to embed the new technologies into the Council. This will include poster campaigns, videos, and a model office. We also plan to make use of the new Smarter Working tools to get messages to staff, for example using instant messenger to advertise training and support, or using Skype for Business for delivering training to homeworkers.
- 7.4 In addition to the introduction of new policies, guidance documents, and videos surrounding how to effectively use the new working environment, materials to assist in the measurement of benefits will also be created. This will include surveys which will be undertaken by staff before, during and after implementation.

- 7.5 Multiple training formats will be explored to ensure the needs of our various user types are met appropriately. This will include formal classroom training, drop in sessions, one to one training, webinars, and remote assistance.

## **8. REASONS FOR RECOMMENDATIONS**

- 8.1 The recommended option to proceed with a pilot of EDM technology and full implementation of smarter working technology recommends the most value for money option and one which considers the most benefits.

## **9. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED**

- 9.1 Consideration was given to proceeding with full implementation of EDM technology; however, this was discounted as running a pilot of EDM at lower cost to prove the business benefits of investing in this technology was felt to be preferable. Consideration was also given to implementing, at both pilot and full implementation level, an EDM product fully integrated with line of business systems (in the way that the Wisdom system had been integrated with the Swift Adult Social Care and LCS Children Social Care systems). This was discounted due to cost and time and the fact that it would be difficult to prove the benefits of taking this approach. This would also be contrary to recent strategic drivers to keep records and cases together rather than in separate systems (such as the recent approach to remove the integration to Wisdom from the LCS social care system).
- 9.2 The recommended approach for the implementation of smarter working technology is to implement a fully integrated Microsoft approach, including soft phone technology through Skype for Business. The option to implement Microsoft UC and O365 with soft phone technology provided through the Cisco Jabber alternative was also considered. While this was comparable on cost, it was ultimately discounted due to full integration being an easier to use option for staff.

## **10. POST DECISION IMPLEMENTATION**

- 10.1 Should the business case be approved by Members, the Smarter Working technology proposal from CSG will be technically assured by the Council's third party assurance partner, Leidos. On the proviso that the proposal passes technical assurance, the implementation of Smarter Working tools, preceded with a pilot, will commence.
- 10.2 Should Members approve the business case to implement a pilot EDM then CSG will be approached, in the first instance, to put together a pilot proposal, setting out how recommended technology meets the requirements of the council. Should this approach prove unsuccessful the Council will initiate a



separate procurement activity through Government procurement frameworks. The proposal through either route will be technically assured by Leidos.

## **11. IMPLICATIONS OF DECISION**

### **11.1 Corporate Priorities and Performance**

11.2 A key aspect of the Council's Corporate Plan is to create new office accommodation in Colindale, which will create cost savings and support the Council's commitment to the regeneration of the borough, and in particular the Colindale area. The Corporate Plan 2015-2020 includes the commitment to "invest in new IT to enable staff to work more flexibly across a range of locations; allowing them to be closed to the residents they work with"<sup>5</sup>.

### **11.3 Resources (Finance & Value for Money, Procurement, Staffing, IT, Property, Sustainability)**

11.4 A capital budget of £9.1m has been allocated for the implementation of the ICT Strategy. The authority to spend significant sums of this budget must be bid for through approval of individual business cases by Policy and Resources Committee – this business case is the first such for approval.

11.5 This proposal recommends allocating £1,373,725 from the capital IT strategy budget to implement Smarter Working technology, along with £250k for an EDM pilot, £50k for Choose your Own Device and £90k for IT peripherals. The capital budget requirements for any additional network capacity work are to be established.

11.6 There is an on-going revenue requirement of £423,282 per year for the Smarter Working tools. Funding for this has been allocated from the Council's budget, and we will be seeking partner contributions towards their use of these tools.

### **11.7 Social Value**

11.8 N/A

### **11.9 Legal and Constitutional References**

11.10 No specific legal issues have been identified.

11.11 The Council's Constitution (Responsibility for Functions, Annex A) states that the Policy and Resources Committee has the following responsibility:

(1) "To be responsible for the overall strategic direction of the Council including the following specific functions/activities:

...

- Information Technology provision"

### **11.12 Risk Management**

The main risks associated with procuring an EDMS solution are summarised

---

<sup>5</sup> London Borough of Barnet, Accommodation Office Options Review – Final Business Case  
<https://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=696&MID=8881>

in the table below:

| Ref No | Description                                       | Cause, Event & Consequence   | Mitigation   | Risk Score (up to 20) |
|--------|---|--|--|-----------------------|
| 1      | Insufficient storage capacity affects performance | <b>Cause:</b> Insufficient storage capacity available for corporate roll out level.<br><b>Event:</b> The system may reach capacity as more service areas use EDMS.<br><b>Consequence(s):</b> Performance is affected.  | Liaise with Technical Infrastructure team to review capacity and monitor storage availability as project progresses.   | 15                    |
| 2      | Unrealistic timescales                            | <b>Cause:</b> Pressure on timescales for full roll out<br><b>Event:</b> Timescales are unrealistic<br><b>Consequence(s):</b> EDMS is not implemented in the planned timescales and benefits are delayed  | Customer site reference visits raised concerns regarding timescales for full roll out of EDM prior to the move to Colindale  | 16                    |
| 3      | Shared Drive - Analytics Crawl                    | <b>Cause:</b> Cannot scope the size of the problem re ROT and Duplicates<br><b>Event:</b> Impact on timescales re migration of shared drives to EDMS including moving unnecessary information across that is not required.<br><b>Consequence(s):</b> Replicating the problem we currently have with the shared drives. | Data crawl arranged  | 15                    |
| 4      | Poor clean-up of shared drives prior to migration | <b>Cause:</b> Insufficient resources<br><b>Event:</b> Clean-up of shared drives prior to migration not done well<br><b>Consequence(s):</b> Poor quality information migrated   | Nominated team representatives will need to be identified following requirements workshops to ensure shared drives are cleansed in accordance with agreed timescales. Progress will be monitored by the project team. Slippage will be recorded and escalated to team managers where necessary | 12                    |

| Ref No | Description  | Cause, Event & Consequence  | Mitigation   | Risk Score (up to 20) |
|--------|--|---|--|-----------------------|
| 5      | Lack of skilled staff to do the technical EDM work | <b>Cause:</b> Lack of money and availability of skilled staff<br><b>Event:</b> Lack of skilled staff to do the technical EDM work<br><b>Consequence(s):</b> Technical work not done, or delayed, and costs more       | Could be forced to use vendor consultants if resource is not identified at project start. Provisions for an agreed amount of consultancy days should be built in to the overall budget | 12                    |
| 6      | Insufficient budget                                | <b>Cause:</b> The project has a set budget to work with.<br><b>Event:</b> The scope increases in an uncontrolled manner<br><b>Consequence(s):</b> Budget may not be sufficient to deliver all objectives.             | Close monitoring of budget and highlight to programme board any concerns. Scope will need to be locked down pre contract signature stage   | 12                    |
| 7      | Insufficient communications                        | <b>Cause:</b> Lack of availability or priority<br><b>Event:</b> Insufficient communications coming out from Change Manager<br><b>Consequence(s):</b> People not sufficiently aware of the changes and resist changing | Monitor delivery against communications plan   | 12                    |

The main risks associated with implementing Smarter Working technology are summarised in the table below:

| Ref No | Description | Cause, Event & Consequence | Mitigation | Risk Score (up to 20) |
|--------|-------------|----------------------------|------------|-----------------------|
|--------|-------------|----------------------------|------------|-----------------------|

| Ref No | Description                      | Cause, Event & Consequence  | Mitigation  | Risk Score (up to 20) |
|--------|----------------------------------|---|---|-----------------------|
| 1      | Apps Compatibility               | <p><b>Cause:</b> Upgrading the current Office 2010 to Office 365</p> <p><b>Event:</b> There is a risk that some applications may not be compatible with Office 365</p> <p><b>Consequence(s):</b> Such applications may not work, or may only work with reduced functionality</p>  | Application compatibility testing, during the project due diligence phase to identify incompatible applications.                        | 15                    |
| 2      | Network capacity and performance | <p><b>Cause:</b> Network demands arising out of Office 365 deployment</p> <p><b>Event:</b> Higher demands than anticipated on the LAN and WAN.</p> <p><b>Consequence(s):</b> Capacity of the LBB Local Area Network (LAN) and Wide Area Network (WAN) will not be sufficient to support the upgrade to Office 365 and roll out of Unified Communications.</p> | Complimentary work will take place to establish network capacity and performance issues and implement remedial measures where required. | 15                    |

| Ref No | Description  | Cause, Event & Consequence   | Mitigation   | Risk Score (up to 20) |
|--------|--|--|--|-----------------------|
| 3      | Data Throughput  | <p><b>Cause:</b> Migration of mailboxes from on premise to Exchange Online</p> <p><b>Event:</b> Microsoft throttle the bandwidth of network ingress (inbound) to the O365 platform</p> <p><b>Consequence(s):</b> Mailbox migration rate is slower than anticipated, so the project timescale is extended.</p>  | <p>CSG will liaise with Microsoft to mitigate throttling of bandwidth to maintain the required data throughput.</p> <p>During the migration planning, due consideration will be given by CSG to derive an achievable data migration rate, so that project delivery times are not impacted.</p> | 3                     |
| 4      | CSG will implement a clear communications plan detailing all the responsibilities of LBB users | <p><b>Cause:</b> A number of activities must be carried out by user, as pre-requisites for migration to O365</p> <p><b>Event:</b> There is a risk that the required housekeeping activities are not carried out in time by the users</p> <p><b>Consequence(s):</b> The migration to O365 timescales will slip, due to an unanticipated backlog of users to be migrated</p> | <p>CSG will work with LBB to ensure that all users are aware of their actions, and that these are completed at the earliest opportunity so as not to jeopardise the success of the project.</p>  | 3                     |

### 11.13 Equalities and Diversity

11.14 No direct adverse impact is anticipated on service users. The EDM and smarter working technology projects affect internal working practices to improve the management of information at Barnet and provide users with tools that encourage collaboration and information sharing. There is a positive impact of these projects. Disabled or staff with health conditions will be able to work more flexibly and not have to attend offices for meetings. There are also

potential benefits for parents and carers who may be able to work more flexibly at home or other locations.

11.15 An assessment has been carried out on any staff impact of these and we anticipate there will be no impact for the reasons listed below because:

- All staff who will be affected by EDM and smarter working technology are already working in digitally included ways and selection criteria will be included for new recruits.
- All staff and new recruits will receive training in implementing the EDM and smarter working technology and any particular individual needs will be identified and addressed as part of that programme.
- We will be working with any staff and new recruits who have a disability which requires an adjustment with regard to new technology. Some of these will already be known to managers and some may only become apparent as the new technology is deployed. Any further adjustment required as a result of EDM and smarter working technology will be accommodated through the management of change process and is dependent on the wider the Way We Work Programme.

11.16 The equality impact assessment will be kept under review as the project develops.

#### 11.17 **Consultation and Engagement**

11.18 N/A

### 12. **Insight**

12.1 N/A

### 13. **BACKGROUND PAPERS**

13.1 [Assets, Regeneration and Growth Committee, 11 July 2016, Accommodation Office Options Review - Final Business Case](#)

13.2 [Policy and Resources Committee, 5 October 2016, ICT Strategy](#)