

# Project Initiation Document (PID)

Project reference

P043

Project title

**Post, Correspondence and Document Management**

Manager

Sharon Lekha, Business Support Manager

Sponsor

Janet Twinn, Assistant Director – Benefits

Corporate Plan link

Aim 3.b.3 Modernising Council Operations

## Project purpose

Definition

To review the current processes for handling post and correspondence, and identify where improvements and efficiencies can be made.

To corporately manage incoming post via electronic scanning and distribution.

To reach a consistent level of good use of the Councils Corporate Document Management System (DMS), Information At Work (I@W) and any other document management systems (e.g. Timebase) across the authority to allow items of correspondence to be electronically handled whenever possible. M3 is associated to I@W as it will make use of it as a document store.

For the purposes of this project, post is defined as incoming and outgoing items in hard copy via the postal system, and correspondence is defined as items in written format which have been generated by users within the authority that are customer related including;

- Emails
- Letters/Memos

Mandate

Chartered by the Transformation Programme Board on 04/05/2016.

Background information and impact assessment

Through discovery the following has been identified;

### General

(1) Process mapping of the internal messenger service and the various Business Support Teams can be seen in Appendix A. The process mapping has highlighted the varied post handling processes within the Directorates.

(2) Post opening and distribution is not centralised, Each service area has similarities with the processes for post handling, but because it is not centralised there are inefficiencies and physical effort to distribute post.

(3) Monitoring the incoming post from April to November 2016 has highlighted the number of items and mail categories (letter/large letters) received for Directorates - Appendix B

(4) Misdirected post tends to be the biggest issue when discussing unwanted post. It also means some departments don't receive their post until the afternoon. Electronic handling of post by use of "query in-boxes" as used in the prototype (point 10) would assist in alleviating this issue.

(5) There is a willingness to move post and correspondence processes to involve technology but Services are at different stages of doing so.

(6) Most areas of the Council are doing a lot to engage with channel shift

methods including the use of emails and online forms.

(7) Confidentiality has been raised as a potential concern (e.g. legal documents, internal post, etc.). The more people that have access to these documents, the greater the risk. This requires careful management within each Directorate. However, there are Corporate policies in place to ensure the protection of personal information. Relevant corporate policies include;

- Data Protection
- Information security incident management
- Information Management

Confidentiality has also been raised as a legitimate concern when using i@w. The more people that have access to these documents on the system, the greater the risk. The restriction of access to confidential information can be overcome through the correct administration on i@w; Please see the prototype group (Appendices C i and ii) for good examples of how this could be managed.

(8) For staff that rely on post and correspondence to carry out their duties, a document management system with workflow is required to enable home working.

(9) Without workflow, a Customer Contact Team will be unable to answer a number of enquiries.

(10) Prototype Results - Within the Resources Directorate (specifically Council Tax and Benefits) who receive the greatest amount of hard copy post, processes have been streamlined. This is working successfully to reduce duplication of effort and eliminating unnecessary steps in the procedure. This can be used as the prototype for the Authority. See Appendix C for the before and after effect. The prototype has shown a successful outcome regarding the use of workflow; post is routed automatically when electronically scanned and indexed to end users, which would allow mobile and home working if necessary.

Other points of interest from the prototype include;

- The centralisation of post opening, scanning and indexing by the Business Support Team in Resources, allows Officers to concentrate on their core activities.
- Increased efficiency due to Officers not walking around the offices delivering items of post.
- I@W is used by all users within Council Tax and Benefits to manage their post and correspondence electronically.
- Queries on post are dealt with through the use of query in-boxes to minimise the risk of lost post. i@w has a default user setting for this purpose.

### **Outgoing Post**

(1) The majority of outgoing post is prepared using the main Post Room within the Civic Offices building. There is also a small additional Franking Machine at the Debden Broadway satellite office which is used for first class post. All other outgoing post from the satellite offices is currently collected by the internal messenger for onward distribution from the Civic Offices.

(2) As part of the messenger review, items of post currently collected and delivered will be considered for alternative methods of reaching the Civic Offices. Any other changes necessary to the role will be considered as they arise during the project.

(3) Outgoing items of post can be barcoded for ease of use when being returned to the Council eg surveys. i@w has a module to auto-index such barcoded post. The use of barcoding will be looked at later in the project.

(4) The use of the DX post service is reviewed annually and works efficiently and is cost effective. The incoming and outgoing DX items of post are collected and delivered to the host point during the day. No further work is deemed necessary to carry out a further review at this time.

#### **information@work**

(1) There are big contrasts in how different services deal with post and how confident they are using technology within this process. There are also inconsistencies in when post is scanned i.e. Communities (Housing) use i@w as a filing system only. They first deal with the post in hard copy and then back scanning is carried out by the Corporate Business Process Team within Resources. However, Benefits, Council Tax and Planning use workflow. Post is scanned when received and electronically distributed to staff for action.

(2) There is a general feeling that the technology is not advanced or reliable enough as different areas of the council experience different issues with I@W and the other software they use. A large element of these issues can be put down to staff not using systems in the way they are designed, as cascade training within Directorates is often haphazard, and there is a lack of knowledge about what the system can do and how to use it effectively. I@W is currently used by 57% of the Council's staff (that are active IT users) and is due to be rolled out to more service areas when the link to the M3 system goes live – see Appendix D i and ii. I@W's licence has now been upgraded to a site wide licence and now offers access to all staff if required. I@W is reliable giving an average 99.96% availability over the last year.

(3) Staff need to be trained by ICT on the core application and functionality of i@w, as there are large gaps in knowledge throughout the Council. It is recognised that extra resource is required in IT and there are plans to address this.

(4) Some areas of the council use other systems instead of i@w (e.g. Legal use 'Timebase', Elections use 'Express'). Understanding how these systems could/should interact with I@W requires a lot of specific knowledge. This is something that can be explored later in the project.

(5) Concerns were raised about the increased number of document types that might have to be used to index documents if teams were scanning documents for many areas of the Council. The document types are used to categorise and index a document to the correct end user. The use of "Document Reference Indexes", i.e. folders which hold templates with doc types as examples should be used to overcome this issue and guidance can be given to service areas regarding the creation of document types.

(6) There is ongoing work on the Doc types for all users of I@W to see whether they can be printed on items of post going out which need to be returned to the Council, therefore eliminating the need for having to remember the doc types and minimising errors. .

(7) As new services start using I@W, advice needs to be given on document types. For areas where I@W is working well, a possible improvement to the process would be to have better communication between departments using I@W, as currently there is limited access to each other's system.

<i>Change approach</i>	<ul style="list-style-type: none"> <li>▪ Discovery stage – monitoring the post, detailing the scanning and indexing procedures and use of the corporate solution (Information at Work). Interview reps to seek feedback on the current post handling arrangements and use of Information at Work.</li> <li>▪ External consultancy from Northgate on the use of Information at Work and areas for improvement re: scanning and indexing of post and the relationship to the Housing OHMS system. ICT are to fund the external consultant during the project discovery stage.</li> <li>▪ Set up I@W user group with representatives from each Directorate. The purpose of the group will be to; promote the sharing of best practice in the use of I@W across EFDC, agree priorities for Corporate I@W Training, inform the ICT I@W rollout strategy, feedback issues to ICT and the BP Team on technical matters and scanning/indexing respectively, and; accept feedback and updates on the system and services from ICT and the BP team.</li> <li>▪ Ongoing consultancy visits requested for this project. Funding has been sought from existing budgets but is not available.</li> </ul>
<i>Business case / problem statement</i>	<p>Access to correspondence / post by employees working either at home, remotely, or by mobile working is limited causing inefficiencies across the Council. The current way of dealing with correspondence / post does not support the flexible / homeworking agenda, nor does it support a Customer Contact team when answering enquiries from the public. The corporate scanning and indexing solution is not being used consistently and in a way that maximises efficiencies across the Council.</p>
<i>In scope</i>	<ul style="list-style-type: none"> <li>▪ All the Council's post apart from those areas identified in 'Out of Scope'.</li> <li>▪ The internal messenger service.</li> <li>▪ All relevant equipment across the authority relating to post handling, scanning and indexing.</li> <li>▪ Individual Directorate approaches to post handling and scanning/ indexing.</li> <li>▪ Freedom of information requests, post for the Legal service, Human Resources, large sized plans, Licensing, Corporate Fraud, Safer Communities and post for the Chief Executive, are in scope but are not a priority for reviewing current processes.</li> <li>▪ •Any post marked as private and confidential is in scope. The process needs to be reviewed in the future. A dependency may be if it is external or internal; incoming post for payroll/pensions may relate to staff members - this may not be appropriate to be opened</li> <li>▪ Outgoing post. This is not a priority and will be reviewed later in the project.</li> <li>▪ Other document management systems used by the authority (e.g. Timebase used by Legal)</li> <li>▪ Staff who do not require use of I@W(or any other DMS) – post to be scanned and mailed direct to their Outlook inbox</li> </ul>
<i>Dependencies and</i>	<ul style="list-style-type: none"> <li>▪ Understanding the work currently being carried out by ICT.</li> <li>▪ Conformity with the I@W projects contained within the Corporate ICT</li> </ul>

<i>constraints</i>	<p>Strategy which has been previously approved by Members.</p> <ul style="list-style-type: none"> <li>▪ Resources / space for new equipment (if appropriate).</li> <li>▪ Links with Electronic Invoicing Project (P044) – where current invoicing accounts for a large amount of post.</li> <li>▪ Links with the Customer Contact Project (P001) in particular around Channel shift– where correspondence scanning is listed as out-of-scope.</li> <li>▪ CRM and the potential overlap with I@W. The interface between the 2 systems needs to be mapped and understood (including Freedom of information requests)</li> <li>▪ Links with the Service Accommodation Review Project (P002) – in relation to home/flexible working, hot desking and document storage.</li> <li>▪ Reprographics review (P050); based on the Service Accommodation Review (P002). This may impact on the staffing structure of the Business Support teams by retaining any work that is still required and staffing resources within the print team would need to reflect the likely future offer required of reprographics.</li> </ul>
<i>Out of scope</i>	<p>Persons receiving little or no post - Internal Audit, PR, Accountancy, ICT. Elections - dealt with by Electoral Registration Team</p> <p>Members/Democratic Services – dealt with by Democratic Services</p> <p>Cheques/Payments</p>
<i>Assumptions</i>	<ul style="list-style-type: none"> <li>▪ There is a lack of the use of the central post opening/handling team. There are several teams spread across each Directorate that handle post in similar ways that creates inefficiencies as there are several people doing essentially the same tasks that could be dealt with by just one team.</li> <li>▪ Northgate will be able to provide guidance on how we can improve our use of Information at Work.</li> <li>▪ Extra staff resources would be required in the short-term for the Business Support Teams to support with the interim changes of dealing with post. Staffing resources within the organisation could be reviewed to see if it is possible to relocate staff to complete this work. If not possible, then temporary staff would be required to complete this work until volumes are assessed.</li> </ul>

	<i>Benefit</i>	<i>Measure</i>
<i>Benefits</i>	Increased potential for staff to work from home/flexibly (Corporate Objective Benefit).	Establish baseline data for current home/flexible working staff and increase the %age.
	Increased usage of information@work and Workflow to support staff to work more flexibly (Corporate Objective Benefit).	Establish baseline data for current usage of Information at Work and Workflow and increase the %age.
	Increased usage of information@work and workflow will require less accommodation for document storage. (Corporate Objective Benefit)	Reduced storage requirement for the Service Accommodation Review Project (P002).
	Reduced processes deemed	Measure current post handling (via

unnecessary within post handling chains, to release staff time savings, in particular time spent by staff walking around the building delivering items of post. (Non-Cashable Benefit)	process mapping and timed completion) and reduce the time taken to process elements.
Reduced officer time for dealing with the post (Efficiency Benefit).	Measure baseline data for staff resources currently dealing with the post and check in future.
Increased security of information via audited processes and consistent approaches (Effectiveness Benefit).	Establish baseline of instances where customer data has been handled negatively (e.g. loss of documents such as passports)
Increased ability for the Customer Contact team to respond to enquiries. (Effectiveness Benefit)	Increase in queries being satisfactorily concluded at the first point of contact. Links with the Customer Contact Project (P001)
Reduced travel costs and less impact on the environment (supporting the Green Agenda)	Less journeys by the messenger service to the satellite offices when transferred to digital post

## **Project team**

<i>Role</i>	<i>Name</i>	<i>Responsibilities</i>
Assistant Director - Benefits	Janet Twinn	Project Sponsor
Business Manager	Sharon Lekha	Project Manager
Senior Project Improvement Officer	Gareth Nicholas	Transformation Lead
ICT Operations Manager (Service)	Steve Bacon	ICT representative
Business Analyst	Dave Wood	Information at Work rep
CSA&P Manager	James Carstairs	Communities rep
Customer Services Manager	Gaynor Atkinson	Resources rep
Benefits Compliance Manager	Lynn Smith	Resources rep
Service Business Manager	Peter Millward	Governance rep
Communities Support Manager	David Clifton	Communities rep
Business Support Team Leader	Tracy Watts	Neighbourhoods rep
Business Process Team Co-ordinator	Shelagne Sheldrake	Resources rep
Communities Support Team Leader	Kay Cobbin	Communities rep

## ***Project plan***

### **Key deliverables, milestones and acceptance criteria**

<i>Key deliverable</i>	<i>Start date</i>	<i>End date</i>	<i>Lead officer</i>	<i>Acceptance criteria</i>
Project Charter		March 2016	Janet Twinn	Agreed by Transformation Programme Board (TPB)
Discovery stage	Apr 2016	Oct 2016	Janet Twinn/Gareth Nicholas	Current document processing practices identified
Prototype of electronic post-delivery for Council Tax Recovery, Benefits Compliance and Business Rates	July 2016	Feb 2017	Sharon Lekha	Paper post delivered electronically
Project Initiation Document (PID)	Sep 16	Mar 2017	Janet Twinn	Agreed by TPB
Information@work implementation timetable	Nov 2016	Nov 16	Steve Bacon	Timetable completed
Information@work consultant visit	Nov 2016	Nov 2016	Sharon Lekha	I@W consultant visits and advises on areas for improvement
Visit to Islington Council		Dec 2016	Sharon Lekha	Visit completed and information gathered
Review of Housing filing system structure in information@work	Dec 2016	Mar 2017	David Clifton/Steve Bacon	Northgate to be consulted and site visits carried out to review whether the current Housing file system in information@work needs to be revised
Visit to Dacorum Council		Jan 2017	Sharon Lekha	Visit completed and information gathered
Set up of information@work User Group for EFDC users	Jan 2017	Feb 2017	Steve Bacon	User group meetings taking place on a regular basis
Recruitment of specialised information@work officer in ICT	Mar 17	May 17	Steve Bacon	Appointment of officer
Establish next prototype phase for electronic post delivery	Apr 17	Sept 17	Sharon Lekha	Next service team agreed and paper post delivered electronically

<i>Key deliverable</i>	<i>Start date</i>	<i>End date</i>	<i>Lead officer</i>	<i>Acceptance criteria</i>
Import and index/Microsoft office training provided for incoming and outgoing electronic post/documents where appropriate	Apr 2017	June 2017	Steve Bacon	Successful delivery and documents not being printed and then scanned unnecessarily
Amendments to Housing filing system in information@work and roll out of the use of workflow in the Communities Directorate	Apr 2017	Mar 2018	Steve Bacon/David Clifton	Use of workflow by Communities staff
Review of staffing structure in Resources Business teams when more Service areas start using workflow, as a result of assessing volumes of work.	End of Apr 2017	Oct 2017	Sharon Lekha	Review of volumes of work and staffing completed – additional staff in place in Resources Business teams if required
Establish next prototype phase for electronic post delivery	Sept 2017	Feb 2018	Sharon Lekha	Next service team agreed and paper post delivered electronically
All EFDC staff using either information@work with workflow or a document management system within their core systems		Mar 2018	ICT/Directors	Staff processing work through IT solutions
Establish next phase, review PID and take to Transformation Programme Board for approval		March 2018	Janet Twinn	Staged review of the project, PID updated with next phases and agreed by TPB

# Headline plan

2016/17

2017/18

	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Project charter	▶																								
Discovery stage		▷	▷	▷	▷	▷	▷	▶																	
Prototype of electronic post-delivery					▷	▷	▷	▷	▷	▷	▷	▶													
Project Initiation Document (PID)							▷	▷	▷	▷	▷	▷	▶												
Information@work consultant visit									▶																
Information@work implementation timetable									▶																
Visit to Islington Council										▶															
Review of Housing filing system in I@W										▷	▷	▷	▶												
Visit to Dacorum Council											▶														
Set up of information@work user group for EFDC users											▶														
Recruitment of specialist information@work officer in ICT													▷	▷	▶										
Establish next prototype phase for electronic post delivery														▷	▷	▷	▷	▷	▶						
Importing and indexing training														▷	▷	▶									
roll out of the use of workflow in the Communities Directorate														▷	▷	▷	▷	▷	▷	▷	▷	▷	▷	▶	
Review of staffing structure in Resources Business Teams														▷	▷	▷	▷	▷	▷	▶					
Establish next prototype phase for electronic post delivery																			▷	▷	▷	▷	▷	▶	
All EFDC staff using either information@work or document management system																								▶	
Establish next phase, review PID and take to Transformation Programme Board for approval																								▶	

Key: ▷ = activity period, ▶ = completion / key deadline

## Budget plan

<i>Period</i>	<i>2016-17</i>	<i>2017-18</i>	<i>Comments</i>
<i>Capital</i>		£26,950	ICT grade 5 officer role (incl. on costs) PA, - to be funded via existing ICT budget
<i>Capital</i>		£10,000	Consultant costs (£1k per month for 10 sessions; 1 per month). 4 sessions funded from Revenues existing budget and 6 sessions funded from ICT existing budget
<i>Revenue</i>		£8,500	Approx. cost for secondment of staff to the Business Support office/temporary member of staff (if required) 0.5 FTE Based on mid-point of grade 2.
<i>Savings</i>		To be confirmed	Potential savings for ICT hardware costs (A3 scanners) Potential savings on staffing structure

## Communication management strategy

<i>Stakeholder</i>	<i>Needs</i>	<i>Communications</i>
Project Team	Findings from detailed work	Meetings, discussions
Staff	Information, ongoing Training, Set up and Troubleshooting	District Line article(s), Intranet, Staff procedural notes, regular Staff and ICT updates, staff briefings, team meetings
Leadership Team (LT)	Information. Rollout plan, Out of Scope Services	LT Presentation/Discussion
Transformation Programme Board	Progress reports	Reports, meetings, discussions, presentations
The Cabinet	Progress Updates Possible Funding needs	Highlight reports, Transformation Updates
The Council	Information	Members Bulletin and Cabinet

<i>Stakeholder</i>	<i>Needs</i>	<i>Communications</i>
Partners	None	N/A
Customers and residents	None	N/A

## **Risk log**

<i>Description</i>	<i>Likelihood</i>	<i>Impact</i>	<i>Score</i>	<i>Control measures</i>
Staffing levels in business support office require an increase by 1x member of staff 0.5 FTE. Temporary role until the volume of work is known. Project deliverables could be at risk if not in place by June 2017	A Very High	4 Major	A4 Very High	Using existing staffing resources from other service areas or Temporary Staff member in post, by June 2017
The retention of paper documents and the non-use of workflow will seriously impact on the ability for staff to work at home	A Very High	4 Major	A4 Very High	The risk can be addressed through the corporate use of i@w and workflow
The retention of paper documents and the non-use of workflow will seriously impact on the ability of the Customer Contact team to respond to queries at the first point of contact	A Very High	4 Major	A4 Very High	The risk can be addressed through the corporate use of i@w and workflow
An increase in post handling and scanning and indexing by a centralised team will require additional resources in the Resources Business Teams	A Very High	4 Major	A4 Very High	If required, existing staff can be transferred to the Resources Business Teams when a review of Directorate staffing levels is carried out
A requirement for file storage accommodation	B High	4 Major	B4 High	Electronic post and correspondence handling will reduce the requirement for file storage accommodation
The project overlaps with other ongoing transformation projects resulting in a lack of progress due to different projects having different outcome aims	B High	4 Major	B4 High	Liaison with other project managers. Completion of monthly highlight reports to the Transformation Project Board and Cabinet

<i>Description</i>	<i>Likelihood</i>	<i>Impact</i>	<i>Score</i>	<i>Control measures</i>
A lack of expertise could result In i@w not being set up in the best way	B High	4 Major	B4 High	Exploration of dedicated additional i@w expertise in ICT
A lack of expertise could result In documents not being indexed correctly	B High	4 Major	B4 High	Directorates to ensure robust indexing processes are made available linked to Document Reference Indexes
A lack of expertise could result in lack of knowledge of functionality on i@w	B High	3 Moderate	B3 High	Exploration of dedicated additional i@w expertise in ICT
Usage of i@w cannot be standardised, owing to different requirements and business systems there is a risk that i@w will remain as a silo function and not used corporately	B High	3 Moderate	B3 High	The project group will continue to work on information share and issuing of guidance. On-line help/guidance will be available. A consultant has been engaged to give advice on corporate functionality
Staff not willing to move to a DMS and use the workflow functionality	C Medium	4 Major	C4 Medium	Clear communication to staff and in depth standardised training to be provided. Clearly identified Directorate champions
Lack of available funding to implement any recommendations for improvement	C Medium	4 Major	C4 Medium	Robust business case presented to TPB and Cabinet if required
Incorrect scanning and indexing could result in documents being 'lost' in i@w	C Medium	3 Moderate	C3 Medium	Dedicated scanning and indexing staff. Robust training for indexing process
Business processing team prioritise other work over scanning/indexing	C Medium	3 Moderate	C3 Medium	SLAs are required and must be adhered to for scanning to be effective

<i>Description</i>	<i>Likelihood</i>	<i>Impact</i>	<i>Score</i>	<i>Control measures</i>
An increase in centralised post handling, scanning and indexing will require a review of staff within the Directorates who currently handle post.	C Medium	3 Moderate	C3 Medium	If required, existing staff can be transferred to the Resources Business Teams when a review of Directorate staffing levels is carried out
Rumour and misinformation	B High	2 Minor	B2 Medium	Clear communications with staff are essential to the success of the project
The retention of the current method of distributing post can lead to documents being lost and compensation payments continue to be paid	D Low	3 Moderate	D3 Low	The risk can be addressed through the use of i@w

### ***Project approval***

<i>Role</i>	<i>Name / signature</i>	<i>Date</i>	<i>Version</i>
Project Manager	S Lekha	23.12.16	1.0
Project Sponsor	J Twinn	23.12.16	1.0

### ***Version control***

<i>Version</i>	<i>Date</i>	<i>Author</i>	<i>Nature of / reason for changes</i>
1.0	23.12.16	G Nicholas	Draft
2.0	23.03.17	Janet Twinn Sharon Lekha David Bailey Gareth Nicholas	Amendments from PMO feedback
3.0	24.04.17	G Nicholas	Amendments to budget information from TPB Feedback from

### ***Distribution***

<i>Role</i>	<i>Name</i>	<i>Date</i>	<i>Version</i>
Member	Project Team	24.11.2016	1.0
Member	Programme Management Office	11.01.2017	1.0
Member	Transformation Programme Board	05.04.2017	2.0