



Finance & Performance Sub Committee

25 March 2019

Paperless Programme

Purpose of report

To obtain support for the recommendation to Finance and Performance Sub Committee by the Transformation Committee to approve the budget for the next phase of the Paperless Programme.

Attachments:

Appendix 1: Initial Equality Impact Assessment Form

Appendix 2: Privacy Impact Assessment

1.0 Background

- 1.1 The aim of the paperless work stream is to digitise all paper based business as usual processes and back scan all paperwork that needs retaining. This paper is specifically focussed on the back scanning element.
- 1.2 There have been a number of projects which have attempted to resolve the issue of paper files over the years but have failed due to lack of resource, inappropriate retention schemes and poor quality of external scanning work. In some cases the files have been left with very limited information which does not meet the requirements of legislation pertaining to the file type.
- 1.3 Phase 1 of the Paperless Programme (Planning Data Project) started at the end of 2016 and has successfully addressed these historical issues and, moreover, has already realised the success factors outlined in Section 2 below.
- 1.4 Phase 1 of this work stream successfully digitised 70 years worth of planning applications – a total of 28,880 applications.
- 1.5 We are now looking to close down Phase 1 and progress with Phases 2 and 3 of the Paperless Programme and successfully digitise processes in other areas of ENC.
- 1.6 As the Unitary process progresses, this would align us with the other local authorities across North Northamptonshire who have already embarked on digitisation programmes.
- 1.7 The business case for this project was taken to Transformation Committee on 6th March 2019 as an Appendix to another paper; “Item 6 – Preparing for Unitary”
- 1.8 The presentation of the Appendix to this paper sought approval on the principles of this project.
- 1.9 The Preparing for Unitary Paper saw Transformation Committee endorse Option 1 of the Paperless Proposal and recommend to Finance and Performance Sub Committee to approve the budget required to deliver Phases 2 and 3 of the Paperless Programme

2.1 The Project

2.1.1 We are now looking to digitise processes and back scan applications relating to:

- Building Control
- Planning Services (Tree Preservation Orders & Enforcement)
- Environmental Services (Accident Reports, Commercial Premises, Service Requests & Infectious Diseases)
- Housing (Residential Premises & Housing Assistance)
- Licensing (Personal Licenses, Premise Licenses & Gambling Licenses)

2.1.2 Completing a successful back scanning programme would allow us to:

- Bring ENC in line with the digitisation status of our North Northamptonshire counterparts as Corby BC, Kettering BC, BC Wellingborough and Northamptonshire CC already work with digitised data and documentation.
- Prevent ENC staff, residents and customers being disadvantaged by comparison as they do not have the same versatility and level and ease of access to documentation as those in the surrounding Districts and Boroughs.
(Whilst many of the documents within this phase are not public facing, our customers and residents would undoubtedly benefit from our staff having better access to documentation when dealing with their cases, applications and queries).
- Prepare staff and ENC for the amalgamation into the North Northamptonshire authority. In having a modern approach to working, we can confidently participate in joint working and best practice initiatives with our North Northamptonshire colleagues on an equal basis.
- Have digital single points of reference to cases and associated data that can be accessed from anywhere with an internet connection. This includes enabling future mobile working across ENC and possible satellite working as we head into a Unitary Authority
- Comply with General Data Protection Regulation (GDPR) as all document files are assessed and categorised allowing an automated retention schedule to be applied to them.
- Implement the Office Transformation Programme in any department where this work has been completed. Including a massive reduction in storage space requirements which allows us to provide spare workspaces and areas for progressing joint working with other authorities and agency partners as we move towards the North Northamptonshire model.
- Reduce the time taken to respond to Freedom of Information or Subject Access Requests, as it is much quicker to search and collate a single digital system rather than multiple paper systems.
- Reduce wastage of administrative staff time as it is far easier to search and access digital data than paper files. The requirement to apply a manual retention process is also removed.

2.2 Scope

- 2.2.1 The Transformation Committee endorsed Option 1 of the submitted Paperless Proposal (6th March 2019). Therefore the scope is defined as per this Option.
- 2.2.2 The data in scope includes documents that are currently required as per agreed retention periods for;
- Building Control
 - Planning Services (Tree Preservation Orders & Enforcement)
 - Environmental Services (Accident Reports, Commercial Premises, Service Requests & Infectious Diseases)
 - Housing (Residential Premises & Housing Assistance)
 - Licensing (Personal Licenses, Premise Licenses & Gambling Licenses)
- 2.2.3 The date range in scope varies for each application type. The full details of the exact retention periods applicable to each application type are available on request.
- 2.2.4 Approximately 54,000 files have been identified for back scanning in this project. A more detailed audit of files is currently underway to understand where we may have gaps in information and to prepare files for either an external back scanning exercise or, as an absolute minimum; an internal retention exercise

2.3 Exclusions, assumptions and constraints

- 2.3.1 The current project proposal (and costing) does not include:
- Any Environmental Services, Licensing or Building Control Application types not outlined in the scope.
 - The procurement and configuration of DMS modules not already in existence. If appropriate, this will be addressed under the iDOX Programme Work stream.
 - Identification of individual document types within an application file by the scanning company.
 - Redaction of any documentation.
 - Employment of additional resource to speed up the file preparation process.
 - Any additional documentation (outside of applications pertaining to cases held on Uniform) relevant to the Service Area that could be digitised. For example knowledge libraries, procedures or legislation references.
- 2.3.2 Considerable work has been undertaken to reach this point, including checking example files for all service areas to assume an average number of documents per file type.
- 2.3.3 Work outstanding for completion includes:
- Implementation of manual retention – removing unnecessary documentation from within paper files as per the agreed retention periods. This can be carried out as part of the preparation process for submitting files for scanning.
 - Completion of a paper audit – The figures that have been submitted for quotation have been taken from Uniform (the database software used to record all applications). It is now necessary to carry out a paper audit to tally all of the paper files against the digital records. This will also include a file amnesty to be put in place to retrieve missing files (e.g. files held with officers rather than in the appropriate storage locations).

2.3.4 This project will work in parallel with the iDOX programme which incorporates development and configuration of the iDOX Document Management System to house electronic documents (both historic and going forward).

2.3.5 There is limited internal resource for file preparation and it is anticipated that “retention days” where specific tasks are picked up by the wider team, will be required to assist with this task.

3.0 Important issues to consider

3.1 Local Authorities in general are considering more options which improve customer self service, mobile working and business processes. We are already working towards paperless working for new applications but the changes in process do not impact on the historic documents.

3.2 There is a general need to reduce the amount of paper held by the council, which will enable us to make better use of office space across the site.

4.0 Equality and Diversity Implications

4.1 An initial Equality Impact has been carried out and all equality and diversity implications are currently neutral. Neither a positive nor a negative impact has been identified. The initial Equality Impact Assessment is attached at Appendix 1

5.0 Privacy Impact Implications

5.1 An initial Privacy Impact Assessment is attached at Appendix 2, which has been approved following discussion with the Data Protection Officer, and confirms that there are no privacy concerns at this stage. The situation will be kept under review and if any privacy concerns arise, appropriate measures will be taken to protect the council’s data.

5.2 This project allows the council the opportunity to continue delivery of its GDPR action plan following a recent internal audit.

6.0 Legal Implications

6.1 If approved, the project will require an extension to the current IDOX contract.

6.2 Advice will be taken from Welland Procurement Unit to ensure we do this within procurement rules. If the budget required is signed off by the Finance and Performance Sub Committee a request for guidance will be submitted to Welland Procurement and LGSS law on the best way to proceed.

7.0 Risk Management

Risk	Mitigation
There is a risk to the Council’s ability to comply with the GDPR if the next phases of the Paperless Programme are not completed, specifically around data retention periods and redacting personal data.	Complete the Paperless Programme

There is a risk that failing to invest in staff development, failing to deliver a high-class working environment and failing to provide better opportunities to work electronically and remotely will all impact on the recruitment, motivation and retention of staff.	Complete the Paperless Programme
---	----------------------------------

7.2 The project risks will continue to be reviewed, and mitigation plans developed, as the project progresses.

8.0 Resource and Financial Implications

8.1 This report seeks approval to invest in the next phases of the Paperless Programme. This would allow for (but is not wholly limited to) the preparation and back scanning of paper application files and the management and upload of the digitised files into the Document Management System. The investment will require support from members of the Business Transformation Team and staff within the relevant service areas.

8.2 Approval is sought to invest £157,000 from the Local Government Re-organisation reserve.

8.3 Funds were added to the Local Government Re-organisation reserve in 2017/18, bringing it up to £361,000. £67,000 of this has been invested subsequently in expanding the Business Transformation Team. Approving the £157,000 requested for the Paperless Programme will still leave approximately £137,000 in the reserve for any remaining future investments.

8.4 These funds are separate from the £500,000 set aside by Council in August 2018 for unitary preparation. This is also held in the Local Government Re-organisation reserve.

8.5 We are soon to close down Phase 1 of the Paperless project, for which we are currently forecasting an underspend. This underspend would allow us to add a reasonable 10% contingency to deliver Phases 2 and 3.

8.6 We are therefore also seeking to add any underspend from Phase 1 to the requested £157,000 as a contingency to deliver Phases 2 and 3.

9.0 Constitutional Implications

9.1 The report does not have any constitutional implications at present. Any constitutional implications that arise in future will be assessed at the time.

10.0 Implications for our Customers

10.1 Little impact is expected on customers. Any implications for customers will be assessed as the project progresses.

11.0 Corporate Outcomes

11.1 The Corporate Outcomes are:

- Good Value for Money – The next phases of the Paperless programme will reduce the demands for physical space and will allow more flexible working.
- Effective Partnership Working – The proposals will improve ENC staff members'

ability to work more effectively with other councils' staff, before and after the move to unitary status.

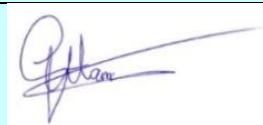
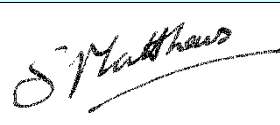
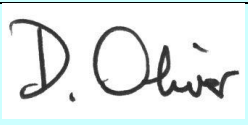
- Effective Management – The next phases of the Paperless programme will allow the Council to manage its data more effectively, in line with the GDPR.
- High Quality Service Delivery – The proposals will improve ENC staff members' ability to deliver high quality services, through modern use of their data.
- Knowledge of Customers and Communities – The next phases of the Paperless programme will allow staff greater access to data, in a more flexible way, improving their ability to know more about their customers and communities in real time without needing to return to a fixed location.
- Employees and Members with the Right Knowledge, Skills and Behaviours – The project will ensure staff are better skilled

12.0 Recommendation

12.1 The Sub Committee is recommended to:

- (1) Approve the recommendation from the Transformation Committee for a budget of £157,000, to be funded from the Local Government Re-organisation reserve to deliver the remaining phases of the Paperless Programme.
- (2) Approve any underspend from Phase 1 to be added to the requested £157,000 as contingency to deliver Phases 2 and 3.

(Reason – to ensure GDPR compliance and to ensure our workforce is suitably skilled)

Legal	Power: General Data Protection Regulations (GDPR) 2018				
	Other considerations:				
Background Papers: Papers – Preparing for Unitary - Item 6, Transformation Committee 6 th March 2019 Planning Data Project – Item 9, Policy & Resources Committee 11 th July 2016					
Person	Originating	Keri Watson, Business Analyst			
Report:		☎ 01832 742280 ☒ kewatson@east-northamptonshire.gov.uk			
Date: 07 March 2019					
CFO		MO		CX	
13/03/19		13/03/19		13/03/19	

Initial Equalities Impact Assessment

Appendix 1

Title of proposal being assessed:	<i>Paperless Programme</i>
What type of proposal is this an assessment of?	<i>Project</i>
What are the aims and/or objectives of the proposal and the intended outcomes?	<i>Delivering better value for money to the council tax and business rates payers, Ensuring our services are best in class to ensure minimum disruption after the unitary transition Providing a fresh working environment with the best facilities, and offering competitive terms and conditions, to attract, motivate and retain the best quality workforce, Developing our workforce's skills to prepare them for the unitary future.</i>
Who is intended to benefit from this proposal?	<i>Residents, businesses and workforce</i>
Who are the main stakeholders in relation to the proposal?	<i>Residents, businesses and workforce</i>
How is the success of the proposal to be measured?	<i>Better value for money, Delivery of best in class services, A fresh working environment with the best facilities, A well-developed workforce.</i>
Name of person completing Initial Screening:	<i>Jeremy Rawling</i>
Job title / role of person completing Initial Screening:	<i>Business Transformation Manager</i>
Date of Initial Assessment	<i>14/02/2019</i>

Instructions: For **every** category in column A, below, submit a positive, negative or neutral assessment by entering an **x** in the relevant cell. Add an explanation in the Reason box, where applicable, including a specification of any sub-group affected. There may be both a positive and negative impact for the same category (e.g. a policy may be positive for young children but negative for older people).

Equality Group	Positive Impact	Negative Impact	Neutral Impact	Explanation and Evidence (e.g. data, consultation results, customer feedback)
Gender:				
Consider Women/Girls, Men/Boys, Transgender individuals.			X	
Sexual Orientation:				
Consider, for instance: Lesbians, gay men and bisexuals Any other sexual orientation			X	
Race/Ethnicity:				
Consider, for instance: • White British people, • White non-British people • Asian or Asian British people • Black or Black British people • Chinese people • People of mixed heritage • Travellers (Gypsy/Roma/Irish heritage) • People from any other ethnic groups • People who do not have English as their first language			X	
Disability:				
Physical impairment, e.g mobility issues which mean using a wheelchair or crutches.			X	
Sensory impairment, e.g blind/having a serious visual impairment, deaf/having a serious hearing impairment.			X	
Mental health condition, e.g depression or schizophrenia			X	
Learning disability/difficulty, e.g. Down's syndrome or dyslexia, or cognitive impairment such as autistic spectrum disorder			X	
Long-standing illness or health condition, e.g. cancer, HIV. Diabetes, chronic heart disease or epilepsy			X	
Other health problems or impairments (<i>please specify if appropriate</i>)			X	
Marriage and Civil Partnership:				
People in a Marriage or Civil Partnership			X	
Pregnancy and Maternity:				
People who have just had a baby or who are pregnant.			X	
Age:				
Older People (60+)			X	
Children and Young People (see guidance for definition)			X	

Religion/Belief:				
Consider, for instance: <ul style="list-style-type: none"> • Christian • Hindu • Muslim • Sikh • Buddhist • any other religion or belief (including holding no belief) 			X	
Other Potentially Affected Groups				
Rural Isolation - People who live in rural areas e.g isolated geographically, lack of internet access			X	
Socio-economic Exclusion – e.g. people who are on benefits, have low educational attainment, single parents, people living in poor quality housing, people who have poor access to services, the unemployed or any combination of these and the other protected strands			X	
Any other potentially affected groups (<i>please specify</i>)			X	

Appendix 2

Privacy Impact Initial Assessment Form

For ease, where the term 'project' is used, it will refer equally to a project, review of a process, or a policy for the purposes of the assessment.

Policy/Project Name:	Paperless Project
Reference/Identifier (e.g. Project number)	
Name of project/policy owner:	Keri Watson
Date of assessment:	18 th February 2019 (for the Preparing For Unitary Paper)

Will the project/policy result in the collection/use/control of any Personal Data?

	Please tick	Next step...
No		If no, you need take no further steps. Save and submit this form with your policy, or save it with your project documentation.
Yes	Y	If yes, answer the questions below. Submit the completed form to the Information Governance Manager.

For projects/policies utilising personal data, please answer all questions. Please provide relevant explanations/descriptions:

Will the project involve the collection of new information about individuals?	No
Will the project compel individuals to provide information about themselves?	No
Will information about individuals be disclosed to organisations or people who have not previously had routine access to the information?	The information will be handled by a scanning company prior to it being uploaded to the DMS. We will seek assurance from the company that their data protection policies and processes are compliant before disclosing any data, in conjunction with the Data Protection Officer.
Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?	No

Does the project involve you using new technology which might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.	No
Will the project result in you making decisions or taking action against individuals in ways which can have a significant impact on them?	No. Decisions will be made about setting and enforcing appropriate data retention schedules, in conjunction with the Data Protection Officer. It is not considered that this will have a significant impact on individuals.
Is the project likely to raise privacy concerns or expectations? For example, using health records, criminal records or other information that people would consider to be particularly private.	No
Will the project require you to contact individuals in ways which they may find intrusive?	No