

The Way We Work Programme – Full Business Case for an Initial Pilot of an Electronic Document Management Solution and Full Implementation of Microsoft Smarter Working Tools

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Contents

1	Executive Summary	3
2	Introduction	8
3	Background	10
4	Purpose	13
5	Aims & Objectives	18
6	EDMS Options/Recommendations.....	19
6.1	Options	19
6.2	EDMS - Advantages and Disadvantages of Each Option.....	19
6.3	Summary Assessment of EDMS Options	21
6.4	EDMS - Associated Risks with Each Option	22
6.5	Lessons Learnt from Site Visits for EDMS	22
6.6	EDMS Recommended Options	24
6.7	Rationale for Recommended Option.....	24
6.7.1	Option 1 – Continue as is	24
6.7.2	Option 2 – Single EDMS for all repositories	25
6.7.3	Option 3 – EDMS replacing shared drives and addressing paper-heavy processes.....	25
7	Options and Recommendations.....	26
7.1	Office O365 and UC - Advantages and Disadvantages of Each Option.....	26
7.2	Summary Assessment of O365 and UC Options.....	29
7.3	O365 and UC Associated Risks with Each Option	30
7.4	O365 & UC Recommended Option.....	30
7.5	Rationale for Recommended Options: O365/UC	31
8	Network Capacity	31
9	Equality & Diversity	31
9.1	Approach	31
9.2	Initial Equalities Impact Assessment	32
10	Information Assurance and Security	34
10.1	Principles.....	34
11	Assurance	34
12	Security	34
13	Support.....	35

14	Privacy.....	35
14.1	Key Issues.....	36
15	Proposed Procurement Route.....	37
15.1	EDMS.....	37
16	Implementation	38
16.1	EDMS Implementation Approach following (successful pilot).....	38
17	O365/UC Implementation Approach	41
18	High Level Plan	41
19	Training & Support	42
20	Communications	43
21	Expected Benefits.....	45
22	Summary of Key Risks	50
22.1	EDMS Key Risks	50
22.2	O365/UC Key Risks.....	51
23	Costs/Investment Appraisal (Pilot Only)	54
23.1	Pilot Costs	54
23.2	Investment costs over the economic life of the EDMS	54
23.2.1	Option 3 – Shared drives, Paper-Lite.....	54
23.3	Investment costs over the economic life of the O365 and UC	55
23.3.1	Option 2 – O365 plus Skype for Business.....	55
23.3.2	Option 3 – O365 plus Cisco Jabber	55
24	Project Assurance.....	56
25	Dependencies.....	57
26	Appendix A - Glossary of Terms	58
27	Appendix B - EDMS Case Studies	59
28	Appendix C – Full EDMS Benefits	64
29	Document Control.....	74
29.1	Document History	74
29.2	Distribution List:.....	74
29.3	Approvals:	74

1 Executive Summary

Background – the move to Colindale

The Council is committed to providing its staff, Members and partners 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 lead 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"¹.

The 'Way We Work' (TW3) Programme has been set up to deliver these commitments with a vision 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, that is better able to meet the needs of our customers; and
- To streamline our processes to maximise agile working benefits.

Staff moves into new office accommodation at Colindale are planned for the end of 2018 and all aspects of the TW3 programme are to be delivered by then. This includes a number of fundamental technical enablers that will need to be implemented prior to the move to ensure that staff and Members are able to work effectively from different locations, in line with the Council's Locality Strategy².

Background – the requirement for new technology

This business case discusses the options, recommendations and costs to conduct an Electronic Document Management System (EDMS) pilot exercise. Should the pilot be successful we will request additional funding from the Policy & Resources Committee for full implementation of an EDMS solution. The business case also asks for funding to procure and implement Smarter Working solutions (Office 365 and Unified Communications), in support of the aims listed above.

¹ London Borough of Barnet, Corporate Plan 2015-2020, p9

² London Borough of Barnet, Locality Strategy

<http://barnet.moderngov.co.uk/documents/s33204/ARG%20committee%20report%20-%20Locality%20Strategy.pdf>

The EDMS 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. Teams in document management 'stress' have been identified to participate in the pilot - these are Special Educational Needs (SEN), Governance and Information Management.

Together EDMS and Smarter Working tools will enable staff, Members and partners to work in a more agile environment and at the same time have a secure technical platform to access the information they need to carry out their daily tasks. A choice from a range of products such as Skype for Business, Instant Messenger, video conferencing, and smart phones will enable effective and efficient communication. A summary of each element of the programme is provided within the main content of this business case.

The Council's IT business partner, CSG, will have the opportunity to implement the technical solutions proposed in this business case using Schedule 15 of the CSG contract. This is appropriate as these solutions need to be closely aligned to the Council's overall IT architecture, managed by CSG IT.

To ensure CSG's proposed technical solution, value for money and implementation approach meet the Council's requirements, all proposals and pricing will be fully scrutinised prior to finalising contracts, including the full involvement of the Council's IT Assurance Partner Leidos (full details in section 10 of this document). The Council will closely monitor every aspect of the implementation and milestone payments, with retention incentives being used to ensure payments are linked to successful delivery.

In order to ensure that all users become quickly and fully engaged with the new technologies, a comprehensive process of communication, training and user experience feedback will be deployed before, during and after implementation.

EDMS

An EDMS is a software system for organising, storing and sharing electronic documents. It can also help manage paper documents. An EDMS manages all electronic documentation throughout its lifecycle from creation to secure destruction or transfer to another body if legally required.

At the moment documents are stored on shared drives and various repositories and are not effectively managed or shared between teams and partners. The typical types of issues that staff deal with every day are:

- The need to search across numerous repositories;
- Difficulties in searching for information due to lack of standardised naming conventions and structured file plans;
- Difficulties in sharing and working on documents with different teams due to working in different repositories;
- Lack of version control leads to multiple versions and no 'true' record;
- No audit trail of who worked on the document or amendments made;

- Duplicate copies of the same version including multiple drafts;

All of these issues waste time and effort and result in increased storage costs. There are 3 options to address this

1. Do nothing
2. EDMS which replaces the shared drives and integrates with line of business systems and other information stores (e.g. Wisdom)
3. EDMS which replaces the shared drives but does not replace other information stores

To successfully achieve the desired benefits of the TW3 programme, option 3 is recommended as this will provide:

- Full collaboration and information sharing across the Council
- Significantly improved document and information security
- Greater efficiency
- Version control
- Deliverability within the TW3 programme timescales of end of December 2018
- Meets the allocated budget and saves money by not decommissioning other information repositories.

These will all lead to greater efficiency and decreased storage costs.

Smarter Working Tools

Smarter Working tools support collaboration and sharing of Excel, PowerPoint and Word documents across the Council. It encourages more efficient collaboration on documents by multiple users and allows editing in real time; something which is not currently possible. It is seamless for users, more cost effective than using multiple emails for review, and can be used on multiple platforms such as tablets and phones.

Smarter Working Tools - Unified Communications

Smarter Working tools will allow users to communicate effectively via a wide range of tools. They will enable phone calls from various devices, such as laptops and personal mobile phones (without being tied to a desk phone), multi user video conferencing such as Skype for Business and instant messaging, as well as allowing users to share live content like presentations and see user presence and availability.

At present council and partner staff 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 find out where staff are and how best to contact them. This results in a substantial amount of time lost and makes it challenging to work effectively as a team when individuals are not all in the same location. These issues limit the Council's ability to work in an agile environment and get the best outcome from our Locality Strategy.

There are 3 options to address this

- Do Nothing
- Microsoft Integrated Unified Communications
- Non Microsoft Integrated Unified Communications (with a separate application for telephony)

It is recommended that the full Microsoft Integrated Unified Communications is implemented. To do nothing will not achieve a fully flexible and agile working environment. Costs, for licences in particular, for the Microsoft integration UC tools are too high to justify the benefit of a simpler user experience.

Benefits

Implementing an EDMS and Smarter Working tools will enable the Council to realise benefits and will therefore touch all LBB staff and partners. It will be a cultural change. The elimination of network drives, personal drives and the familiar silos of information will be changing the method of information capture and use that staff are used to. Successful delivery will ensure that LBB's integrity and reputation is safeguarded as compliance to public accessibility legislation increases and will also include:

- The Council becoming an 'agile working' organisation
- Staff and Members are able to work in a more mobile and flexible manner and are less reliant on their offices, but remain connected with their teams and able to access the information they need to carry out their work more efficiently
- Shared drives migrated across to EDMS enable sharing and collaboration of information to be utilised to maximum potential to drive efficient consistent and reliable business processes
- Information is secure and reliable, reduces the risk of duplication and has only one version of the truth.
- Information is easily accessible and less time incurred searching for records – for business decision making, statutory compliance and legal cases
- Partnership and sharing platforms are made accessible through a variety of channels, enabling multiple objectives from the council's corporate plan
- Working in a paper-light environment will reduce cost of paper, reduce physical storage costs and improve ability to access more documents remotely
- Virtual and on-site teams will no longer hoard or rely on storing information on shared or personal drives or emailing unsecured attachments, or saving documents and records in random files on computer hard drives.
- Across the Council there are so many team members working on a variety of projects, the benefit of having an EDMS will enable them to communicate with one another in real time. While communicating over email still serves the Council, it is important to adopt strategies and tools that allow both group communication and one-on-one conversations to function across an entire project, so they can keep track of all the data.

Costs & Implementation Timescales

The estimated costs to implement the recommended EDMS pilot are:

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

EDMS pilot implementation will start in May 2017 and will run for a period of 4 months

EDM Pilot	Date
Business case to P&R	23/02/2017
Select supplier	31/05/2017
Development and pilot	31/07/2017
Pilot concludes	30/11/2017
Assess pilot	31/12/2017

The estimated costs to implement the recommended Smarter Working tools are:

O365/Skype Implementation Costs - Capital	Cost
Labour (Installation, dev., training, testing, project mgt.)	£1,103,206
Software, hardware, VPN (Sonos, Bitglass, conference hardware)	£167,393
Headsets and handsets	£103,126
Total Implementation Costs	£1,373,725

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

Implementation of O365 and UC is anticipated to be complete by the end of March 2018.

Milestone	Date
Full business case to P&R	23/02/2017
Training Design and Development	20/06/2017
Development	30/06/2017
UAT	14/07/2017
Rollout Complete	31/03/2018

2 Introduction

- 2.1 A modern workforce needs modern technology and support to provide a flexible and agile approach to business practice. 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 staff, Members and partners need to collaborate effectively regardless of physical proximity. The Council's vision for 2010 states that we must "reduce bureaucracy and create efficiencies, with increased collaboration driving innovation in the way services are designed and delivered"³. 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.
- 2.2 Information is a key asset for the London Borough of Barnet (LBB) as recognised in the council's Information Management Strategy 2016-20. Effective management and use of information is important for supporting LBB decision making and providing information and data for use by our customers and partners.
- 2.3 "Colindale offices will be our main office base, but we will be able to work in a variety of settings in order to be closer to the residents that they support and to work securely, safely and effectively. For many staff, this will mean less need to come in to the office. Staff will be supported through better technology, training and equipment. That means whether they work from a team area, hot desk, home or in a client's home, officers will have access to the systems and information they need"⁴.
- 2.4 These objectives have been translated into the technology work-stream of The 'Way We Work' Programme (TW3), comprising the EDMS (Electronic Document Management System), O365 (Microsoft Office 365) and UC (Unified Communications) projects. These projects feed into the programme which also includes the Colindale project (the build of the Council's new office at Colindale) and implementation of the Locality Strategy. Throughout the remainder of this document O365 and UC is referred to as Smarter Working tools.
- 2.5 The overall objective of EDMS, and Smarter Working tools is to enable smarter working within the council in a way that encourages staff, Members and partners to engage, rather than dictates that they do so; providing a collaborative platform which will provide multiple channels of communication to be utilised simultaneously.
- 2.6 Smarter Working tools will enable multiple channels of communication, enabling staff to use their preferred method of communication, be it face to face, video, email or telephone. This will reduce the need to be in the same location for meetings, but

³ Corporate Plan 2015-2020, p9

⁴ Locality Strategy, June 2016, p4

will still provide a virtual face to face meeting platform via video conferencing such as Skype for Business.

- 2.7 The human benefits of being able to work each day, communicating collaboratively across the organisation throughout the day, searching for and sharing documents intuitively and efficiently, and interacting with staff, Members and partners in a variety of different ways should be instinctively obvious
- 2.8 Introducing this new technology is just one aspect of increasing flexibility. Other supportive measures include the choice for staff to use their own mobile devices for work using Choose Your Own Device (CYOD) enabling technology. For some staff this will be an advantage and will mean that they will only require a single device (of their choice) for personal and work related tasks. There will be security and Human Resources (HR) implications which will be carefully considered and managed. CYOD is being addressed separately and is outside the scope of this business case.

3 Background

- 3.1 Following the move to Colindale there will be a reduced ratio of desks to staff, which will be achievable because of changes we make to how often staff, Members and partners need to come in to the office. This means that more users will be working remotely and will need access to systems and information seamlessly. Without the right technical platform and tools this will prove exceptionally challenging. The procurement of an EDMS and Smarter Working tools will contribute to a maximum return on the overall investment involved with the move to Colindale. These new ways of working are a prerequisite for the move to the new main office location in Colindale at the end of 2018. 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”⁵. The implementation of EDMS and Smarter Working tools aligns with the Corporate Plan 2015-2020, along with the strategies for Information Management, ICT, Customer Access and Locality.
- 3.2 The Council does not currently have a corporate wide EDMS solution for securely managing and sharing the information we create. Whilst WISDOM is a document management system, technical difficulties in the council’s roll out and lack of adoption means that Wisdom is solely the integrated EDMS with the line of business system for Adults & Communities and Family Services. A project is underway within Adults & Communities to decommission Wisdom and replace solely with Mosaic as the Adult Social Care case management system and document repository. Family Services are also currently decommissioning Wisdom and replacing solely with the LCS Children’s Social Care case management system.
- 3.3. The technical environment that we currently work in is challenging at the best of times, as staff need to search across various repositories to find the information they need to respond to residents, staff, Members and partner’s needs. This affects the council’s aim to ensure “customers will experience a consistently high quality personalised service, focussed on achieving fast and effective resolution of queries and requests”⁶.
- 3.4 In a recent staff survey staff were asked the following question: *‘In the future, would you like to increase the number of days you work away from your main office if you have the access to the right tools and equipment?’* 70% of those asked said they would. This will help ensure we meet our aim that “by 2020, the council will be a more modern and flexible employer, having implemented a range of changes to the working environment to better meet the needs of its staff”⁷.
- 3.5 An example of one instance regarding the time taken to search for a file has been provided by a head of service in figure 1 below.

⁵ Corporate Plan 2015-20 p9

⁶ Corporate Plan p16

⁷ Corporate Plan p16-17

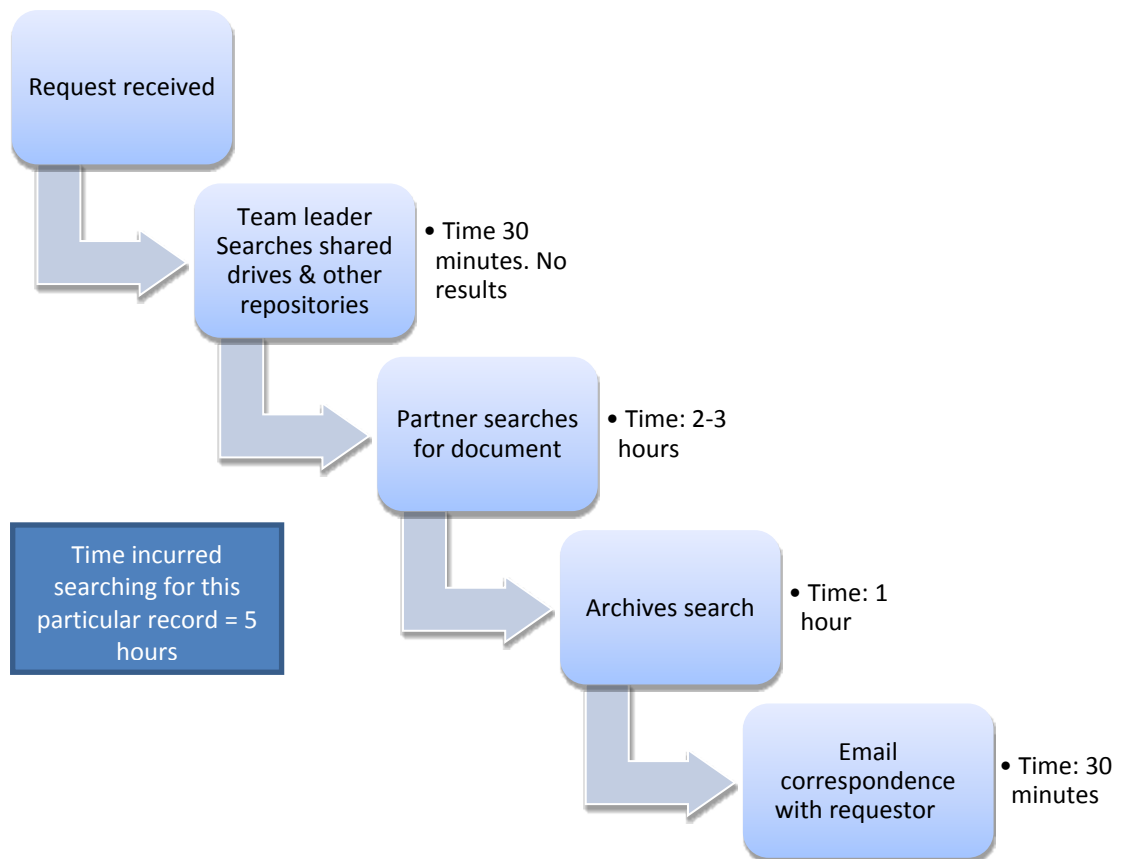


Figure 1: Search Time

- 3.6 This type of example provided above is likely to occur twice a month. Factoring in the search time incurred can usually take between 1-5 hours of lost productivity. Refer to Appendix B for the detailed case study.
- 3.7 Bringing all network communication together will remove the current issues that challenge the workforce every working day. We will be addressing inefficiencies such as travel time between locations for meetings, loss of productivity while searching for information or for presence and availability of people. At the same time we'll be improving our ability to address urgent business requirements in real time.
- 3.8 This Full Business Case (FBC) has been prepared to approve and release funding to enable an EDMS pilot to be conducted. Following the review and outcome of the pilot, funding will be requested to deploy EDMS to all Barnet staff and Members including Smarter Working tools. The technical solutions proposed will meet the Council's strategic objectives to move to a more agile working organisation committed to providing a flexible working environment for its staff and Members, whilst allowing much greater collaborative working between users and with partners.

- 3.9 Three case studies are attached in Appendix B of this business case. The case studies discuss the implications caused by not having the options to collaborate and share information effectively, as a result of not having the enabling technology to do so. The case studies also discuss the impact on time taken to search for information and never confidently trusting the information stored is the 'final version of the truth'.

4 Purpose

- 4.1 The projects in this business case are required in order to enable the procurement of EDMS for the initial pilot prior to full implementation, including implementation of Smarter Working tools that will provide the right platform to communicate using new technologies, and to capture, store, collaborate and share electronic documents. EDMS will support the generation of digitised records to be accessible by staff Members and partners from both multiple locations and devices.
- 4.2 The Council recognises that these are major change projects. A change manager has been appointed to provide support to all staff during the implementation phase. Post implementation, on-going technical support and maintenance will become the responsibility of our IT partner Customer Support Group (CSG). The Information Management Team has been restructured to focus on the introduction and on-going use and support of the new technology; consequently on a day to day operational basis the administration of the EDMS will be one of the core responsibilities of the new Records Management function. The Records Manager will have full responsibility for the system from an administrative perspective and will be able to run management information reports, monitor compliance against corporate retention schedules and identify user training weaknesses, including monitoring user adoption and monitoring progress against the planned measurable benefits EDMS will deliver overtime.
- 4.3 The Information Management Team are committed to ensuring the deployment of all the technical enablers is as seamless as possible to staff members and partners by providing the right level of support needed for a cultural and technical change involved with such programmes of this magnitude.

EDMS

- 4.4 Deployment of an EDMS with the right file structure, searching capabilities and the right level of training in place will significantly reduce the amount of search time that it currently takes staff, Members and partners to find information, thus increasing efficiency and productivity.
- 4.5 EDMS technologies allow the production of quality information to staff, Members and partners at the right time, in the right format and provide the platform to manage automation of business processes to establish a central, secure repository for key business information. Electronic records underpin much of the modern government agenda whereby the council are expected to be making progress by investing in and at the same time embracing new technologies.
- 4.6 An EDMS manages electronic documentation throughout its lifecycle from creation to secure destruction or transfer if legally required. Fundamentally an EDMS is a secure, organised and searchable corporate filing system and should be in place for the evidential record of all activities, decisions, processes, procedures, operations,

proper conduct, rights and obligations, transactions etc., irrespective of whether these relate to internal or externally facing functions.

- 4.7 Through the right EDMS platform our staff, Members and partners will be equipped to work in a more agile manner, collaborative, flexible, compliant and secure environment. With the right set of tools and collaboration platform the overall expected business benefits will be realised.
- 4.8 An EDMS would align clearly with the council's values to 'work together' (as it would facilitate easier collaborative working), 'be trusted' (as it would enable security and compliance), and 'embrace change and innovation' (as it will provide a modern tool for managing council information which will also work towards ensuring digital continuity).
- 4.9 Figure 2 below illustrates the retrieval request activity for paper based files over the past 12 months Sep 2015 – Sep 2016). Cambridge Education being the highest users followed by CSG and Family Services.

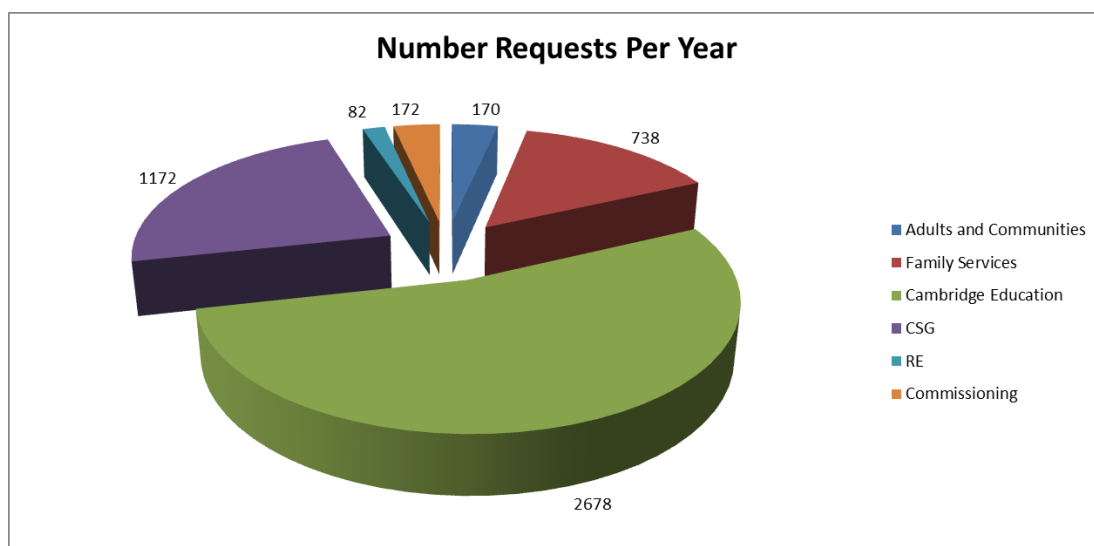


Figure 2: Delivery Units Retrieval Activity

- 4.10 Implementing an EDMS will help reduce the search and retrieval time spent requesting records back from the off-site storage provider. This will be achieved by scanning hard copy records into the system as they are recalled from the storage provider, developing a structured file plan, indexing content with the appropriate metadata and storing only one version of the truth.
- 4.11 The high level requirements for an EDMS solution are to:
- Enable the workforce, and our business partners, to communicate and access information **from anywhere and accessible at anytime**
 - **Built in version control** functionality is essential to automatically version documents and ensure full document history is available

- People working on the same single document within the EDMS can avoid problems associated with multiple copies of documents and the need to distribute multiple copies via email.
- The solution must **facilitate and manage collaborative working**, including lawful information sharing, version control and workflow.
- Being able to clearly show **custody and traceability** of documents stored within EDMS with **adequate security and control** is imperative
- The ability to easily find information and knowledge from **indexed content** will allow staff, Members and partners **to improve decision making** and reduce **the amount of** time lost looking for information
- Regardless of the format records are held in, all records need to be managed in accordance with **business and legislative requirements**. It is important therefore the EDMS solution has the functionality to manage the lifecycle of the information it holds.

The diagram in figure 3 below shows the lifecycle of information.

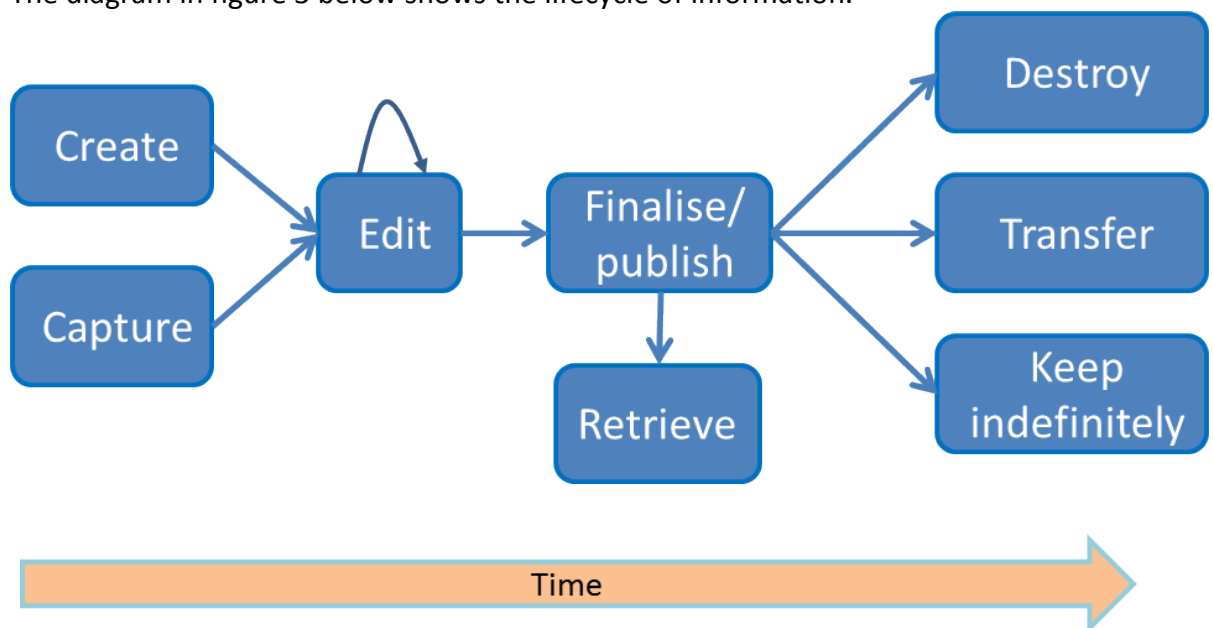


Figure 3 Information Lifecycle

Smarter Working Technologies

- 4.12 At present users do not have access to any communication tools, other than telephone and email. Smarter Working tools (such as O365 and Unified Communications) 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. 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. Currently presence information is fragmented. Staff cannot easily arrange meetings, make calls, send instant messages, or conveniently find out where staff are and how best to contact them.

4.13 Smarter Working tools include the major applications such as Excel, Word, PowerPoint and Outlook. These applications are presented in a recognisable and uniform way and the whole suite shares a number of built-in collaboration tools. As such Smarter Working tools represent a complete and established productivity and collaboration solution.

4.14 Collaboration on documents, presentations, and reports within and across teams and services is a significant element of office work in a modern local government environment. A smarter working solution 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 IM
- Share their screens
- Draw notations on documents
- See whether other staff are currently working or are away or logged off (presence information)
- Review and approve changes made by others
- All of the above through online service on any device

4.15 The high level requirements for a mobile working / unified communications solution are to:

- Enable the workforce, and our business partners, to **communicate and access information** from anywhere.
- Provide the ability to **integrate** email, software phones, video conference and text.
- Allow for **online meeting collaboration** and sharing
- Ensure the **security of solutions is appropriate to the context**, striking a balance between security as an enabler, not a barrier, whilst maintaining integrity and compliance with UK Government Cloud Security Principle published by Government Digital Service (GDS).
- Ensure the **system is responsive in terms of latency**, and with **robust disaster**

recovery.

- 4.16 The technology work-stream is a fundamental enabler for phase 2 of the 'Way We Work' programme

5 Aims & Objectives

5.1 The projects are anticipated to contribute to the medium term financial saving challenge of achieving savings of £81.1m between 2016 and 2020. EDMS and Smarter Working tools are essential modernisation measures and key enablers that will complement the drive for greater efficiency, benefit business service areas, raise standards and further improve good records management practice overall.

5.2 The desired project outcomes are as follows:

- **A Cultural Shift:** becoming an 'agile working' organisation.
- **Mobile and Flexible:** staff are mobile and less dependent on offices while remaining connected with their teams, systems and information.
- **Integrated and Digital:** systems are integrated enabling data to be stored, shared and consumed digitally and securely, to drive reliable, consistent and efficient processes.
- **Secure and Reliable:** a reliable and secure service that leverages existing investment, reduces duplication, has only one version of the truth and delivers what the business needs.
- **Partnership and Sharing:** platforms are shared and accessible through a variety of channels, enabling collaboration with residents, local businesses, partners and third parties.
- **Ease of use, speed and access:** a significant improvement in efficiency and increased usability.
- **Cost savings from working in a paper-light environment:** working in an electronic environment will reduce use of paper including the costs associated with paper-based business processes by the introduction of business process management and workflow.
- **Reduction in administration:** a significant reduction in time spent searching for records, with at least a 10 / 20% cost reduction on staff time spent searching for files currently filed in numerous repositories including off site physical storage accommodation.

5.3 EDMS and Smarter Working tools are all sophisticated technology tools but they will not deliver business transformation programmes alone. These must be supported by a change in culture and working practises, the introduction of enterprise workflow, business process management and safe delivery of critical dependencies (e.g. other projects within the 'Way we Work Programme') including other system application projects which are underway that may impact on the delivery.

5.4 Case studies from Middlesbrough Council, Thurrock Council and the Australian Department of Defence are included in Appendix B. Case studies that describe the current working environment in terms of how information is currently managed and the impact on the delivery units across LBB without the use of enabling technologies are also included in Appendix B of this FBC.

6 EDMS Options/Recommendations

6.1 Options

The options for consideration are illustrated in figure 4 below:

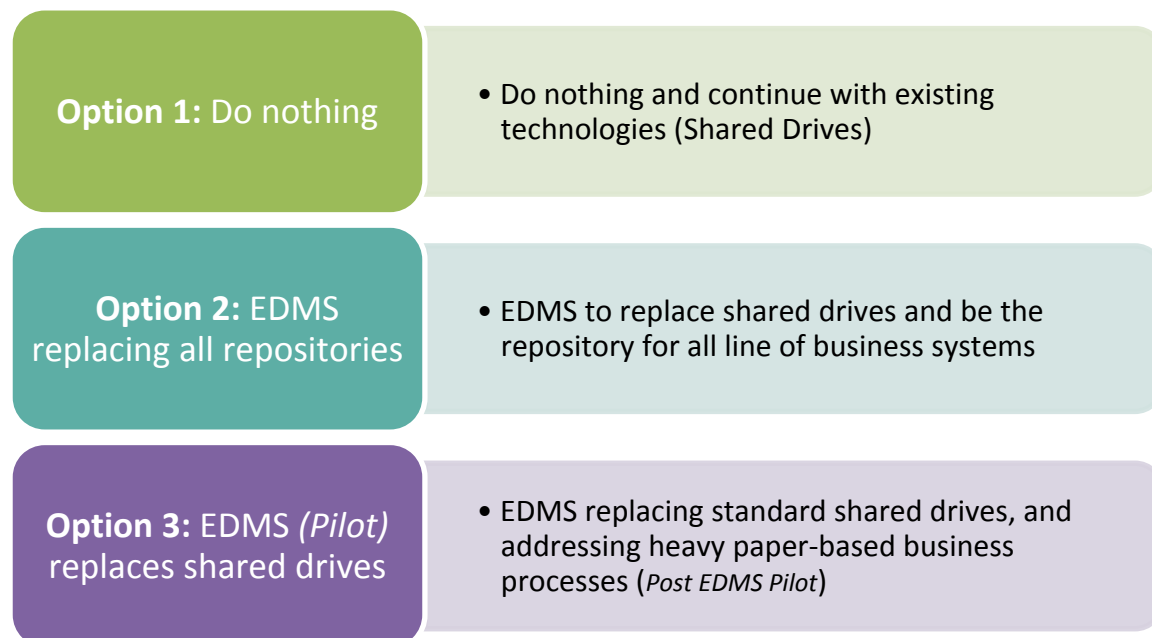


Figure 4. EDMS Options

6.2 EDMS - Advantages and Disadvantages of Each Option

Option No	Option	Advantages	Disadvantages
1	Do nothing	No effort or cost	<p>Does not meet the Council's and Information Management strategic objectives to promote a smarter working culture</p> <p>Remain working in the current 'As Is' environment and won't easily support mobile working.</p> <p>Not in line with IT & IM strategy</p> <p>Current information issues remain e.g. duplicate information, silos of information, difficulties finding latest versions. These issues can raise compliance risks</p> <p>Productivity will be comparatively lower because people will continue to spend</p>

Option No	Option	Advantages	Disadvantages
			time searching for information
2	Implementation of an EDMS, replacing the shared drives and integrating with existing case management systems	<p>Helps support the Council's strategic objectives and Phase 2 of the Way we Work Programme.</p> <p>Working with information that has been created, stored and managed electronically without having to rely on paper copies</p> <p>Single EDMS solution for all applications</p>	<p>Requires effort to make a shift in culture, changing the way members staff, and partners work</p> <p>Very long timescales required for project and implementation due to needing to integrate with existing systems, e.g. case management systems. This would also require considerable financial investment to integrate existing systems into the EDMS solution and therefore almost double the allocated budget. No withstanding the amount of time, effort and investment that is already underway with the decommissioning of Wisdom and replacing with Mosaic for Adults and Family Services. Neither is it standard practice across the Record Management profession to integrate all systems into an EDMS.</p> <p>Requires a lot of analysis and buy-in to enable a single EDMS to replace information repositories in existing systems.</p>
3	EDMS replacing standard shared drives and replacing heavy paper-based business processes	<p>Less capital expenditure that option 2 (full EDMS Implementation)</p> <p>Helps support the Council's strategic objectives and Phase 2 of the Smarter Working Programme.</p> <p>Working in a born digital environment.</p> <p>Single EDMS solution for all applications</p>	<p>Requires effort to make a shift in culture, changing the way members staff, and partners work</p> <p>No single repository for all the Council's information</p>

Figure 5 EDMS Advantages & Disadvantages

6.3 Summary Assessment of EDMS Options

Option	Cost	Usability	Accessibility	Integration	Reduction in search time
1 Do Nothing	✓	X Will not allow sharing and collaboration)	X	X	X
2 EDMS Replacing all repositories	X	✓	✓	X Will not meet programme timescales)	✓
3 EDMS replaces shared drives	✓	✓	✓	✓	✓

Figure 6 EDMS Summary of Options

6.4 EDMS - Associated Risks with Each Option

Option No	Option	Risks
1	Do nothing	<ul style="list-style-type: none"> Staff, members and partners may not be able to work in a collaborative and agile environment. This is especially exacerbated when we move to requiring staff to work more flexibly. Negative impact on service delivery
2	Implementation of an EDMS, replacing the shared drives and integrating with existing case management systems	<ul style="list-style-type: none"> Slow adoption if the right training is not provided. User resistance due to the cultural change Network capacity unable to cope with single system Support and management of EDMS post implementation that is difficult due to complexity in satisfying the business requirements for all users and systems Difficulty finding a single solution that will integrate with all systems Obtaining full endorsement for a single solution is not obtained Does not meet the Council's and Information Management strategic objectives to promote a smarter working culture EDMS will not meet the required security standards without the additional security wrapper (Bitglass) and costs.
3	EDMS only replacing standard shared drives and heavy-paper based business processes	<ul style="list-style-type: none"> Slow adoption if the right training is not provided. User resistance due to the cultural change Network capacity unable to cope Does not meet the Council's and Information Management strategic objectives to promote a smarter working culture EDMS will not meet the required security standards without the additional security wrapper (Bitglass) and costs.

Figure 7 Associated Risks

6.5 Lessons Learnt from Site Visits for EDMS

- 6.5.1 During phase 1 of the assessment stage the Project Manager and the Business Analyst researched a small sample of EDM products available in today's market. Supplier demonstration sessions included Alfresco, SharePoint (provided by the Council's IT partner, CSG), Objective and Box. This approach was taken to identify some of the technologies available and to also discuss implementation from a supplier perspective.
- 6.5.2 Customer site reference visits with other councils of a similar size, namely Thurrock, Somerset and Islington councils took place. Visits were also made to NHS England and two organisations within the private sector: Irwin Mitchell (law firm) and Deutsche Bank. The primary reason for undertaking the site visits was to learn from

colleagues who were already on the same journey or who had recently completed an implementation programme. The visits also provided understanding of the key challenges they faced, the benefits and their approach to the selection and deployment of their own technical solutions.

- 6.5.3 The supplier and customer visits have helped inform our options appraisal regarding which option is appropriate for the Council.
- 6.5.4 The assessment stage also proved to be beneficial from both an operational, technical and open dialogue perspective, especially key 'Lessons Learnt'. All organisations were anticipating, and in many cases realising, the benefits of working in a digital environment. We have no reason to believe this will not be the case for the Council and a change is therefore necessary.
- 6.5.5 A theme which developed across all of the site visits was that these projects are not so much about the technology but more about the implementation, end user training and the challenges to overcome with the cultural shift from working in a paper based environment and the transition to working in a collaborative and agile environment. In other words this should be viewed as a business change project and not a technology project.
- 6.5.6 The most relevant lessons learnt are summarised below and have been factored into the project management approach and also recorded in the risk and issues and log.
- Management support should start at the very top. A dedicated and properly resourced multidisciplinary team is essential from the outset, for planning, implementation, and continuing support.
 - Effective change management is essential. These are business change projects not technology projects. Provide sufficient resources and time to gain user adoption to use the system.
 - Listen to users otherwise they will find workarounds.
 - Communication is key at each stage.
 - Ensure the scope of the project is fully understood in terms of system functionality and roll out in order to maximise realisation benefits.
 - EDMS should be part of the wider IT strategic direction.
 - Take a broad and shallow approach with implementation.
 - Good IT and infrastructure and hardware must be in place.
 - Plan for benefits in order to realise them.
 - Appoint Information Champions.
 - Ensure training is well planned. Plan for a short time between training and making the system available to the user. Do not under estimate user training requirements.

6.6 EDMS Recommended Option and to Conduct an Initial Pilot Exercise

6.6.1 Based on our assessment the recommended option is option 3 and to conduct an initial pilot exercise. *Should the pilot be successful we will request additional funding from the Policy & Resources Committee for full implementation of an EDMS solution.*

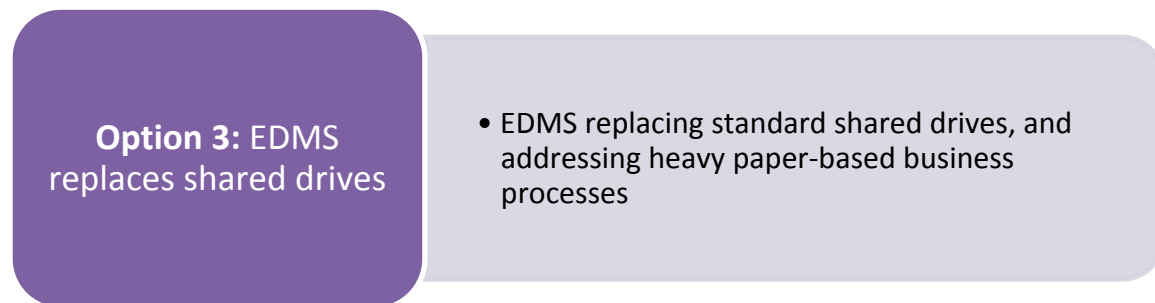


Figure 8 ECM Recommended Options

6.6.2 The EDMS project will be divided into 2 phases 1A and 1B. Phase 1A will focus solely on migrating the shared drives across to EDMS. Phase 1B will focus on paper heavy based processes, such as Family Services, Cambridge Education and Customer Service Group (CSG). This approach is explained in more detail in section 11.1

6.7 Rationale for Recommended Option

6.7.1 Option 1 – Continue as is

The assessment stage included a series of EDMS end user requirement workshops for each of the delivery units, including the Council's partners e.g. CSG, Cambridge Education and Barnet Homes. The requirements were captured and any concerns that were raised were either addressed or followed up post the workshops. The output from the workshops (13 in total) has been incorporated into a requirements document to support the procurement/tendering exercise and to also assist the CSG Solution Architect commissioned for both of the EDMS and Smarter Working tools projects.

The end user workshops show that the current way of working is not suitable when we move to Colindale, and that improvements in how we manage our information are needed. Information is difficult to find and share there are multiple copies of the same document making it difficult to identify the correct version. Information may be in paper format only making collaborating extremely difficult and time consuming

Continuing as we are is not feasible for the Council as it does not support the move to agile and mobile working. At the moment we rely heavily on being in the same place as the information and team members, working next to each other to effectively share information.

6.7.2 Option 2 – Single EDMS for all repositories

Whilst Option 2 provides a single system for storing all information, the major drawback is that this will require an enormous amount of effort, time and money, and we will not meet programme timescales.

6.7.3 Option 3 – EDMS post a successful pilot. Replacing shared drives and addressing paper-heavy processes

Option 3 addresses two major areas of concern (i.e. the shared drives and the amount of paper being used). Implementing a solution to address these supports the Smarter Working strategy and give benefits to the Council. This approach also allows the Council to review its use of an EDMS and then move to a fuller solution over time, should this be required.

Option 3 is also in line with the experience of the organisations who we visited. This approach can therefore be considered to minimise the risks to achieve a successful roll out of an EDMS.

It must be noted that although there are low cost EDMS products on the market which are free to use, these services are designed largely for personal use not corporate use. There would be major concerns about security and resilience offered by these free services.

7 Smarter Working Technologies Options and Recommendations

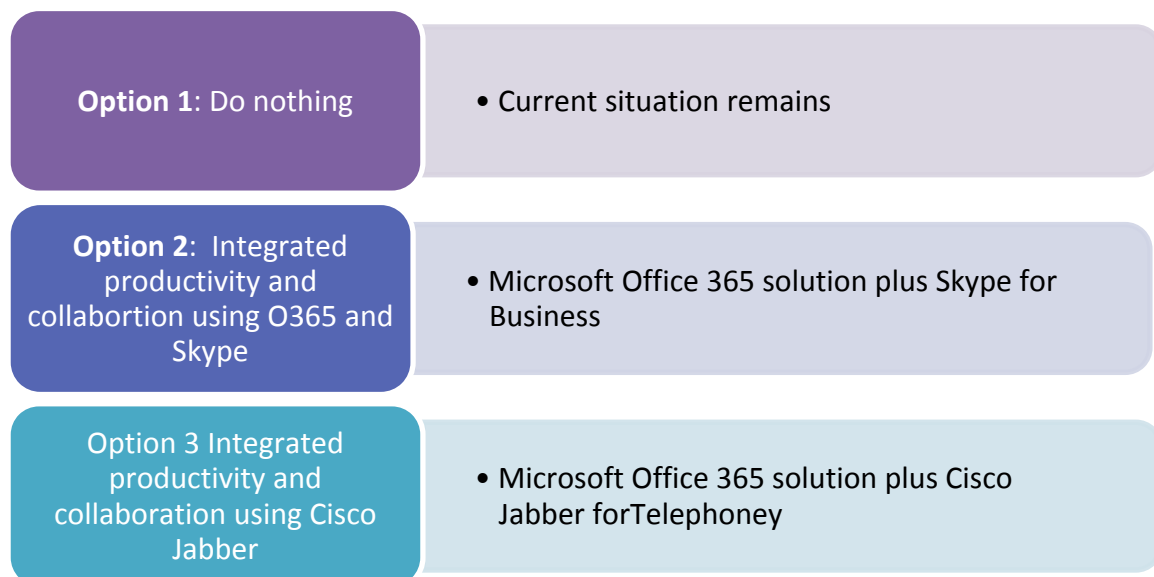


Figure 9 UC/O365 Recommended Options

7.1 Smarter Working Tools - Advantages and Disadvantages of Each Option

Option No	Option	Advantages	Disadvantage
1	Do Nothing	Minimum effort and no investment	<p>Council staff are currently able to access office applications and have ability to communicate using email and fixed desk phones. A do nothing option would see the continuation of this scenario.</p> <p>A do nothing option would not enable the Council to meet the ambitions of the Way We Work programme. Staff will not be enabled to work from anywhere, systems will not be integrated and collaboration and sharing will be limited.</p>
2	Integrated productivity, telephony and Collaboration using Office 365 and Skype features	<p>Helps support the Council's strategic objectives and Phase 2 of the Smarter Working Programme</p> <p>Supports Family First agenda for engaging with families and organisations not based in Barnet</p> <p>O365 supports recognised open document standard</p>	<p>Requires effort to make a shift in culture, changing the way staff, partners and members currently work</p> <p>Smarter Working tools will not meet the required security standards without the additional security wrapper (Bitglass) and costs.</p> <p>Licence costs are expensive for Skype to have full telephony capabilities.</p>

Option No	Option	Advantages	Disadvantage
		<p>format</p> <p>Currently all the Council's corporate end user devices run on a Windows operating systems and use Windows compatible applications that are natively installed. By delivering a solution that is compatible with a windows operating system, cost, security, reliability, availability and compatibility can be maintained.</p> <p>Meets LBB's requirements around access, security, and disaster recovery</p> <p>Skype is fully integrated with all O365 applications and would allow a user to place a phone call from within Outlook using a soft phone</p>	
3	Integrated productivity, telephony and collaboration using O365 and Cisco Jabber	<p>Helps support the Council's strategic objectives and Phase 2 of the Smarter Working Programme</p> <p>Supports Family First agenda for engaging with families and organisations not based in Barnet</p> <p>O365 supports recognised open document standard format</p> <p>Currently all the Council's corporate end user devices run on a Windows operating systems and use Windows compatible applications that are natively installed. By delivering a solution that is compatible with a windows operating system, cost, security,</p>	<p>Requires effort to make a shift in culture, changing the way staff, partners and members currently work</p> <p>Smarter Working tools will not meet the required security standards without the additional security wrapper (Bitglass) and costs.</p> <p>Licence costs are expensive for Skype to have full telephony capabilities.</p> <p>Less integrated with UC. A user would check the presence information in Outlook and then open Cisco Jabber to place the call</p> <p>Still have Skype, albeit with cut down capabilities (i.e. no external phone calls)</p>

Option No	Option	Advantages	Disadvantage
		<p>reliability, availability and compatibility can be maintained.</p> <p>Meets LBB's requirements around access, security, and disaster recovery</p> <p>CSG has an established Cisco support.</p> <p>Jabber costs are less for telephony than a full Skype solution</p>	

Figure 10 Smarter Working Technologies Associated Risks

7.2 Summary Assessment of Smarter Working Technologies Options

Option	Cost	Usability	Accessibility	Integration	Reduction in search time
1 Do Nothing	✓	X Will not allow sharing and collaboration	X	X	X
2 Full Microsoft Stack using Skype for Telephony	X More expensive due to higher functionality licences. However, accurate modelling of usage patterns can minimise the need for the most expensive licences, and reduce costs	✓ One product integrated for all function	✓	✓	✓
3 Hybrid Stack Solution using Cisco Jabber for Telephony	✓ Within allocated budget	X 2 different products for complete function	X Jabber has limited integration with O365 suite	✓	✓ Multiple tools lead to less reduction in collaboration time

Figure 11 Smarter Working Technologies Summary of Options

7.3 Smarter Working Technologies Associated Risks with Each Option

Option No	Option	Risks
1	Do Nothing	<ul style="list-style-type: none"> The current situation will not deliver the benefits the Smarter Working Programme has set out to achieve. This is because staff do not have the enabling technology to work in a flexible and agile environment
2	Integrated productivity, telephony and Collaboration using Office 365 and Skype	<ul style="list-style-type: none"> The costs of a full Skype solution may be prohibitive on an on-going basis
3	Integrated productivity, telephony and Collaboration using Office 365 and Cisco Jabber	<ul style="list-style-type: none"> Insufficient capacity of the VPN solution and the legacy LAN/WAN and whether they can support a highly responsive Unified Communications solution for 3000 users. This can/will impact the users deployment strategy of 100% of users migrated prior to the Collingdale move. Transition to UC solution not seamless and has adverse impact on service delivery Users will be operating in two systems – Skype and Jabber. This may cause dissatisfaction with the solution.

Figure 12 Associated Risks

7.4 Smarter Working Technologies Recommended Option

7.4.1 Currently all the Council's corporate end user devices run on a Windows operating systems and use Windows compatible applications that are natively installed. By delivering a solution that is compatible with a Windows operating system, cost, security, reliability, availability and compatibility can be maintained.

7.4.2 The recommended option is therefore option 2



Figure 13 O365 and UC Recommended Options

7.5 Rationale for Recommended Options: Smarter Working Tools

- 7.5.1 A detailed market assessment and product evaluation has been carried out by CSG using knowledge and experience from similar projects.
- 7.5.2 Implementing Option 2, integrated productivity and collaboration using Smarter Working tools Skype will meet the Council's objectives for more flexible, agile working.
- Enable the workforce, and our business partners, to communicate and access information from anywhere.
 - Provide the ability to integrate email, software phones, video conference and text.
 - Allow for online meeting collaboration and sharing.
 - Ensure the security of solutions is appropriate to the context, striking a balance between security as an enabler, not a barrier, whilst maintaining integrity and compliance with UK Government Cloud Security Principle published by Government Digital Service (GDS).
 - Ensure the system is responsive in terms of latency, and with robust disaster recovery

8 Network Capacity

- 8.1 EDMS and Smarter Working tools will all require adequate network capacity to implement successfully. The projects will assess their network requirements. The assumption is that sufficient capacity will be available as and when required. Any work to ensure sufficient network capacity will be carried out separately.
- 8.2 Risks associated with network capacity have been identified for each project and tabled in section 19, Summary of Key Risks

9 Equality & Diversity

9.1 Approach

- 9.1.1 The Equalities Act 2010 and Section 149 which sets out the General and Specific Public Sector Equality Duties (PSED) require public bodies to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010;
- Advance equality of opportunity between people from different and groups; and
- Foster good relations between people from different groups

9.1.2 Equality and diversity issues are a mandatory consideration in the decision making of the Council. This requires decision makers and elected members to satisfy themselves that:

- Equality considerations are integrated into day to day business.
- All proposals have properly taken into consideration what impact, if any, there is on any protected group and what mitigating factors can be put in place.
- The protected characteristics are age, disability, gender, marriage and civil partnership, pregnancy, religion and belief and sexual orientation

9.2 Initial Equalities Impact Assessment

9.2.1 No direct adverse impact is anticipated on service users. The EDMS and Smarter Working tools projects affect internal working practices to improve the management of information at Barnet and provide users with tools that encourage collaboration and information sharing.

9.2.2 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.

- 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 EDMS and Smarter Working Technologies 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 EDMS and Smarter Working Technologies 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 EDMS and Smarter Working Technologies will be accommodated

through the management of change process and is dependent on the wider the *'Way We Work Programme'*.

9.2.3 Equality impacts will be kept under review as the project develops.

9.2.4 The staff equalities data used to analyse the equalities impact of these proposals was provided by Human Resources (HR). A copy is available on request.

10 Information Assurance and Security

10.1 Principles

- 10.1.1 The Council Information Management Strategy 2016-20 recognises that improved access to information and better collaboration tools are required to support the council's accommodation strategies, as well as the Corporate Plan objectives. The Information Management Strategy defines a proportionate risk approach to information management, balancing access and use of information against compliance with legislation and security standards. This proportionate risk approach will be the ethos behind security and assurance work for these projects, through implementation and into business as usual.

11 Assurance

- 11.1 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 (IS) will remain key stakeholders and supporting partners within the projects.
- 11.2 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.

12 Security

- 12.1 Security considerations will be a key aspect of the projects, as described above. As the council's current shared drive environment is more difficult to manage, moving to EDMS aims to improve security and access controls. Processes for managing access and security will be considered either through the EDMS 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. Security will also be key to the Choose Your Own Device (CYOD) arm of the programme, 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 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 (CYOD) is another example of risk work to be considered as part of the project.

13 Support

- 13.1 It is a key part of the Information Management Strategy to support delivery units, partners and the commissioning function in their management of information. Support to the project itself and to relevant stakeholders will continue throughout the projects. As the projects transition to business as usual, IS will continue to provide technical support for Smarter Working Tools and the EDMS. The records management function within IMT will lead on day to day management of the EDMS. Additionally, and in line with the IM Strategy, IMT will continue to review and develop policies and procedures that promote realistic security and control, ownership and effective management of information, whilst supporting delivery units and partners to achieve our corporate plan objectives.

14 Privacy

- 14.1.1 There are no unusual privacy considerations for the projects generally, as relevant access and security measures are already embedded into the way the council works and will be translated across as appropriate to the new tools. However, specifically for CYOD, where the lines between personal and business become more blurred, there will be additional privacy and support considerations. The project team will consider whether a Privacy Impact Assessment is required at the start of the projects, and will remain focussed on managing privacy concerns of staff, customers and the organisation.

14.1 Key Issues

- That appropriate standards for access and security are translated to the new tools and that support and training is provided that encourages a smooth transition to new ways of working.
- That training ensures that staff, members and partners are aware of their responsibilities in relation to managing information and how to deliver those within the new tools and working environment.
- That the projects deliver benefits in compliance, for example, appropriate access to electronic documents is improved to reduce risks in relation to transport of paper records.
- That the projects provide improvements to how information can be managed and shared appropriately, such as collaboration tools managing technical support, appropriate process and policies and assurance for CYOD in the future, where there are privacy and access concerns.

15 Proposed Procurement Route

15.1 EDMS

15.1.1 There are a number of options considered for the procurement of EDMS. As the full life value of the contract would be over the Official Journal European Community (OJEC) threshold then the following approaches have been considered for EDM only:

- G Cloud 7 or 8 Framework Agreement 1557t owned by Crown Commercial Services
- Customer & Support Group (CSG) Contract – Schedule 15
- Official Journal European Community

15.1.2 To ensure the Council's strategic IT partner is invested in the Council's choice of EDMS system, which will be a core element of the overall IT architecture, and is able to provide effective on-going support for this system. The implementation of the EDMS will be offered firstly to CSG under Section 15 of the CSG contract. The Council will rigorously assess CSG's ability to implement a system that meets the Council's requirements.

15.1.3 This will consider both the value for money of the proposal as well as the technical suitability of the proposed solution, supported by Leidos, the Council's Technical IT Assurance partner. If, following this assessment, the Council does not feel that CSG's proposal meets the Council's EDM requirements adequately, or provides sufficient value for money, then a procurement exercise will then be run through the G-Cloud 7 and 8 Frameworks.

15.1.4 CSG (and any subsequent bidder through framework procurement) will be required to demonstrate the following:

- **Systems:** The council will suggest a number of products in which they are interested. We will expect CSG and any subsequent bidder to look and review these to ensure they match our business/user requirements and to also suggest alternative products if this is believed appropriate.
- **Proposals:** The proposals must be matched against the Council's requirements to enable the Council to assess which the preferable products they prefer rather than CSG and any subsequent bidder providing a proposal based purely around their preferred stating a system they will implement. The Council will require demonstrations of each system.
- **Milestone payments:** CSG and any subsequent bidder should commit to milestone payments with clear acceptance criteria – this includes retaining a proportion of payment until after the project has been delivered to ensure any significant issues that occur after the product is launched are resolved.

15.1.5 Smarter Working Tools

Given that Smarter Working tools will be a core element of the Council's IT infrastructure; the solution will be procured and implemented directly through CSG under Schedule 15 of the CSG contract. Comparison costs have been sought from other organisations who have implemented this technology, and the CSG proposal will be assessed by Leidos, the Council's technical assurance partner, and payments will be based on successful completion of key deliverables, with a proportion retained until after the project has been delivered to ensure any significant issues that occur after the product is launched are resolved. This is to ensure the Council is gaining value for money with this procurement approach.

16 EDMS Pilot – Initial Implementation Approach

16.1 EDMS Pilot Implementation

16.1.1 It is not sensible or good practice to implement an EDMS across the Council in its entirety at the same time. We are therefore proposing an iterative process for the implementation of EDMS, using agile delivery methodology. Staff and partner requirements have been finalised to ensure that EDMS meets the needs of the Council. Should the pilot be successful the 7 phases in figure 14 will also be followed for the full implementation.

16.1.2 Based on our assumptions, good practice and talking to suppliers and colleagues alike during the site reference visits, figure 14 below describes a typical 7 phased high level implementation approach a supplier would probably recommend to implement an EDMS. *Note: We will work closely with the preferred supplier and implementation partner post the award of the contract to drill down into the granular details and replace with the master implementation plan.*



Figure 14 7 Phased EDMS Approach

16.1.3 Figure 15 below sets out the proposed iterative, agile, deployment approach

EDMS - Deployment Plan

		1	2	3	4	5	6	Etc.
	Team 1	GO LIVE	Go Live Support with IMT (RM)					
	Team 2		GO LIVE	Go Live Support with IMT (RM))				
	Team 3			GO LIVE	Go Live Support with IMT (RM)			
	Team 4.				GO LIVE	Go Live Support with IMT (RM)		
	Team 5.							
	Team 6.							
	Team 7.							
	Team 8.							

Figure 15: EDMS Deployment Approach

16.1.4 Should the pilot be successful the EDMS project will be divided into 2 phases 1A and 1B. Phase 1A will focus solely on migrating the shared drives across to EDMS. Following the migration, the shared drives will be made 'read only' for a period of time that will need to be agreed before they are eventually 'locked down'.

- 16.1.5 Phase 1B will focus on paper heavy based processes. During the user requirement workshops a number of possible areas were identified where paper usage could be investigated with the objective to replace with electronic documents.
- 16.1.6 We anticipate focusing on a department in 'stress' such as Family Services who are developing a business case for funding a project to undertake an audit of their paper files, to minimise the risk of failing to deliver the service within the community as often paper files cannot be found. EDMS will help make that change by automating the manual routine with process workflow.
- 16.1.7 Phase 1B is set to analyse existing working practises by introducing the creation of e-Forms and business process workflows to reduce the amount of paper that we generate. Back scanning of legacy paper records is out of scope within this project and would therefore be treated as a separate scanning project, should there ever be a business need in the future to back scan circa 26,000 paper records currently in off - site storage.
- 16.1.8 The implementation plan for phase 1A and 1B is set out [below] – the timescales for completion of phase 1A we are working towards the end of Dec 2018, whereby phase 1B will be slightly in parallel with 1A. It is anticipated that a second phase of this project could follow phase 1A and 1B, after the system has been embedded and has reached a level of maturity. This would look at other ways of utilising this technology for process improvements, including further paper based processes and integrating EDMS into the Intranet which would also drive more traffic through to the intranet. This phase would require further analysis, a separate business case and funding bid.
- 16.1.9 Figure 16 below describes the 2 phased approaches for the deployment of EDMS within the technology work-stream

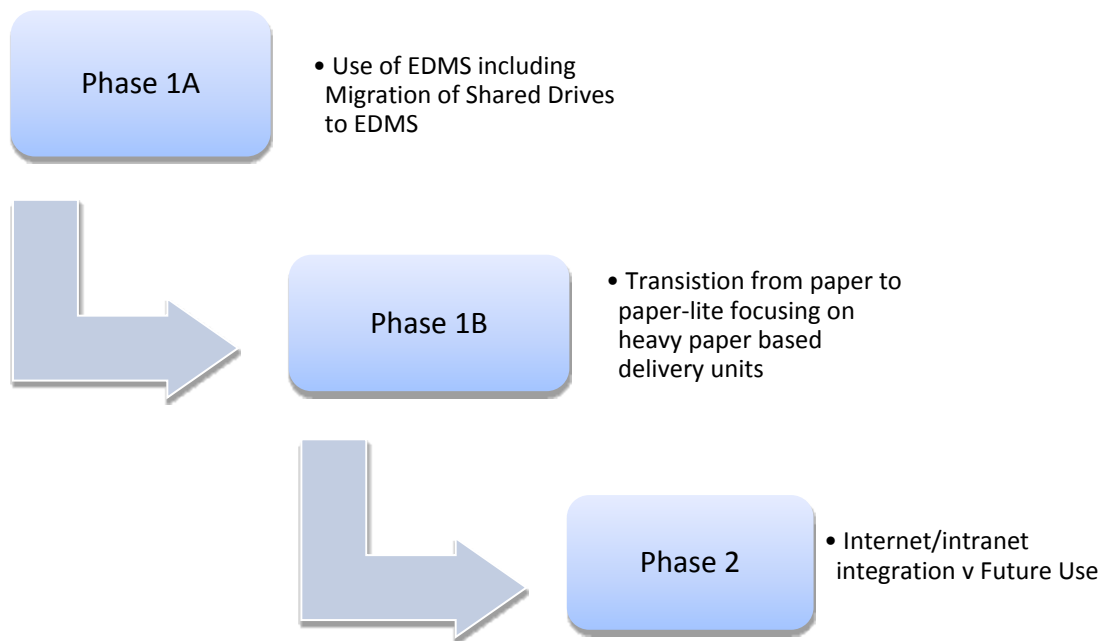


Figure 16: Phased Approach

17 Smarter Working Tools Implementation Approach

17.1.2 The implementation for Smarter Working Technologies will adopt a drip to flood approach with a small number of technical super users and early adopters from the business receiving the new kit and software in a heavily supported environment. These advance groups will receive classroom training and intensive support from floor walkers and project team specialists. Once any issues have been identified and resolved and the training materials reviewed and updated the wider roll out will commence in phases. These later phases will receive less support and will be assisted by the technical super users and early adopters.

17.1.3 Communications and engagement activities will be incorporated into the overall change and engagement plan for the 'Way We Work Programme' and will be delivered alongside wider programme activities.

18 High Level Plan

18.1.1 A high level project plan for EDMS and Smarter Working Technologies is provided below in figure 17. This high level plan sets out the milestones and deliverables in-line with the Council's strategic objectives and Information Strategy for EDMS and Smarter Working tools.

18.1.2 The plan will require revision and definition as individual plans are further detailed

High-Level Plan

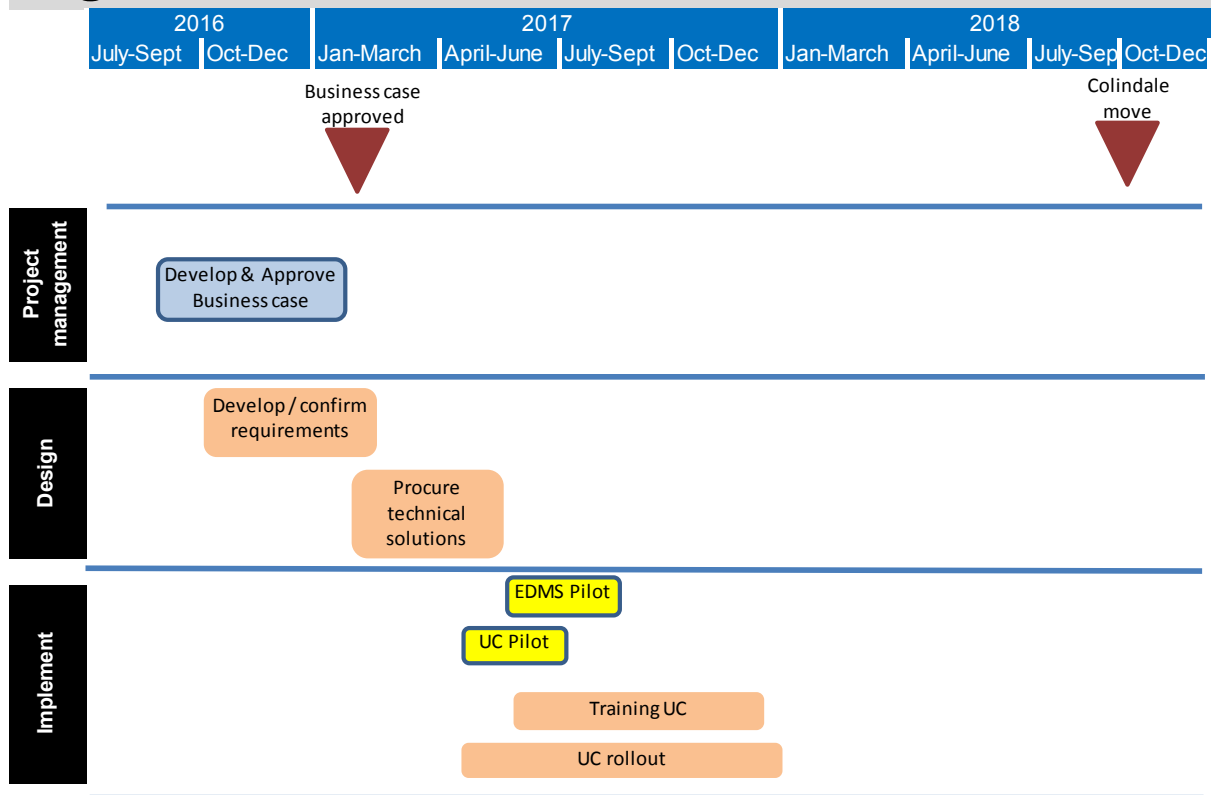


Figure 17: High Level EDMS & UC/O365 Plan

19 Training & Support

- 19.1 This section sets out a possible approach to training to support the EDMS and Smarter Working Technologies projects. The approach and information set out has been successfully used in other projects but will be reviewed as the projects progress to ensure that it meets Council requirements.
- 19.2 Smarter working is a huge cultural change to staff, Members and partners that will certainly bring various challenges, primarily the cultural shift and the introduction of new technology which for some can often be a very daunting experience and will need to be dealt with sensitively and tailored in accordance to peoples different levels of learning abilities and how they adapt to change.
- 19.3 The general training approach will be an iterative one whereby initial training will be delivered to enable staff, Members and partners to use the system. This training will then be reinforced and tailored following a period of use. This will ensure that user experience is incorporated into subsequent training as the training is delivered.

- 19.4 Training will be delivered on a 'Train the Trainer' basis whereby the supplier will train a group of nominated trainers who will subsequently deliver the training to staff. Technical, Administrators and Super Users of the system will also be trained by the supplier as this type of training will be more intense.
- 19.5 The Information Management Team will also run a series of lunch time sessions otherwise known as 'Drop in Sessions' so that staff can come and talk in an open forum about the end user experience, technical, functionality and reliability of the EDMS system and discuss any concerns they may have about using the system.
- 19.6 The Records Manager will be the first point of contact via the Records Management (RM) helpdesk for day to day queries relating to EDMS. If a user contacts the Information Management Team with a technical problem they will be informed to log a call with CSG via the normal channels.
- 19.7 The Records Manager will embrace new technology as part of the UC platform to deliver a series of EDMS training webinars. The idea of webinars will enable us to deliver training sessions for staff, Members and partners following their initial training should they start to encounter teething problems when using the system
- 19.8 The webinars will focus on the most frequently asked questions that often arise following an EDMS implementation. These questions can range from how to get the best out of the search functionality, assigning retention dates to records, changing ownership of records should staff leave or move jobs, scanning records into the system and applying metadata to a record.
- 19.9 The Information Management Team will survey end users at regular intervals using Survey Monkey or similar to gauge the end users perception, experience of the system, views, adoption, including looking out for any trends that maybe forming so that these can be addressed as soon as they occur.
- 19.10 The Records Manager will post weekly newsletters and maintain a Frequently Asked Questions (FAQ) sheet which will be available on the EDMS landing page for all users to see including alerts when new functionality is released such as 'what's new' including a comprehensive training guide.
- 19.11 Smarter Working tools 1st and 2nd line support will be provided via the Service Desk. Applications and 3rd line support will be federated to Microsoft.

20 Communications

- 20.1 Project communications will be managed and delivered as part of the programme communications function. Smarter Working and EDMS communications are part of the broader The Way We Work programme (TW3) and under the TW3 branding. The

formally approved change management strategy and the communications approach are the relevant strategic documents and set out the approach to communications and engagement across the programme. This includes the process for review and approval for all messaging.

- 20.2 The roll out of Smarter Working tools represents a significant improvement in the basic productivity suite for the London Borough of Barnet. Therefore, we will take a progressive and innovative approach to how the implementation is communicated to staff using traditional methods of communication and engagement alongside new methods enabled by the new technology itself.
- 20.3 Communications will be delivered through established channels such as the Intranet and First Team, and via new and established change agent networks. Areas without access to the Council intranet will publish content through their own established channels. These electronic communications will be supported by a series of drop in sessions, a demo model office, and other traditional media such as leaflets and posters.
- 20.4 As an example of innovation, FAQ documents are well established as an engagement tool in Barnet, for this project staff will be able to edit the FAQ directly once they have access to the Smarter Working tools and will be able to add their own questions and contribute to responses to other's questions. Managers will be asked to model behaviours by briefing staff via video and audio conferencing and some senior managers will be given the opportunity to model new ways of working in short video presentations.
- 20.5 Presence and instant messaging tools are key components of Smarter Working tools and these tools will be used to provide advice, support and guidance from the programme team and floor walkers, encouraging staff to use the new technology as an efficient way of communicating and resolving issues.

21 Expected Benefits EDMS

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	0-4 months indicates the length of time the pilot will be running for, these benefits are expected to be achieved within this time	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
	Compliance with Government Directives and Regulations				JO		
NF	Improved sharing and collaboration between government organisations and agencies.		10% improvement in satisfaction	0-4 months	JO	Survey on how well information is shared between government organisations	
	Staff Working More Efficiently				JO		
NF	Increased staff productivity through quicker and easier identification of relevant information and knowledge. Time saved by individual members of staff more easily retrieving documents of all types, whether e-mail, Word documents created by themselves, electronic or scanned documents received, or other kinds of digital files. Staff are able to concentrate on their core functions rather than spending time searching for information		15% Faster search time	0-4 months	JO	Survey - estimated time savings due to quicker retrieval. Head-to-head search test between shared drive & EDMS	
NF	Time savings due to improved access to similar information which can be copied and re-used ensuring we do not reinvent the wheel.		5% increase in re-using existing information	0-4 months	JO	Survey - estimated time savings due to reusing existing information	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	0-4 months indicates the length of time the pilot will be running for, these benefits are expected to be achieved within this time	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
NF	Mobile staff are able to access, capture and manage electronic information quicker		20% Increase in satisfaction from mobile users	0-4 months	JO	<p>Staff surveys and drop in sessions focusing on effectiveness now, then mid implementation /post implementation.</p> <p>Ask for user stories for before and after scenarios. overall attitudes now v post implementation of EDMS</p> <p>Lunch time drop in sessions to talk about their new working environment and technical platforms (EDMS/O365/UC)</p>	
F	<p>Reduction in disaster recovery costs by using cloud storage.</p> <p>NB: This benefit is only valid if a cloud solution is implemented.</p>		10% Reduction in cost of recovering EDMS data from the cloud	0-4 months	JO	Compare disaster recovery process pre EDMS v Post EDMS	
F	<p>Staff Locations Determined By Business Requirements. Having information accessible electronically across all work locations means that LBB can locate staff according to business functions and requirements, rather than by needing them to be close to the paper records. A corporate EDMS can enable information to be accessed from any location, and so there are not the same restrictions due to information access as with paper information. Mobile and more flexible and less reliant on their offices but remain connected with their teams and able to access the information they need to carry out their work more efficiently</p>		10% Increase in satisfaction from mobile users	0-4 months	JO	<p>People able to work in different locations</p> <p>Staff surveys and drop in session's focusing on effectiveness now, then mid implementation /post implementation.</p> <p>Ask for user stories for before and after scenarios. Overall attitudes now v post implementation of EDMS</p>	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	0-4 months indicates the length of time the pilot will be running for, these benefits are expected to be achieved within this time	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
	Working Consistently				JO		
NF	Better access to precedent information will help LBB provide consistent responses		5% improvement in consistency of responses	0-4 months	JO	Survey. Audit reports	
NF	Overcoming barriers of time and distance due to the centralised nature of an EDMS (e.g. making sure that staff away from the office receive the same information at the same time as staff in the office).		70% of people working out of the office confirm they received the information in a timely fashion	0-4 months	JO	Survey	
NF	Consistency in reports and recommendations due to better re-use of information and access to precedent information will lead to an enhanced feeling of corporate identity.		15% improvement in consistency of reports	0-4 months	JO	Survey	
NF	Promulgation Of Best Practise Business-wide. Having information available to all LBB staff means that best-practice can be shared e.g. example best-practice reports, studies, etc.		20% improvement in applying Best Practise	0-4 months	JO	Survey	
NF	Latest Version Always Explicitly Available. A current problem is knowing what version of a document is the latest and most accurate. Intrinsic in an EDMS is versioning. This means that at any one time, people know which version of a document is the latest. This avoids problems with people using different versions of the same document, and potentially giving different advice (because of the differences between documents).		35% reduction in using the incorrect version of a document	0-4 months	JO	Survey	
	Improved Knowledge Sharing				JO		
NF	Improved collaborative working within and between LBB teams leading to improved efficiencies and quality of work.		50% Satisfaction with the ability to collaboration	0-4 months	JO	Survey	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	0-4 months indicates the length of time the pilot will be running for, these benefits are expected to be achieved within this time	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
NF	Better Sharing Of Information Business-wide. Having a central repository means that information is more easily accessible across the organisation, not just within departments or groups. This will reduce time spent finding information, reduce duplication and help reduce barriers between teams. Only relates to those in the EDMS		100% of information able to be viewed with the exception of sensitive information	0-4 months	JO	Survey. Test to see if you can access information from other teams (security not withstanding)	
	Improved Corporate Governance				JO		
NF	Being able to demonstrate that records keeping practices have been followed in accordance with Code of Practice for Legal Admissibility and Evidential Weight of Information Stored Electronically.		75% compliant to the BS10008	0-4 months	JO	Conduct a pilot tailored self-assessment for BS10008 (before/after)	
	Cost Savings				JO		
F	Savings on the non-staff costs of the administration of the paper archive as there will be less paper stored (because of an increased use of electronic documents).		5% reduction on sales (flat pack boxes and barcodes)	0-4 months	JO	Stor-A-File costs reduced	
NF	Reducing Time Spent On Legal Requests. LBB has legal requirements to manage their information accurately. The Data Protection Act requires an organisation to respond within 40 days; the FOI has a response time of 20 calendar days. To achieve this response level, LBB will need to have a good grasp on their information and be able to find it quickly. An EDMS provides the framework that allows DP and FOI requests to be met easily and with little cost to an organisation.		10% increase in number of requests dealt with within statutory timescales	0-4 months	JO	Pre & post EDMS management reports of FOI/DPA responses.	
	Enabling Other benefits				JO		

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	0-4 months indicates the length of time the pilot will be running for, these benefits are expected to be achieved within this time	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
NF	Facilitation of flexible working, including home working and hot-desking due to information being more easily accessible and able to be found		95% of people happy with working in a flexible manner	0-4 months	JO	Survey - People able to work away from office effectively	
NF	Enable workflows to be developed so that business processes can be improved.		90% of processes implemented by workflow processing have faster processing timer and less problems	0-4 months	JO	Able to implement workflows that use electronic information held in the EDMS	
NF	Will support LBB to deliver the Information Management Strategy		EDMS fully aligned with Information Management Strategy	0-4 months	JO	Survey	
NF	Will support LBB to deliver the Corporate Plan by aligning with the following: 'By 2020, the council will be a more modern and flexible employer, having implemented a range of changes to the working environment to better meet the needs of its staff.'- Corporate Plan p16-17. The Council will "Invest in new IT to enable staff to work more flexibly across a range of locations, allowing them to be closer the residents they work with Corporate Plan p17		100% aligns with the Councils Corporate Plan in terms of delivering new technical enablers outlined in the Corporate Plan	0-4 months	JO	Survey	

Figure 18: Expected Benefits

22 Summary of Key Risks

This section summarises the key risks associated with the recommended options for EDMS and UC/O365. Initial Mitigation strategies are also identified.

22.1 EDMS Key Risks

Ref No	Description	Cause, Event & Consequence	Mitigation	Risk Score
1	Insufficient storage capacity affects performance	Cause: Insufficient storage capacity available for corporate roll out level. Event: The system may reach capacity as more service areas use EDMS. Consequence: Performance is affected.	Liaise with Technical Infrastructure team to review capacity and monitor storage availability as project progresses.	25
2	Unrealistic timescales	Cause: Pressure on timescales for full roll out Event: Timescales are unrealistic Consequence(s): 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	Cause: Cannot scope the size of the problem re ROT and Duplicates Event: Impact on timescales re migration of shared drives to EDMS including moving unnecessary information across that is not required. Consequence(s): Replicating the problem we currently have with the shared drives.	Data crawl arranged	15
4	Poor clean-up of shared drives prior to migration	Cause: Insufficient resources Event: Clean-up of shared drives prior to migration not done well Consequence(s): 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
5	Lack of skilled staff to do the technical EDM work	Cause: Lack of money and availability of skilled staff Event: Lack of skilled staff to do the technical EDM work Consequence(s): 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

Figure 19: EDMS Summary of Key Risks

22.2 O365/UC Key Risks

Ref No	Description	Cause, Event & Consequence	Mitigation
1	Apps Compatibility	Cause: Upgrading the current Office 2010 to Office 365 Event: There is a risk that some applications may not be compatible with the Smarter Working tools Consequence(s): Such applications may not work, or may only work with reduced functionality	Application compatibility testing, during the project due diligence phase to identify incompatible applications.
2		Cause: Network demands arising out of Smarter Working tools deployment Event: Higher demands than anticipated on the LAN and WAN. Consequence(s): Capacity of the LBB Local Area Network (LAN) and Wide Area Network (WAN) will not be sufficient to support the upgrade to O365 and roll out of Unified Communications.	The network performance will be continuously monitored to ensure that should the actual usage exceed the assumed volumes, then a decision will need to be made between LBB and CSG on a remedial action.

Ref No	Description	Cause, Event & Consequence	Mitigation
3	Network Performance	<p>Cause: Network demands arising out of Smarter Working tools deployment</p> <p>Event: Higher demands than anticipated on the LAN and WAN.</p> <p>Consequence(s): Capacity of the LBB Local Area Network (LAN) and Wide Area Network (WAN) will not be sufficient to support the upgrade to O365 and roll out of Unified Communications.</p>	The network performance will be continuously monitored to ensure that should the actual usage exceed the assumed volumes, then a decision will need to be made between LBB and CSG on a remedial action.
4	Data Throughput	<p>Cause: Migration of mailboxes from on premise to Exchange Online</p> <p>Event: Microsoft throttle the bandwidth of network ingress (inbound) to the Smarter Working tools platform</p> <p>Consequence(s): 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>
5	Network Performance	<p>Cause: Network demands arising out of Smarter Working tools deployment</p> <p>Event: Higher demands than anticipated on the LAN and WAN.</p> <p>Consequence(s): Capacity of the LBB Local Area Network (LAN) and Wide Area Network (WAN) will not be sufficient to support the upgrade to Smarter Working tools and roll out of Unified Communications.</p>	The network performance will be continuously monitored to ensure that should the actual usage exceed the assumed volumes, then a decision will need to be made between LBB and CSG on a remedial action.

Ref No	Description	Cause, Event & Consequence	Mitigation
6	SLA Exceptions	<p>Cause: the deployment of new service functionality</p> <p>Event: The inability of support teams to get used to the new Smarter Working tools service demands</p> <p>Consequence(s): as a result, there is a risk that deploying Smarter Working tools puts a strain on existing SLAs</p>	Agree SLA lets with LBB prior to the migration.

Figure 20: OC/O365Summary of Key Risks

23 Costs/Investment Appraisal (EDMS Pilot Only)

23.1 Pilot Costs

23.1.1 Based on indicative costs obtained to conduct a pilot for a period of 4 months funding of £250k is required.

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

23.2 Investment costs over the economic life of the EDMS post a successful pilot

23.2.1 Following the pilot and on the basis that it is successful we will be requesting additional funding to complete a corporate roll out and transition to a fully functional EDMS.

23.2.2 The costs provided below are indicative which were available to us at the time this document was being authored and therefore subject to change as we progress with the Invitation to Tender (ITT).

23.2.1 Option 3 – EDM replacing Shared Drives

Capital		
Software	£319,500	Inc. Year 1 Support.
Implementation Services (Installation, Train the Trainer, Project Management etc.)	£988,818	
Hardware	£2,000	
Storage	£43,084	
Total	£1,353,402	
	£1,624,082	Inc. 20% risk cost
Revenue		
Software (Renewal/Upgrades)	P/A	Year 2 support onwards
Support & Maintenance	£ 55,000	
Hardware e.g. Storage	£ 2,000	
Storage	£ 43,084	
Total	£100,084	
	£ 120,101.00	Inc. 20% risk cost

Figure 21: EDMS Cost Investment

23.3 Investment costs over the economic life of the Smarter Working Tools

23.3.1 O365 plus Skype for Business

O365/Skype Implementation Costs - Capital	Cost
Labour (Installation, dev., training, testing, project mgt.)	£1,103,206
Software, hardware, VPN (Sonos, Bitglass, conference hardware)	£167,393
Headsets and handsets*	£103,126
Total Implementation Costs	£1,373,725

*Headsets and Handset numbers are given as budgetary estimates; precise numbers/costs will be agreed during project delivery

23.3.2 Ongoing Revenue Costs

O365/Skype Ongoing Costs - Revenue	2017	2018r	2019	2020	2021	2022	2023	Total
Ongoing costs (licenses, hosting)	£423,283	£423,282	£423,282	£423,282	£423,282	£423,282	£292,931	£2,832,624

Notes on revenue costs

- The cost (per user) of the licences is fixed until 2018. The annual costs may increase during subsequent periods.
- Licence costs are subject to supplier-driven increases.
- Savings on hosting are based on adopting a variable charging model for storage above the baseline. This requires final confirmation.
- 2023 costs reflect part-year CSG contract end date.

24 Project Assurance

Phase	Project Assurance Plan				Outcome of Project Assurance Activity			
	Assurance Activity	Assurance Date	Milestone	Milestone Date	Individuals/ stakeholders involved	Actions / Recommendations	Expected Implementation Date	Actual Implementation Date
Stage 2 Project Start Up	Outline Business Case Approved by Programme Sponsor	October 2016	Programme Board Decision	October 2016	Programme Board Decision	Proceed to Full Business case	October 2016	October 2016
	Full Business Case Approved By	February 2017	Policy and Resources Committee	February 2017	Policy and Resources Committee	Proceed to Stage 3	February 2017	
Stage 3 Procurement	Ratification of Procurement Recommendation - EDMS	March 2017	Procurement	March 2017	Procurement	Proceed to Stage 4	March 2017	
Stage 4 Implementation	Confirmation to go Live - UC	February 2017	Programme Board Decision,	February 2017	Programme Board Decision	Full UC Roll Out Proceeds	March 2018	
	Confirmation to go Live – EDMS (Pilot)	February 2017	Programme Board Decision,	February 2017	Programme Board Decision	EDMS Pilot Proceeds	Full Implementation January 2019	
Stage 5 Closure	Project Closure - UC	March 2018	Programme Board Decision,	January 2019	Programme Board Decision	System Transitions to Business As Usual	March 2018	
	Project Closure – EDMS (Full Implementation)	January 2019	Programme Board Decision,	January 2019	Programme Board Decision	System Transitions to Business As Usual	January 2019	

Figure 22: Expected Benefits

25 Dependencies

Ref	Dependency Description
D1	A suitable IT infrastructure capable of supporting both the demands of EDMS and Smarter Working tools. The Network has insufficient capacity on the Internet Circuit, presently at 100Mb, therefore there is a risk that the capacity of the Local Area Network (LAN) and Wide Area Network (WAN) will not be sufficient to support the upgrade to O365 and roll out of Unified Communications.
D2	To enable a successful migration to Smarter Working tools a review of the use of all Shared Mailboxes is required to understand if they are still required.

Figure 23: Dependencies

26 Appendix A - Glossary of Terms

Abbreviation and Term	Description/Definition
AC	Adults and Communities
CSG	Customer Services Group
CYOD	Choose Your Own Device
EDMS	Electronic Document Management System
FAQ	Frequently Asked Questions
FBC	Full Business Case
FS	Family Services
GDS	Government Digital Service
HR	Human Resources
IMIA	Information Management Impact Assessment
IS	Information Security
ITT	Invitation to Tender
LBB	London Borough of Barnet
LCS	Liquid Logic Children's Care
PIA	Privacy Impact Assessment
PSED	Public Sector Equalities Duties
TW3	The Way We Work
UC/O365	Unified Communications & Office 365

27 Appendix B - EDMS Case Studies

EDMS Business Case Studies

This section provides 3 case studies provided by Governance, Information Management (FOI Requests) and Special Education Needs. The case studies focus on the existing challenges staff face every day when searching for information. The implications of not being able to collaborate and share information effectively and by working on a collaborative platform will improve efficiency, quality and enable staff to work more effectively.

Case Study 1

London Borough of Barnet

Freedom of Information Requests

Commissioning – Information Management

Background

The Freedom of Information Act 2000 (FOIA) provides the public with a general right of access to recorded information held by the council, subject to some exemptions. The council has a statutory duty to respond within 20 working days and to provide the information requested unless one of a number of defined exemptions applies. There is the right of appeal to the regulator, the Information Commissioner's Office (ICO). ICO investigations involve much council time and resource. One way to avoid these is to ensure the initial case is handled properly and fully.

Example

The Council received several linked and overlapping complex requests for information in respect of a very contentious sale of a property. Due to their contentious and complex nature the requests were handled centrally by the Information Management Team (IMT), and Property Services were requested to see what information was held, to locate and collate it and to provide it to IMT in a useable format to IMT.

The Challenges

There were many problems. Property Services did not know what information and documentation they held and what they did not hold. Information was split between a shared drive, paper files and individual's email folders. Some was held by a third party and some by the council's lawyers. Locating the information took considerable time and effort. One crucial piece of information could not be located at all which caused extreme embarrassment to the Council. This was as far from an agile system as is possible to be.

IMT received information piecemeal and as it had been collated from many sources it was in no particular order or category and contained much duplication.

IMT had to rely on Property Services to search as there is no shared documentation system. If it were in one location the whole FOI process would have been streamlined and made far more efficient.

Impact and Outcome

Removing duplications and putting paperwork into order took over 2 hours. Identifying what was missing also took at least an hour. Property services spent over 18 hours searching for and collating the information, mainly due to not being able to locate a crucial item.

The request was far slower to action and respond to than would have been the case if information had been organised and readily accessible by means of a centralised Electronic Document Management System (EDMS). Duplicate searches were required in order to ascertain what was held and what had been missed. These 3 hours could have been avoided.

The FOI request deadline had to be extended which resulted in a complaint from the requester.

Who else was Involved

Property Services mainly and to a minor extent HB Public Law

What was the end result?

The FOI response was later than it could have been if the documents were held in an EDMS. The process could have been much smoother, quicker and less stressful for all involved. Several days of officer time were spent searching which would have been avoided with EDMS. If all the information was in one location the time taken to see what the council holds and to extract and collate it would be far more efficient.

The requester is likely to complain to the ICO and the council may struggle to justify its handling of the case due to the lack of confidence in Property Services' current information storage system.

Case Study 2

London Borough of Barnet

Existing Network Storage Arrangements - Searching for Records

Governance Service – Assurance Group

Background

As a result of incremental changes to the methodology for saving documents on the Council's network and the use of numerous share drives there is currently an incomplete electronic record retained centrally.

The Governance Service has access to the following drives which cover (broadly speaking) the following periods:

I:/drive = 2001 – 2008

SharePoint* = 2008 – 2009

S:/drive = 2009 onwards

*Note: SharePoint was used between 2008 – 2009, but its use was discontinued and all data saved on the network relating to that period was lost.

Prior to 2004 the Council had a number of databases (Topic and Trove) which held historical committee reports and minutes. Access to the information held on these databases was lost around 3 years ago when the servers migrated off site.

Hard Copy Records

The Council is legally required to retain hard copies of signed committee minutes for up to seven years. It is however best practice to retain these in perpetuity should there be any need to access decisions in the future. It is also a requirement to retain committee agendas and background papers for up to 6 years. In practice, this is fulfilled by enabling access to these online via the website. It is understood that the Borough Archivist has most committee agendas and minutes in hard copy prior to 2000, but the Governance Service do not hold a records retention schedule of this information.

In addition to the Archives, some information is held in the Council's off-site 'Stor-A-File' facility. As this was archived as part of a recent office move in 2014, a records retention schedule is held and documents can be accessed easily as and when required.

Example

Recently the Governance Service was required to search council records for evidence of a policy that affected Members. Locating this information provided problematic and costly due to the lack of clarity about what information is held and in what format.

Elected Members currently receive a 'notional allowance' of £1K per Member per annum to cover the additional costs associated with being an elected Member (such as the provision of IT equipment, phones, stationery, etc.) This was approved via a 'Members Notional Allowances' policy at Full Council in 1998. Due to changes in technology and price increases, the Governance Service sought to review the existing policy and budget provision with a view to revising and updating the policy for discussion and approval with Members. A search of the I:/drive and S:/drive was undertaken which failed to deliver any results. Officers from the Governance Service then contacted a councillor to try and ascertain which year the policy was agreed and a possible title for the policy so that the search parameters could be narrowed down. After a significant amount of searching, the Council eventually advised that the policy was approved by Full Council in 1998. As a result of this information, the service was able to ascertain that the information was unlikely to be held electronically and that a manual search should be undertaken. Officers contacted the Borough Archivist and Governance Service Records Retention lead and requested a search on the following basis:

"I am looking to locate a report that went to Full Council in 1998 on the Members Notional Allowance. The Governance Service electronic and paper files don't go that far back and any information that we hold would be held in the archive. Do you have access to?:

- a) Council reports from 1998; and/or
- b) Council minutes from 1998

I know that we are only required by statute to retain this information for 7 years, but best practice is to retain in perpetuity."

The archivist submitted a nil return, but the Governance Service Records Retention lead was able to locate minutes from a Full Council meeting in October 1998 which set out the key provisions of the policy in the minutes”.

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 Officer time. The average hourly rate for a Governance Officer is £36.35 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 term is

Case Study 3:

Requirement for EDMS

London Borough of Barnet

Special Educational Needs

Cambridge Education

Current Situation

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

Drivers for Change

Finance

The cost of the three methods outlined above is unsustainable and inefficient. The cost of printing for SEN & 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.

Staffing

We 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.

Quality of Service

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.

Accommodation

The SEN & 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 following are examples of benefits gained by other organisations who have implemented EDMS

Case Study 4**Thurrock Council****Overall goals**

Supporting digital transformation, improving customer service and reducing costs

Benefits gained

- Departmental to full organisational use
- 50% reduction in administration costs
- 80% reduction in the volume of paper
- Improved customer service through timely and accurate correspondence
- Streamlined business processes

Case Study 5**Middlesbrough Council****Overall goals**

Compliant Adult & Children's Services and capability to support Council through their digital transformation journey

Benefits gained

- Adults & Children's Services integration
- FOI processing time reduced by 50%
- "Ask my counsellor" automated interaction
- EDRM and streamlined business processes

28 Appendix C – Full EDMS Benefits

The following table sets out the planned benefits for the full EDMS implementation.

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
	Compliance with Governmental Directives and Regulations				JO		
NF	Improved sharing and collaboration between government organisations and agencies.		10% improvement in satisfaction	Year 1	JO	Survey on how well information is shared between government organisations	
F	Minimise the risk of data breach fines by the ICO		5% Reduction in number of data breaches per year	Year 1	JO	Number of breaches per year	
	Staff and Members Working More Efficiently				JO		
NF	Increased staff productivity through quicker and easier identification of relevant information and knowledge. Time saved by individual members of staff more easily retrieving documents of all types, whether e-mail, Word documents created by themselves, electronic or scanned documents received, or other kinds of digital files. Staff are able to concentrate on their core functions rather than spending time searching for information		15% Faster search time	Year 1	JO	Survey - estimated time savings due to quicker retrieval. Head-to-head search test between shared drive & EDMS	
NF	Time savings due to improved access to similar information which can be copied and re-used ensuring we do not reinvent the wheel.		5% increase in re-using existing information	Year 1	JO	Survey - estimated time savings due to reusing existing information	
NF	Mobile staff are able to access, capture and manage electronic information quicker		20% Increase in satisfaction from mobile users	Year 1	JO	Staff surveys and drop in sessions focusing on effectiveness now, then mid implementation /post implementation.	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
						<p>Ask for user stories for before and after scenarios.</p> <p>overall attitudes now v post implementation of EDMS</p> <p>Lunch time drop in sessions to talk about their new working environment and technical platforms (EDMS/O365/UC)</p>	
F	<p>Reduction in disaster recovery costs by using cloud storage.</p> <p>NB: This benefit is only valid if a cloud solution is implemented.</p>		10% Reduction in cost of recovering EDMS data from the cloud	Year 1	JO	Compare disaster recovery process pre EDMS v Post EDMS	
F	<p>Staff Locations Determined By Business Requirements. Having information accessible electronically across all work locations means that LBB can locate staff according to business functions and requirements, rather than by needing them to be close to the paper records. A corporate EDMS can enable information to be accessed from any location, and so there are not the same restrictions due to information access as with paper information.</p> <p>Mobile and more flexible and less reliant on their offices but remain connected with their teams and able to access the information they need to carry out their work more efficiently</p>		10% Increase in satisfaction from mobile users	Year 1	JO	<p>People able to work in different locations</p> <p>Staff surveys and drop in session's focusing on effectiveness now, then mid implementation /post implementation.</p> <p>Ask for user stories for before and after scenarios. Overall attitudes now v post</p>	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
			Occupancy requirements does not exceed the number of desks	Year 2		implementation of EDMS Measurement of desk occupancy	
NF	Partnership and sharing platforms are made accessible through a variety of channels making work more efficient		5% Improvement in efficiency measures	Year 2	JO	Staff surveys, customer service levels & Management Information	
	Working Consistently				JO		
NF	Better access to precedent information will help LBB provide consistent responses		5% improvement in consistency of responses	Year 1	JO	Survey. Audit reports	
NF	Overcoming barriers of time and distance due to the centralised nature of an EDMS (e.g. making sure that staff away from the office receives the same information at the same time as staff in the office).		70% of people working out of the office confirm they received the information in a timely fashion	Year 1	JO	Survey	
NF	Consistency in reports and recommendations due to better re-use of information and access to precedent information will lead to an enhanced feeling of corporate identity.		15% improvement in consistency of reports	Year 1	JO	Survey	
NF	Promulgation Of Best Practise Business-wide. Having information available to all LBB staff means that best-practice can be shared e.g. example best-practice reports, studies, etc.		20% improvement in applying Best Practise	Year 1	JO	Survey	
NF	Latest Version Always Explicitly Available. A current problem is knowing what version of a document is the latest and most accurate. Intrinsic in an EDMS is		35% reduction in using the incorrect version of a	Year 1	JO	Survey	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
	versioning. This means that at any one time, people know which version of a document is the latest. This avoids problems with people using different versions of the same document, and potentially giving different advice (because of the differences between documents).		document				
	Improved Knowledge Sharing				JO		
NF	Improved retention of LBB information and knowledge will help secure the corporate memory	Especially for electronic information, which currently is not managed well for retention	Minimum 60% of electronic records that have passed their retention period will be destroyed	Year 3	JO	EDMS reports & forecasts on retention/destruction	
NF	Improved collaborative working within and between LBB teams leading to improved efficiencies and quality of work.		50% Satisfaction with the ability to collaborate	Year 2	JO	Survey	
NF	Better continuity (e.g. smoother handovers) due to information more easy to find for someone who is new to the role		70% Satisfaction with handover processes relating to information	Year 3	JO	Survey/User Stories	
NF	Better Sharing Of Information Business-wide. Having a central repository means that information is more easily accessible across the organisation, not just within departments or groups. This will reduce time spent finding information, reduce duplication and help reduce barriers between teams.		100% of information able to be viewed with the exception of sensitive information	Year 1	JO	Survey. Test to see if you can access information from other teams (security not withstanding)	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
	Only relates to those in the EDMS						
	Improved Corporate Governance				JO		
NF	Being able to demonstrate that records keeping practices have been followed in accordance with Code of Practice for Legal Admissibility and Evidential Weight of Information Stored Electronically.		75% compliant to the BS10008	Year 1	JO	Conduct a self-assessment for BS10008 (before/after)	
NF	Actually Know What Information Is Held. Implementing an EDMS involves development of a standard file plan and compilation of an inventory of existing information that needs to be migrated into the EDMS. The combination of these two actions provides an organisation with a record of what information it holds which will help in operational work and responding to enquiries.		90% users understanding of information held	Year 2	JO	Run a test from a user perspective to establish what information is being held on shared drives & EDMS	
	Cost Savings				JO		
F	Elimination of multiple file copies. The centralised storage of documents, and the corresponding ease of accessing a document, eliminates the need to have multiple copies of documents. This reduces storage and management requirements for documents, as well as ensuring that there is no confusion about which version is the most up to date.		5% reduction in growth rate of EDMS storage compared to shared drive growth rate	Year 3	JO	Growth rate of shared drive vs. growth rate of EDMS	
F	Reduced off-site storage costs due to less paper being stored (because of an increased reliance on, and use of, electronic documents)		5% reduction in Stor-A File storage costs Projected savings met year on year, until 2023. We would anticipate a reduction in our	Year 3	JO	Review storage costs pre and post EDMS.	Stor-a-File contract cost 70,000

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
			archive budget or cost avoidance in the future following further analysis being undertaken as part of phase 1b of this project. Paper heavy v paper light.				
F	Reduce transport costs for paper. Moving to electronic records will reduce the costs associated with transporting paper files to offsite storage, and costs associated with retrieving these paper files as there will be less paper stored (because of an increased use of electronic documents).		10% reduction in Stor-A File retrieval costs	Year 3	JO	Stor-A-File costs reduced	
F	Savings on the non-staff costs of the administration of the paper archive as there will be less paper stored (because of an increased use of electronic documents).		5% reduction on sales (flat pack boxes and barcodes)	Year 2	JO	Stor-A-File costs reduced	
F	Reduced operational costs. As these relate to short term unit expenditures: Photocopier rental charges, consumables and transport charge savings should be capable of being realised in a relatively short time period and should be maintained on an annual basis.		20% Reduction in annual Print Costs	Year 1	JO	Pre & post EDMS print costs	
F	Reduction in the costs that LBB incur for backing up all data stored on the network (personal and shared network drives) and Outlook. Over time as the amount of data being stored grows so does the cost. The benefit of an EDMS is a reduction in the growth rate due to less duplication and improved retention/destruction.		5% reduction in growth rate of EDMS storage compared to shared drive growth rate 5% reduction in backup costs	Year 3	JO	Backup costs Growth rate of storage is reduced	
NF	Reducing Time Spent On Legal Requests. LBB has legal requirements to manage their information accurately.		10% increase in number of requests	Year 1	JO	Pre & post EDMS management reports of	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
	The Data Protection Act requires an organisation to respond within 40 days; the FOI has a response time of 20 calendar days. To achieve this response level, LBB will need to have a good grasp on their information and be able to find it quickly. An EDMS provides the framework that allows DP and FOI requests to be met easily and with little cost to an organisation.		dealt with within statutory timescales			FOI/DPA responses.	
	Risk Avoidance				JO		
NF	Avoidance of damage to reputation and credibility due to poor information management		5% reduction in reputational damage	Year 2	JO	External or internal surveys	
NF	Avoidance of potential Council embarrassment in the face of official enquiries due to poor information management.		5% reduction in reputational damage	Year 2	JO	A reduction in enquiries causing damage due to poor records	
NF	Avoidance of potential Council embarrassment in the face of FOI and DPA enquiries from the Press and/or the public due to poor information management.		5% reduction in reputational damage	Year 3	JO	A reduction in damage due to FOI and DPA requests being dealt with poorly as a result of poor record keeping	
F	Avoidance of penalties due to the contravention of legislation such as DPA. Potential fines can be incurred up to the value of £200,000 per breach.		5% reduction in reputational damage	Year 4	JO	Reduction in decision notices, information notices, enforcement notices, monetary penalties and undertaking due to information management failures	
FN	Reduction in costs associated with the loss and re-creation of documents. Research indicates approximately 12% of paper documents are either lost or misfiled. (Gartner) An EDMS enables us to effectively digitises and store documents		5% Reduction in the number of lost and misfiled documents	Year 2	JO	Survey	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
F	Enhanced security of information. Although all data is in a central storage vault, the information is not accessible by just anyone. EDMS's have strong security features, allowing access to documents to be tightly controlled. An EDMS also reduces the risk of having data corrupted or just mislaid. Additional security wrapper over the Cloud security, will ensure we meet GDS Cloud Security principles.		5% Reduction in number of issues reported	Year 2	JO	Number of issues reported	
NF	On-going Access to Information. Part of implementing EDMS is to consider on-going sustainability of, and accessibility to, the information. Accessibility to electronic information can be limited due to a number of factors e.g. change in application software, media degradation, change in operating system meaning that the application is unavailable. Sustainability planning and actions help ensure that electronic information is available in the future. Information in an EDMS is more likely to be actively managed than if it simply resides on network storage systems. This active management means that sustainability is more likely to be addressed.		Confirm that there is a sustainability 100% of information can be retrieved and read	Year 3	JO	Test that information is still retrievable.	
NF	If all records were electronic, in the event of the destruction of the LBB office, business could be conducted from any location with access to all records and a minimal loss of information. This will also save staff time in the event of a disaster trying to piece together vital records from other sources.		100% of EDMS data covered by DRP	Year 3	JO	<i>Confirm that disaster recovery and business continuity plans cover information held in the EDMS</i>	
	Improved Service to Customers				JO		
NF	Improved and enhanced service provision to customers and external stakeholders (e.g. Members, CSG), including replies to requests for information. This is because information can be found more quickly and		30% improvement in customer satisfaction relating to providing	Year 2	JO	Survey. Management reports	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
	with greater accuracy.		information				
NF	Enabling better co-ordination of information and advice due to ease of finding related information.		30% improvement in coordination of information and advice	Year 1	JO	Survey - is it quicker and easier to respond to enquiries	
NF	Better quality and more complete records with the potential to support detailed official enquiries due to improved management of information.		30% improvement in improvement and responding to official inquiries	Year 1	JO	Survey - is it quicker and easier to respond to official enquiries	
	Enabling Other benefits				JO		
NF	Facilitation of flexible working, including home working and hot-desking due to information being more easily accessible and able to be found		95% of people happy with working in a flexible manner	Year 2	JO	Survey - People able to work away from office effectively	
NF	Platform for moving to e-Service Delivery. EDM provides the basis for organisations wishing to move to e-service delivery. Without effective management of electronic records it is impossible for organisations to provide secure electronic services. An EDMS will help LBB introduce more e-services.	Aren't we already doing this? If so, delete this benefit	Management of electronic information is not a barrier to the adoption of new e-service delivery.	Year 1 but dependant on the Council expanding e-services	JO	Measure by service adoption	
NF	Enable workflows to be developed so that business processes can be improved.		90% of processes implemented by workflow processing have faster processing timer and less problems	Year 2	JO	Able to implement workflows that use electronic information held in the EDMS	
NF	Support Business Growth. Effectively managing electronic information, and reducing reliance on paper, allows LBB to grow without facing bottlenecks from paper processing and handling.		Business growth not hampered by information processing and management	Year 2	JO	Survey	

Benefit type	Description of the benefit	Who will benefit	Expected benefit value	Financial year that the benefit will start to be realised	Benefit owner	How will the benefit be measured	Baseline value (£, % etc.) and date (TBC)
NF	Will support LBB to deliver the Information Management Strategy		EDMS fully aligned with Information Management Strategy	Year 1	JO	Survey	
NF	Will support LBB to deliver the Corporate Plan by aligning with the following: 'By 2020, the council will be a more modern and flexible employers, having implemented a range of changes to the working environment to better meet the needs of its staff.'- Corporate Plan p16-17. The Council will "Invest in new IT to enable staff to work more flexibly across a range of locations, allowing them to be closer the residents they work with Corporate Plan p17		100% aligns with the Councils Corporate Plan in terms of delivering new technical enablers outlined in the Corporate Plan	Year 1	JO	Survey	

29 Document Control

Record the information relevant to this document in this section

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29.1 Document History

If the document has been altered or amended please track the versions and changes in this section

Date	Version	Reason for change	Changes made by
10/10/2016	V01-07	Development for initial review by Programme Board Representative	Jane Proffitt/Jenny Obee
29/11/2016	V08	Draft Version for Programme Manager Review	Jane Proffitt
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13/01/2017	V0.12 - 013	Edits	Jane Proffitt
06/02/2017	V1 Final	Edits	Jane Proffitt

29.2 Distribution List:

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Name	Role	Date
Anisa Darr	Director of Resources	06/02/2017
Jamie Masraff	Strategic Lead Programmes & Performance	06/02/2017
Jenny Obee	Head of IT and Information Management	06/02/2017
TW3 Programme Board		06/02/2017

29.3 Approvals:

By signing this document, the signatories below are confirming that they have fully reviewed the Full Business Case for EDMS, O365 and UC project and confirm their acceptance of the completed document.

Name	Role	Signature	Date	Version
Anisa Darr	Director of Resources			
Jamie Masriff	Strategic Lead Programmes & Performance			
Jenny Obee	Head of IT and Information Management			
Policy & Resources Committee				