

***Transformation Task and Finish Panel
Tuesday, 1st August, 2017***

You are invited to attend the next meeting of **Transformation Task and Finish Panel**, which will be held at:

**Committee Room 1, Civic Offices, High Street, Epping
on Tuesday, 1st August, 2017
at 7.30 pm .**

**Glen Chipp
Chief Executive**

**Democratic Services
Officer**

A Hendry, Governance Directorate
Tel: 01992 564246 Email:
democraticservices@eppingforestdc.gov.uk

Members:

Councillors A Patel (Chairman), S Kane (Vice-Chairman), N Avey, R Baldwin, R Bassett, N Bedford, R Brookes, K Chana, D Dorrell, S Heap, L Hughes, M Sartin, B Surtees and H Whitbread

SUBSTITUTE NOMINATION DEADLINE: 6.30pm

- 1. APOLOGIES**
- 2. SUBSTITUTE MEMBERS (COUNCIL MINUTE 39 - 23.7.02)**
- 3. DECLARATIONS OF INTEREST**

(Director of Governance). To declare interests in any items on the agenda.

In considering whether to declare a personal or a prejudicial interest under the Code of Conduct, Overview & Scrutiny members are asked pay particular attention to paragraph 11 of the Code in addition to the more familiar requirements.

This requires the declaration of a personal and prejudicial interest in any matter before an OS Committee which relates to a decision of or action by another Committee or Sub Committee of the Council, a Joint Committee or Joint Sub Committee in which the Council is involved and of which the Councillor is also a member.

Paragraph 11 does not refer to Cabinet decisions or attendance at an OS meeting purely for the purpose of answering questions or providing information on such a

matter.

4. MINUTES FROM LAST MEETING (Pages 3 - 10)

To agree the notes of the meeting of the Task and Finish Panel held on 29 June 2017.

5. PROJECT LIFE CYCLE - PRINTER MIGRATION (Pages 11 - 38)

(Head of Transformation) To look at one Transformational project from start to finish. See the attached documents.

6. RISK MANAGEMENT STRATEGY (Pages 39 - 52)

(Head of Transformation) to consider the process of Risk Management in more detail.

7. POTENTIAL RISK MANAGEMENT ASSESSMENT (Pages 53 - 62)

(Head of Transformation) to consider an example of the two stage process on potential risk management assessment.

8. DEMONSTRATION OF COVALENT

(Head of Transformation) to receive a demonstration of the Covalent system.

9. OVERVIEW OF HIGH LEVEL PROJECTS

(Head of Transformation) Report to follow.

10. DATE OF NEXT MEETING

The following dates have been identified as being available for the next meeting of this Panel:

- Tuesday, 29 August;
- Wednesday, 30th August;
- Thursday, 31 August;
- Thursday, 7th September;
- Monday, 11th September; and
- Thursday, 14th September.

Members are asked to consider which would be the most suitable date for the next meeting.

**EPPING FOREST DISTRICT COUNCIL
NOTES OF A MEETING OF TRANSFORMATION TASK AND FINISH PANEL
HELD ON THURSDAY, 29 JUNE 2017
IN COMMITTEE ROOM 2, CIVIC OFFICES, HIGH STREET, EPPING
AT 7.30 - 9.11 PM**

Members Present:	A Patel (Chairman), S Kane (Vice-Chairman), N Avey, R Baldwin, R Brookes, K Chana, D Dorrell, S Heap, L Hughes, M Sartin and B Surtees
Other members present:	C Whitbread and G Mohindra
Apologies for Absence:	R Bassett (Vice Chairman of the Council), N Bedford and H Whitbread
Officers Present	G Chipp (Chief Executive), P Maddock (Assistant Director (Accountancy)), D Bailey (Head of Transformation), O Shaw (Head of Customer Service), S Hill (Assistant Director (Governance)) and A Hendry (Senior Democratic Services Officer)

1. SUBSTITUTE MEMBERS (COUNCIL MINUTE 39 - 23.7.02)

It was noted that there were no substitute members for this meeting.

2. DECLARATIONS OF INTEREST

There were no declarations of interest made pursuant to the Member Code of Conduct.

3. TERMS OF REFERENCE

The Panel considered and agreed their Terms of Reference.

4. TRANSFORMATION PROGRAMME

The Panel considered the report that set out to answer the questions (a to r) posed at the special Resources Select Committee meeting held on 10 April 2017.

Mr Bailey the Head of Transformation took the Panel through the report, highlighting that transformation was about change management.

Councillor Surtees asked if there was an overarching aim or idea for the whole organisation and Mr Bailey replied that effectively change did not stop instead it ebb and flowed over time. Councillor Chris Whitbread, Leader of the Council, noted that it was to make the Council fit for the 21st Century and was not something that would just be happening now; it would go on for decades. It was important to have a low Council tax and to keep our front line services. Councillor Kane added that it was best looked at as a way of managing that change. Mr Bailey noted that it was useful to note that transformation was charged with realising four key benefits, that of:

- Recognising what customers' value about our services and placing them at the heart of everything we do;
- Focussing on getting things right first time through joined up services;
- Reducing red tape to simplify how we work; and

- Delivery of resource savings and income generation, to keep Council Tax low.

The vast majority of work was to deliver the Corporate Plan and deliver the various projects.

Councillor Sartin asked what would have happened if the Council had not set up the Transformation Programme. Mr Bailey answered that we would have continued the way we were; with some good projects and a majority of so-so projects and some less than good. We were now looking for a larger range of change than we have in the past. Mr Chipp, the Chief Executive, agreed that progress would have been slower and less joined up. We would be able to have big structural changes on the back of this and would be able to look at projects on a corporate basis and prioritise them. Councillor Whitbread said that this pulled all the projects together, such as putting two buildings into one, which was a bold move. Areas such as the customer facing project were making this Council less of a silo based organisation than we used to be.

Councillor Avey wondered about the use of external contractors and would it be better in house.

Mr Bailey spoke about the answer to question 'd' and the four drivers for change as detailed in the Corporate Plan 2015/20. They were:

- Our customers and their needs are changing;
- Our customers expect modern, customer focussed services;
- Our customers demand well-managed, value for money services; and
- Our customers want us to reduce our costs and protect front line services.

The new draft Corporate Plan would be made available on line. The management of all change within the authority was organised into workstreams, each containing a set of transformation programmes and projects, arranged in a timeline as tranches. Existing projects from the Corporate Plan: Key Action Plan will feature in the workstreams, alongside new projects.

Initial analysis of corporate strategies and plans had led to the identification and organisation of transformation opportunities into four workstreams:

- Customer experience;
- Business culture;
- Resources, accommodation and technology; and
- Major projects (C-073-2015/16).

Councillor Surtees said that we wanted better services and not just better delivered ones. Councillor Whitbread noted that we used to do highways better than the County. We do deliver better services, just look at leisure services and what we did for it by putting it out to contract.

Councillor Surtees asked what Business Culture was. He was told that was how the council ran the business behind the services it provided. Mr Chipp added that the business culture introduced a set of corporate values etc. It also helped reduce the 9 silos down to the 4 we have now, although there was still some vestige of this left. We needed to be more agile in the way we worked especially in accommodation. We needed to drive improvement constantly. We tended to try things, make small changes and see if they worked and then push them out across the council. We could also use consultants to drive change.

Councillor Brookes noted that in 2008, some councillors saw Harlow's new Contact Centre, which was very impressive. It would be a great help here. Mr Chipp said that they had moved on from that now, it was also about channel shift and working with social media. Mr Bailey added that they were looking to do customer services work across the organisation, but this had to be done at a higher level across the whole council.

Councillor Mohindra asked if we should be improving the Council's switchboard. Mr Chipp said that we needed to get it all right, such as improving our website and making it more transactional not just improving telephone calls. Mr Hill (Assistant Director Governance and Performance Management) agreed, saying that was a good example as we needed to make it consistent for the customer.

Mr Bailey noted that attached to the report was a project list, which could be given by their work streams or by their risks.

Mr Maddock (Assistant Director Accountancy) explained the budget for the Transformation Programme noting that the programme had an initial budget of £100,000 from the District Development Fund. It was now funded from two funds, the Housing Revenue Account and the General Fund; the General Fund was split into three, the Continuing Services Budget, the District Development Fund (for one off projects) and the Invest to Save Fund, to deliver future savings. All four funds funded the Transformation Programme in some form.

Councillor Kane noted that this would fund all the projects listed. But where did the funding for the Transformation Programme come from in its management role. Mr Maddock said that costs came from Management Board through the CSB and the DDF. Councillor Mohindra asked how this could be tracked and how much was spent on this programme. Mr Maddock replied that this could be tracked from the CSB/DDF lists.

Mr Chipp commented that a lot of projects sat within the individual service plans and some have been on the books for some years. We wanted to put a time scale in and if they were worth doing, do it in one hit by funding it. Projects such as the 'one contact centre' once completed, would make saving for all four directorates. All projects would have a business case made for it and you would be able to track how it was going financially or otherwise. Other projects would usually report to the Select Committees on their progress.

Councillor Sartin asked if at the end of the programme could you quantify what was achieved to what was spent. Mr Chipp replied that they should be able to show a set of benefits and lower costs and efficiencies, along with delivering better services. The Corporate Plan would list the benefits we wanted.

Councillor Mohindra added that we had to change our culture to make us fit for purpose.

Councillor Kane said that this meeting should be looking to establish what we would be scrutinising to gauge a projects performance. We needed to evaluate progress made. Councillor Whitbread said that this would come from each business plan for each project. Mr Bailey said we often thought of success as a completed project but not ask if it was of benefit to our customers. That may come sometime later when we could measure if it was on cost and on time. Success could be measured at different points during and after the completion of the projects.

Councillor Whitbread said that we saved money on our printer strategy but this was not for our customers. They benefited from our Leisure Management project and our waste collection project. All were transformational.

Councillor Patel proposed that at the next meeting we look at one project and follow it through, looking at the drivers etc. through to completion. This was agreed by the members.

AGREED: at the next meeting we look at one project and follow it through, looking at the drivers etc. to completion.

The Chairman moved the meeting on to look at question 'f', "the cost of the management of the programme" and asked if we could allocate time and resources of officers to the programme. Mr Bailey said this would be possible through 'Covalent', to look at risks and benefits. Councillor Kane said this could be used for future scrutiny.

Mr Bailey went on to question 'g', noting that the Transformation Programme Board and Management Board considered new projects. A lot of these were detailed in Cabinet reports. A number of projects came up through Corporate Planning and Staff Suggestions, although these were usually smaller things (improvements), not usually classed as projects. They were trying to move away from being 'solution focused' and were trying to understand what the problem was that they were trying to solve. They needed to understand what the benefits they were trying to get to were. To look at the drivers and select the projects that got more impact for the Council.

Councillor Whitbread said that Members set the vision on what the council should be doing that the officers implemented. But where did Members engage on the Transformation Project? At the end of the day Members must have ownership of this.

Councillor Dorrell asked if the work done was followed up and how did they prioritise this throughout the year. Mr Chipp said that most projects were in existing business plans and the bigger projects were driven by Cabinet. The Corporate Plan being driven by Members and used to prioritise the projects. We will eventually come to a point where we will need to prioritise projects, but we were not at that stage as yet. Maybe the Task and Finish Panel could help with this.

Councillor Patel asked what the Leaders role was in the Transformation Programme. Councillor Whitbread replied that he took it through Cabinet. We have always had an aspiration to change and we are in a strong position as a Council and have carefully geared up the Transformation process and would be ready to take things forward and change things.

Councillor Surtees said that these were exciting times for change in the coming 5 years. How were learning points and experience tapped and learnt from. Mr Bailey answered that this was always ongoing once this Transformation Programme was finished there would be another one. In terms of learning, we now evaluate and measure projects when the project is closed. It would be taken to the Board and discussed and what was learnt from this would be shared. Also any lessons would be shared as the project went along.

Councillor Surtees said that engagement needed to be widened and not just have silo view but to a corporate view. Mr Chipp said that we were now at a stage where the programme needed to be implemented and not just talked about, such as the

accommodation change in the autumn when we would change desk ratios and move into one building.

Councillor Patel asked about multi-skilling the contact staff. Mr Bailey said that we had a workforce programme for wider skilling of the staff and for organising ourselves.

Councillor Mohindra added that we were leading in Essex. Everyone was looking at us as we were leading on this; and we were also relying on you as Councillors to help us.

Councillor Brookes asked if they would be providing voluntary redundancy for people who did not want to come with us. Mr Chipp said that yes, we would have some form of this. We needed to move with the times but it would be painful.

Councillor Patel moved the meeting on to consider question 'i', risk management. Mr Bailey said that the Corporate Risk Management Group was very receptive to this work. The more complex the changes were the more risk and so it was monitored throughout. We could look at this in more detail, perhaps through a live example.

AGREED: that the next meeting would look at risk management in detail, perhaps through a live example.

Councillor Patel asked if the risks across the programme were collectively assessed. Mr Bailey said that yes, individually and collectively assessed.

Councillor Dorrell asked how they coped with change within change. How did you deal with parameters that had been changed midway through? Mr Bailey said that this would be quite unusual. Mr Chipp said that this was the hazard of Central Government, which have used Local Government as a source of savings over the years and we have therefore had to match our projects to their whims. However 'Covalent' will be monitoring this and will enable us to plan for this.

Councillor Patel then moved on to consider question 'k' 'evaluation of specific outcomes of each project' Mr Bailey said that this was reported on monthly to the Transformation Programme Board and the bigger projects also went up to the Cabinet if required, with remedial actions outlined.

Councillor Patel asked how members were involved. Mr Bailey said on a project by project basis through meeting with the Cabinet.

Councillor Kane said that some projects were going on without going to scrutiny meetings. Mr Bailey said that this would be due to problems with time lines etc. but maybe something to explore in terms of scrutiny.

Councillor Patel asked how projects were evaluated. Mr Bailey replied through a Project Initiation Document (PID) or a business case and had to be agreed by the Transformation Board or the Cabinet.

The meeting went on to consider question 'n', "what factors determine under which Directorate project would sit". Mr Bailey said he could bring an example to a future meeting of a Risk Potential Assessment (RPA). It was a two stage process of assessment by 1) the project manager and 2) then reported on to the Board and assessed there. It then gets support and was monitored.

AGREED: to bring an example to a future meeting on the two stage process of a Risk Potential Assessment.

The meeting went on to consider question 'q', "how projects identified through the programme been allocated to a Directorate". Mr Bailey said that they had spoken about this. The Corporate Plan for 2018-2023 would go to scrutiny meetings. All the projects now had reference numbers that could be tracked through and were now also on Covalent.

The Chairman thanked Mr Bailey and Mr Chipp, saying he found it really useful. For the next stage they needed to consider what they wanted for the next meeting and to consider the 5 questions set out in the front of the agenda, which were:

1. How to best to scrutinise the management of the Transformation Programme;
2. How to best monitor and assess performance of the management of the Transformation Programme;
3. How to identify projects and sub programmes not within the remit of specific Select Committees;
4. How to measure and assess performance of identified projects and sub-programmes not within the remit of specific Select Committees; and
5. Suitable forums for future scrutiny of Transformation Programme.

Q1: How to scrutinise the management of the Transformation Programme.

The meeting gave the following suggestions:

- Councillor Baldwin would like to see specific examples of this.
- Councillor Surtees said it was important to have current examples and not of something that happened months ago.
- Councillor Patel suggested the 4 projects listed in Appendix 1 of the report that was assigned to the Office of the Chief Executive.
- Councillor Kane noted that many of these projects cut across the Council and could not be referred to any one Select Committee. So they could either go up to the main O&S Committee or a new Select Committee be set up to consider these projects. Maybe call it the Chief Executive SC.
- Councillor Surtees said that something needed to be put in place, like having a time limited scrutiny of these projects and also cover the overarching Transformation Programme.
- Councillor Whitbread suggested that overarching issues should go to the parent O&S Committee.
- Councillor Sartin said that O&S had the capacity to take this on but the portfolio holders would need to attend as well.
- Councillor Patel would also like to look at the costs of the projects and this could be considered at a future meeting.
- Councillor Kane noted that a lot of projects were in their early stages and we would need early input into them.
- Councillor Patel wondered if O&S was to look at the Transformation Programme as a whole or only the projects listed.
- Councillor Mohindra said that they could look at projects that have been completed such as the printer migration and how successful they were and lessons learnt.
- Mr Bailey said they could look at the measurement of performance as well as finance. We have success measures for our own projects. Risk Management falls under the Resources Select Committee.

- Councillor Patel asked if they needed to look at how the projects were first conceived and how they were made and to look at the business case and how they developed.

Councillor Dorrell asked if there could be demonstration of 'Covalent' at the next meeting.

AGREED: to have a demonstration of 'Covalent' at their next meeting.

Q2: How to best monitor and assess performance of the management of the Transformation Programme.

The meeting gave the following suggestions:

- Councillor Patel asked if they needed to look at the functions of Cabinet in this process.
- Mr Bailey said that this could be looked at in a future meeting.
- Councillor Surtees asked if they should listen to anything Human Resources wanted to say about the programme. We tended to say how much we value staff but how much of this got through to them. Could we give them a pat on the back when something went well?
- Mr Chipp responded that HR were keenly involved in this project and were on board.

Noted that Questions 3, 4 and 5 had already been discussed.

RESOLVED:

That at a future meeting the following items would be considered:

- a) At the next meeting we look at one project and follow it through, looking at the drivers etc. to completion;
- b) That the next meeting would look at risk management in detail, perhaps through a live example;
- c) To bring an example to a future meeting on the two stage process of a Risk Potential Assessment; and
- d) To have a demonstration of 'Covalent' at their next meeting.

5. DATE OF NEXT MEETING

The meeting considered the dates for a future meeting and decided that the most appropriate date would be 1 August 2017.

RESOLVED:

That the next meeting of this Task and Finish Panel be held on Tuesday 1st August 2017.

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Project Charter

1. Project title	Printer Migration	5. Reference	P033
2. Manager name	David Newton, Assistant Director, ICT and FM	6. Date	3 Mar 2016
3. Sponsor	Glen Chipp, Chief Executive	7. Version	5.0 (22 Apr 2016)
4. Corporate Plan link	Aim 3.b. Modernising council operations		
8. Problem statement		9. Objectives, targets & goals	
<p>Discovery indicates that we could save c. £27k if desktop printing migrated to multi-function devices. Our paper supply has gone up, from around 1.3 million pages (2011/12) to 1.5 million pages (2014/15).</p> <p>The authority has around 150 printers, around 115 of them desktop printers. We spend c. £35k on desktop printer cartridges a year. Our multi-function devices are 4 years old and the contract is up for renewal.</p> <p>Consider setting printer defaults to duplex, grey scale and sending large jobs to reprographics.</p>		<ul style="list-style-type: none"> ▪ Prevent further purchase of desktop printers and toner cartridges. ▪ Complete audit of printer usage. ▪ Have agreed and available Word letterhead template. ▪ Select best supplier through specification and quotation. ▪ Engage staff in roll-out to mitigate risks. ▪ Retain / dispose of surplus desktop printers in line with principles to maximise income and minimise environmental impact. 	
10. In scope		11. Out of scope	
<ul style="list-style-type: none"> ▪ Printer management software. ▪ All desktop printers. ▪ All Multi-Function Devices (MFDs). ▪ All outstation printers and MFDs. ▪ Any printers used for homeworking. ▪ Legal printing (using legal paper). ▪ Large print runs to default to reprographics. ▪ Letterheads, letterhead templates and compliments slips. ▪ ID/HID badges for outstation staff (where needed). ▪ Fax machines – could require fax server. 		<ul style="list-style-type: none"> ▪ A0 plotters in planning etc. ▪ Cheque printer. ▪ Receipt printer and other specialist media printers (to be determined). ▪ Approx. 10 printers in Revs&Bens – software are not Canon compatible. ▪ Who is going to order and replenish the printers with paper, staples and toner? ▪ Who is going to log any faults and manage any repairs? ▪ Reprographics printers. ▪ Revs&Bens printers – but could be in scope but resources to migrate templates needs further study. ▪ Printers in satellite sites – to be evaluated and determined. ▪ MOT certificate backup printer. 	
		12. Benefits	
		<ul style="list-style-type: none"> ▪ Multi-function devices are more efficient than desktop printers, savings of c. £27.5k plus reductions in electricity consumption. ▪ Data protection: Printing is secure, through use of touch-ID. ▪ Fewer printers and less printing are better for the environment. ▪ Reduction in space taken up by desktop printers. ▪ New multi-function devices print faster, staple and can produce colour copies. 	

13. Change approach		14. Dependencies and constraints	
TBC Two quotes from existing and one other supplier. Building works to be completed by Facilities Management.		Service Accommodation Review. Printed letterheads. Reprographics service review project (pending).	
15. Timeline		16. Data	
Mar 2016	TPB project agreed	Asset list from ICT. Paper purchasing from Business Support. Previous Management Board or Cabinet Reports. Desktop and MFD printer audit. Letterhead templates on Z drive, in 'common templates' folder.	
Mar	Printer survey and quote (Canon)		
Mar	Audit of desktop printer use		
Apr	Start a project meeting		
May	Competitive quote		
May	PID and specification to TPB for approval		
Jun-Sep	Template letterheads are available and in use Preparation works		
31 Aug	Deadline: Contract awarded		
Sep-Dec	New multi-function printers installed and tested Desktop printers (in scope) are removed New fax functionality implemented Training for staff		
17. Project members			
Project Sponsor: Glen Chipp, Chief Executive Project Manager: David Newton, Assistant Director, ICT & FM Transformation Lead: David Bailey, Head of Transformation ICT systems: Steve Bacon, ICT Operations Manager ICT: Chris Askew, Service Desk Supervisor Facilities: Mike Hobbs, Facilities Manager Business support: Sharon Lekha, Business Manager Directorate representatives: Gary Woodhall, Senior Democratic Services Officer (Governance) Kay Cobbin, Housing Admin Officer (Communities) and outstations Anna Whittaker, Business Support Officer (Resources) Elizabeth Ainslie, Environmental Co-ordinator (Neighbourhoods) and Green agenda rep James Carstairs, Administration and Premises Manager (Communities) and outstations Supplier representative: To be determined		Transformation Programme Board amended v1.1 23.03.2016 Change control TPB v2.0 06.04.2016 Change control PMO v4.0 25.04.2016	

Project Initiation Document (PID)

Project reference

P033

Project title

Printer Migration

Manager

David Newton, Assistant Director, ICT and Facilities Management

Sponsor

Glen Chipp, Chief Executive

Corporate Plan link

Aim 3.b. Modernising council operations

Project purpose

Definition

The authority has numerous and out-of-date shared and desktop printing equipment. Initial discovery shows this provides relatively poor value for money. The contract to maintain our shared printers is up for renewal, and this presents an opportunity to rationalise and improve our printing facilities.

Mandate

Chartered by the Transformation Programme Board
Previously agreed by Management Board / Cabinet as part of ICT Strategy.

Background information and impact assessment

An audit of desktop and multi-function printer use has been completed. This has been used to inform the proposed number of MFDs that are required: 15 covering the Civic Offices, and a further 11 covering the satellite sites (plans of the Civic Office potential locations are appended to this document).

A number of options have been identified in terms of the composition of the new MFD fleet. These are outlined on the table below in the assumptions section.

Change approach

Two quotes from existing and one other supplier utilising CCS Framework agreement.

Building works to be completed by Facilities Management.

Cabling to be carried out by PTC.

Business case / problem statement

Discovery indicates that we could save c. £27k if desktop printing migrated to multi-function devices. Our paper supply has gone up, from around 1.3 million pages (2011/12) to 1.5 million pages (2014/15).

The authority has around 150 printers, with 115 of them desktop printers, the majority of which are approaching end of life. Our multi-function devices are 4 years old and the contract is up for renewal.

Consider setting printer defaults to duplex, grey scale and sending large jobs to reprographics.

Retain a number of fax lines.

In scope

- Printer management software.
- All desktop printers, including Revenues and Benefits.
- All Multi-Function Devices (MFDs).
- All outstation printers and MFDs, including Lowewood Museum.
- Legal printing (using legal paper).
- Large print runs to default to reprographics.
- Letterheads, letterhead templates and compliments slips.
- Fax machines.

	<ul style="list-style-type: none"> ▪ Members room photocopier. ▪ Order and replenishment of printer paper, staples and toner. ▪ Fault reporting and repair management process. 																														
<p><i>Dependencies and constraints</i></p>	<ul style="list-style-type: none"> ▪ P002 Service Accommodation Review. ▪ P004 Corporate Communications – printed letterheads. ▪ Reprographics review [project pending]. ▪ Full rollout of proximity access cards (staff identity cards). ▪ Migration of Proprint templates for Revenue and Benefits. Can only happen after implementation, so their printers will remain in situ whilst this is implemented and tested. ▪ Removal of some/all vending machines. ▪ Expiration of Framework August 2016. 																														
<p><i>Out of scope</i></p>	<ul style="list-style-type: none"> ▪ A0 plotters in planning etc. ▪ Cheque printer. ▪ Receipt printers and other specialist media printers (to be determined). ▪ Reprographics printers. ▪ Printers in single user satellite sites – to be evaluated and determined. ▪ Workshop and MOT backup printer for Oakwood Hill depot. ▪ EFDC printer at BIFFA, Waltham Cross. ▪ Licensing printer with specialist media (to be checked). 																														
<p><i>Assumptions</i></p>	<p>The table that follows summarises the annual costs of a range of options, based upon an average framework price for rental given a three year lease.</p> <p>The preferred option would be either the baseline solution, or option A. The costings are indicative based on an average of comparable devices from the CCS framework agreement we propose to use. The costs are annual lease costs based on a 3 year lease. The difference between the baseline and Option A is that Option A swaps mid-range MFDs for the devices at the Broadway and Hemnall Street.</p> <table border="1" data-bbox="375 1272 1420 2004"> <thead> <tr> <th><i>Option</i></th> <th><i>Civic Offices</i></th> <th><i>Remote Sites</i></th> <th><i>Total</i></th> <th><i>Cost Difference</i></th> </tr> </thead> <tbody> <tr> <td><i>Baseline</i></td> <td>15 x Mid-range MFD £15,000</td> <td>11 x Compact MFD (£4,400)</td> <td>£ 19,400</td> <td>-</td> </tr> <tr> <td><i>A</i></td> <td>15 x Mid-range MFD £15,000</td> <td>2 x Mid-range MFD (£2,000) (Debden Broadway and Hemnall Street) 9 x Compact MFD (£3,600)</td> <td>£ 20,600</td> <td>+ £ 1,200</td> </tr> <tr> <td><i>B</i></td> <td>15 x Mid-range MFD £15,000</td> <td>11 x Mid-range MFD (£11,000)</td> <td>£ 26,000</td> <td>+ £ 6,600</td> </tr> <tr> <td><i>C</i></td> <td>15 x Mid-range MFD £15,000</td> <td>4 Reused (Debden Broadway, Hemnall Street, Housing DLO) (£0) 7 x Compact MFD (£2,800)</td> <td>£ 17,800</td> <td>- £ 1,600</td> </tr> <tr> <td><i>D</i></td> <td>15 x Mid-range MFD £15,000</td> <td>1 Reused (Debden Broadway) 10 x Compact MFD (£4,000)</td> <td>£ 19,000</td> <td>- £ 400</td> </tr> </tbody> </table>	<i>Option</i>	<i>Civic Offices</i>	<i>Remote Sites</i>	<i>Total</i>	<i>Cost Difference</i>	<i>Baseline</i>	15 x Mid-range MFD £15,000	11 x Compact MFD (£4,400)	£ 19,400	-	<i>A</i>	15 x Mid-range MFD £15,000	2 x Mid-range MFD (£2,000) (Debden Broadway and Hemnall Street) 9 x Compact MFD (£3,600)	£ 20,600	+ £ 1,200	<i>B</i>	15 x Mid-range MFD £15,000	11 x Mid-range MFD (£11,000)	£ 26,000	+ £ 6,600	<i>C</i>	15 x Mid-range MFD £15,000	4 Reused (Debden Broadway, Hemnall Street, Housing DLO) (£0) 7 x Compact MFD (£2,800)	£ 17,800	- £ 1,600	<i>D</i>	15 x Mid-range MFD £15,000	1 Reused (Debden Broadway) 10 x Compact MFD (£4,000)	£ 19,000	- £ 400
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If the number of mid-range MFDs is increased or increased, the annual cost will change by £1,000 for each device added or removed. Similarly, the effect of adding or removing a Compact MFD is £400 annually.

Options C and D below would retain the new MFD in Communities which is owned outright, and in the case of Option C the three MFDs which retained flood damaged units. These options would only be viable in the event of Canon being awarded the contract, and would be dependent on the machines being upgradable to a comparable standard to the new MFDs (i.e. addition of a card reader and stapler / collator module).

In addition to this cost there is an annual cost of around £6,500 to cover server software which is required for follow me printing and rules based routing.

If the fax option is taken an additional cost of £4,000 would be incurred annually.

Accountancy have confirmed that these costs and the machine rental will be absorbed by Directorates / Service Area budgets when this contract replaces the previous one. It is also assumed that any increase in the per page charge (reflecting the near doubling of print volumes through MFDs that the audit indicated would occur) will be more than covered by the current printer cartridge budget.

It is also assumed that as part of the rollout of the new MFDs, and the linking of use to security access cards, the recharge model for MFD printing will be changed (and indeed also for prints using Reprographics which are routed via rules based printing) and will be recharged at a user level. This recharge will consist of the printing cost per side printed (0.3p for monochrome on an MFD and 3p for colour), and a charge for paper used.

	<i>Benefit</i>	<i>Measure</i>
<i>Benefits</i>	Multi-function devices are more efficient than desktop printers, ink/toner savings of £27.5k plus reductions in electricity consumption and paper usage.	Reduction in printer cartridge expenditure. Thus figure will be more specific once the number of printers required to remain is established. Target of 10% paper reduction.
	Data protection: Printing is secure, through use of touch-ID.	Implementation.
	Fewer printers and less printing are better for the environment.	Reduction in printer numbers. Target of 70% reduction based on printer fleet January 2016.
	Reduction in space taken up by desktop printers and also have less MFD's that are more capable.	
	New multi-function devices print faster, staple, punch and can produce colour copies	Implementation of features.
	Follow me printing give a single print queue simplifies printing and reduces waste.	Reduction in paper usage of 10%.

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<i>Benefit</i>	<i>Measure</i>
Printing letterheads from MFD's has no additional cost and will make a saving compared to pre-printed headed paper.	Saving of 100% headed stationery budget.
Recharge will be transparent at user level and will be based on automated reporting.	Production of user level usage reporting.
Any user can use any MFD at any site.	Implementation.
Colour printing can be managed at a user level.	Colour printing limited to those staff who require it for their role.
Removal of need to maintain expensive stock of printer cartridges.	Stock holding reduced to bare minimum to only support specialist printers. Other cartridges ordered as and when required.
MFD's can be monitored and managed centrally.	Removal of need for local meter reading.
Rules based printing routing large jobs to reprographics.	Additional saving in 'per print' cost.
Faxing from MFD's and desktop, incoming faxes to email.	Removal of fax lines giving savings.

Project team

<i>Role</i>	<i>Name</i>	<i>Responsibilities</i>
Chief Executive	Glen Chipp	Project Sponsor
Assistant Director, ICT & FM	David Newton	Project Manager
Head of Transformation	David Bailey	Transformation Lead
ICT Operations Manager	Steve Bacon	ICT systems
Service Desk Supervisor	Chris Askew	ICT
Facilities Manager	Stuart Mitchell	Facilities
Business Manager	Sharon Lekha	Business support
Senior Democratic Services Officer	Gary Woodhall	Governance rep
Housing Admin Officer	Kay Cobbin	Communities and outstations rep
Finance Officer	Anna Whittaker	Resources rep
Environmental Co-ordinator	Elizabeth Ainslie	Neighbourhoods and Green agenda rep
Administration and Premises Manager	James Carstairs	Communities) and outstations
To be determined	To be determined	Supplier 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		23.03.16	D Newton	Agreed by Transformation Programme Board (TPB)
Printer survey and quote			C Askew	Presented to Project Group
Desktop and shared printer audit		22.04.16	G Nicholas	Presented to Project Group
Starting a project meeting		25.04.16	D Newton	Project meeting
Second quote received	1.6.16	30.6.16	C Askew	Presented to Project Group
Project Initiation Document (PID)	1.4.16	30.5.16	D Newton	Agreed by TPB
Communications to staff	Jun 2016	Mar 2017	D Newton	Strategy in place following TPB agreement of PID
Procurement phase	Jun 2016	Jul 2016	D Newton	Successful completion
Contract granted	Jul 2016	Aug 2016	D Newton	Successful completion
Centralisation of cartridge supplies	Jun 2016	20.6.16	S Lekha	All supplies in central location by 20 June
Implementation phase	Jun 2016	Mar 2017	S Bacon	Successful completion
Template letterheads prepared and in use	Jun 2016	Aug 2016	C Askew	Templates complete and Available by 1 August
Replenishment process agreed	Sep 2016		D Newton	Process in place before installation begins
Fault reporting and repair process agreed	Sep 2016		S Bacon	Process in place before installation begins
Staff ID cards issued	Sep 2016		D Newton	Cards in place before installation begins
New multi-function devices installed and tested	Sep 2016	Oct 2016	C Askew	TBC dependent on vendor delivery schedule, MFD delivery during Sep/Oct
Old multi-function devices removed	Sep 2016	Nov 2016	C Askew	TBC dependent on vendor delivery schedule, MFD removal during Sep/Oct/Nov
Training	Oct 2016	Nov 2016	C Askew	Training to commence when installations commence, completion for each site / area before commissioning of MFD

Epping Forest District Council

Key deliverable	Start date	End date	Lead officer	Acceptance criteria
Old desktop printers removed	Jun 2016	Dec 2016	C Askew	Removal to begin immediately, complete when all printers except out of scope are removed
Spare furniture removed	Jan 2017	Mar 2017	M Hobbs	Printer tables to be removed once printers removed
Evaluation of remaining specialist printers	Oct 2017	Jan 2017	S Bacon	Agreed technical justification in place for each remaining desktop unit, or an agreed exemption due to low use levels / home working
Redundant equipment disposed	Jan 2017	Mar 2017	C Askew	All desktop units other than specialist units, any other agreed units or ICT reserves disposed in line with WEEE
Snagging	Oct 2016	Mar 2017	C Askew	Implementation issues resolved
Termination of fax lines	Feb 2017	Mar 2017	A Stephen	Lines terminated once fax service is commissioned
Project evaluated	Apr 2017		D Newton	Evaluation report to TPB
Project closed	Apr 2017		D Newton	Closure report to TPB

Headline plan

	2016												2017				
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	
Project charter			▷	▷	▶												
Printer survey and quote	▷	▷	▷	▷	▶												
Desktop and shared printer audit	▷	▷	▷	▷	▶												
Starting a project meeting				▶													
Second quote received					▷	▶											
Project Initiation Document				▷	▶												
Communications to staff					▶	▶	▶	▶	▶	▶	▶	▶	▶	▶	▶	▶	
Procurement phase						▷	▶										
Contract granted							▷	▶									
Final MFD locations agreed						▷	▷	▶									
Centralise cartridge supplies						▶											
Implementation phase						▷	▷	▷	▷	▷	▷	▷	▷	▷	▷	▶	
Template letterheads in use						▷	▷	▶									
Replenishment process agreed								▷	▶								
Fault reporting and repair process agreed								▷	▶								

Epping Forest District Council

	2016												2017			
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr
Staff ID cards issued								▷	▶							
Cabling and building works								▷	▶							
New MFDs installed and tested									▷	▶						
Old MFDs removed									▷	▷	▶					
Staff training										▷	▶					
Old desktop printers removed	▷	▷	▷	▷	▷	▷	▷	▷	▷	▷	▷	▶				
Spare furniture removed													▷	▷	▶	
Evaluate remaining specialist printers										▷	▷	▷	▶			
Redundant equipment disposed													▷	▷	▶	
Snagging										▷	▷	▷	▷	▷	▶	
Termination of fax lines														▷	▶	
Project evaluated and closed																▶

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

Budget plan

Period	2016-17	2017-18	Comments
Revenue	£ 20,000	£ 35,000	Rental and page cost, replacing existing charge at Directorate / Service level
Capital	-	-	
Savings	£ 12,500	Up to £ 25,000	Cartridge spend, this saving will not be available in full as print volumes through the MFDs will increase from the current level.

Communication management strategy

Stakeholder	Needs	Communications
All Staff	Information, training, replenishment and fault reporting strategies	Display in staff canteen, intranet, showcase on MFD plan, training events, regular updates
Leadership Team (LT)	Information, rollout plan, exemption policy	LT presentation
The Cabinet	Progress updates	Transformation updates
The Council All elected members	Information and training	Members Bulletin
Partners	None	
Customers and residents	None	

Risk log

<i>Description</i>	<i>Likelihood</i>	<i>Impact</i>	<i>Score</i>	<i>Control measures</i>
Staff not being able / willing to utilise the full functionality of the new MFD's.	B High	1 Major	B1 High	Staff will need clear communications and training on how to use the new printers and fax functionality.
The current contract needs to be renewed by 31 August 2016, or a new framework agreement would be required.	B High	1 Major	B1 High	Adherence to timetable, prioritisation of this project.
Broken desktop printers will not be replaced from this point forward.	B High	2 Moderate	B2 High	Where there is a business need, an existing printer may be re-sited.
Internal recharging mechanism results in reprographics being more expensive than MFD's.	B High	2 Moderate	B2 High	Ensure that the reprographics service review results in a consistent charging method. i.e. on-cost should be charged as an overhead and not on page cost.
Rumour and misinformation.	B High	3 Minor	B3 Medium	Clear communications with staff are essential to the success of the project.
Failure to secure suitable MFD locations.	C Medium	1 Major	C1 Medium	Ensure release of vending machine areas and storage rooms.
Failure to report faults.	C Medium	1 Major	C1 Medium	Ensure automated reporting is available. Provision of phone at each location for reporting to the ICT service desk.
Staff purchasing toner cartridges for desktop printers – wasting money.	C Medium	2 Moderate	C2 Medium	Double approval process.
Budget.	C Medium	2 Moderate	C2 Medium	Ensure close monitoring of potential expenditure.
Inadequate replenishment of supplies.	C Medium	2 Moderate	C2 Medium	Automated toner/stapling ordering from MFD supplier. Business support team to ensure paper replenishment on a daily basis.
Staff unable to use all MFD's on all sites.	C Medium	3 Minor	C3 Medium	Communicate that MFD's are a CORPORATE asset and that recharge will be at a user level.

<i>Description</i>	<i>Likelihood</i>	<i>Impact</i>	<i>Score</i>	<i>Control measures</i>
Corporate communications project fails to agree corporate headed paper template to replace pre-printed headed paper, by August 2016.	D Low	1 Major	D1 Low	David B to ensure this is prioritised.
Staff unable to use card readers.	D Low	1 Major	D1 Low	Ensure full rollout of access (HID) cards to all staff.
Staff purchasing new letter headed paper stock.	D Low	3 Minor	D3 Low	Print to limit orders until ink runs out.

Project approval

<i>Role</i>	<i>Name / signature</i>	<i>Date</i>	<i>Version</i>
Project Manager	D Newton	01.06.2016	1.0
Project Sponsor	G Chipp	01.06.2016	1.0

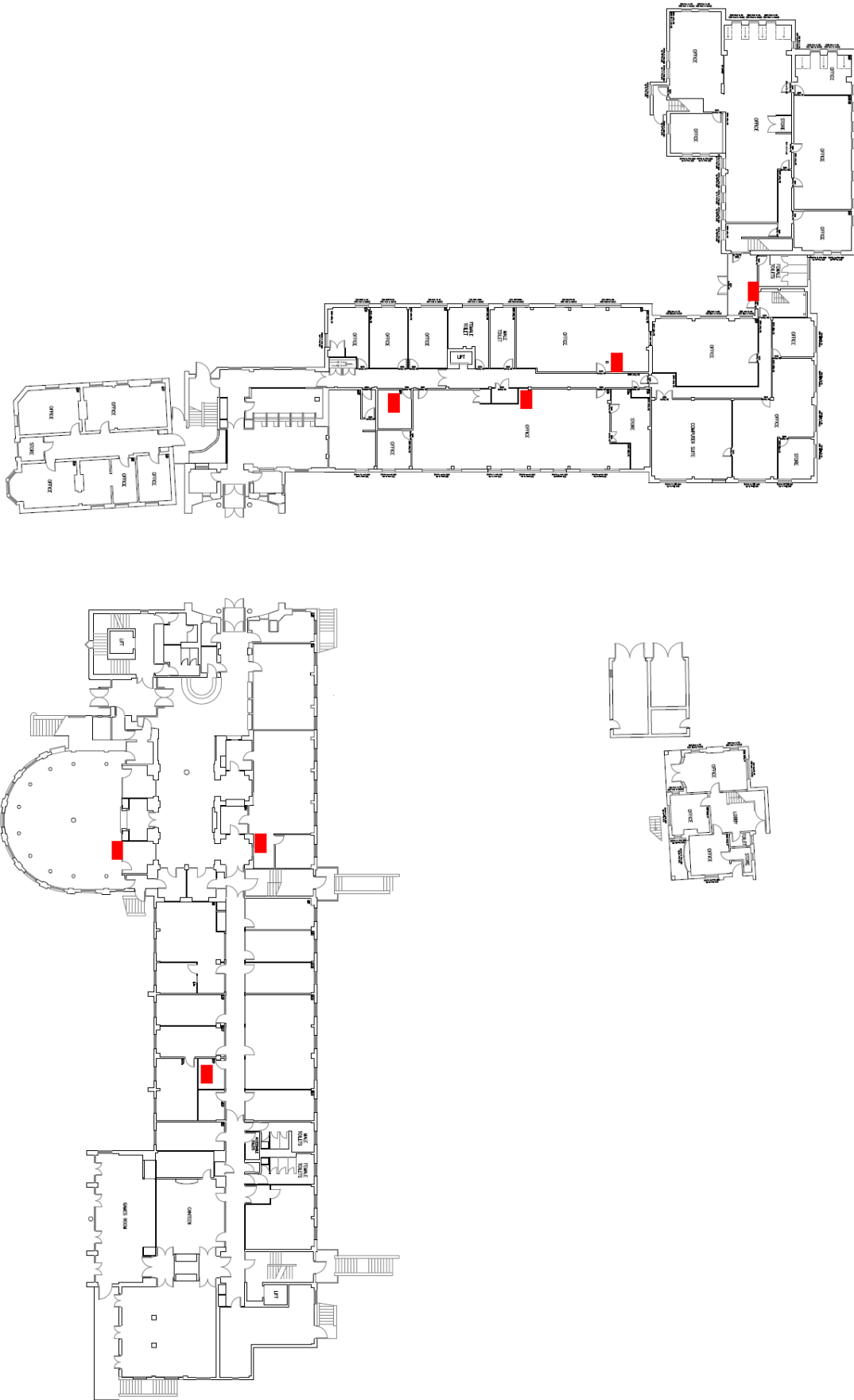
Version control

<i>Version</i>	<i>Date</i>	<i>Author</i>	<i>Nature of / reason for changes</i>
0.1	16.05.2016	D Bailey	Draft
0.2	20.05.2016	D Newton	Revisions
0.3	25.05.2016	D Newton	Revisions from project team
1.0	02.06.2016	D Bailey	C041 Transformation Programme Board
2.0	12.10.2016	G Nicholas	C113 Programme Management Office
<u>3.0</u>	<u>20.01.2017</u>	<u>R Linford</u>	<u>Amendments to Project Group</u>

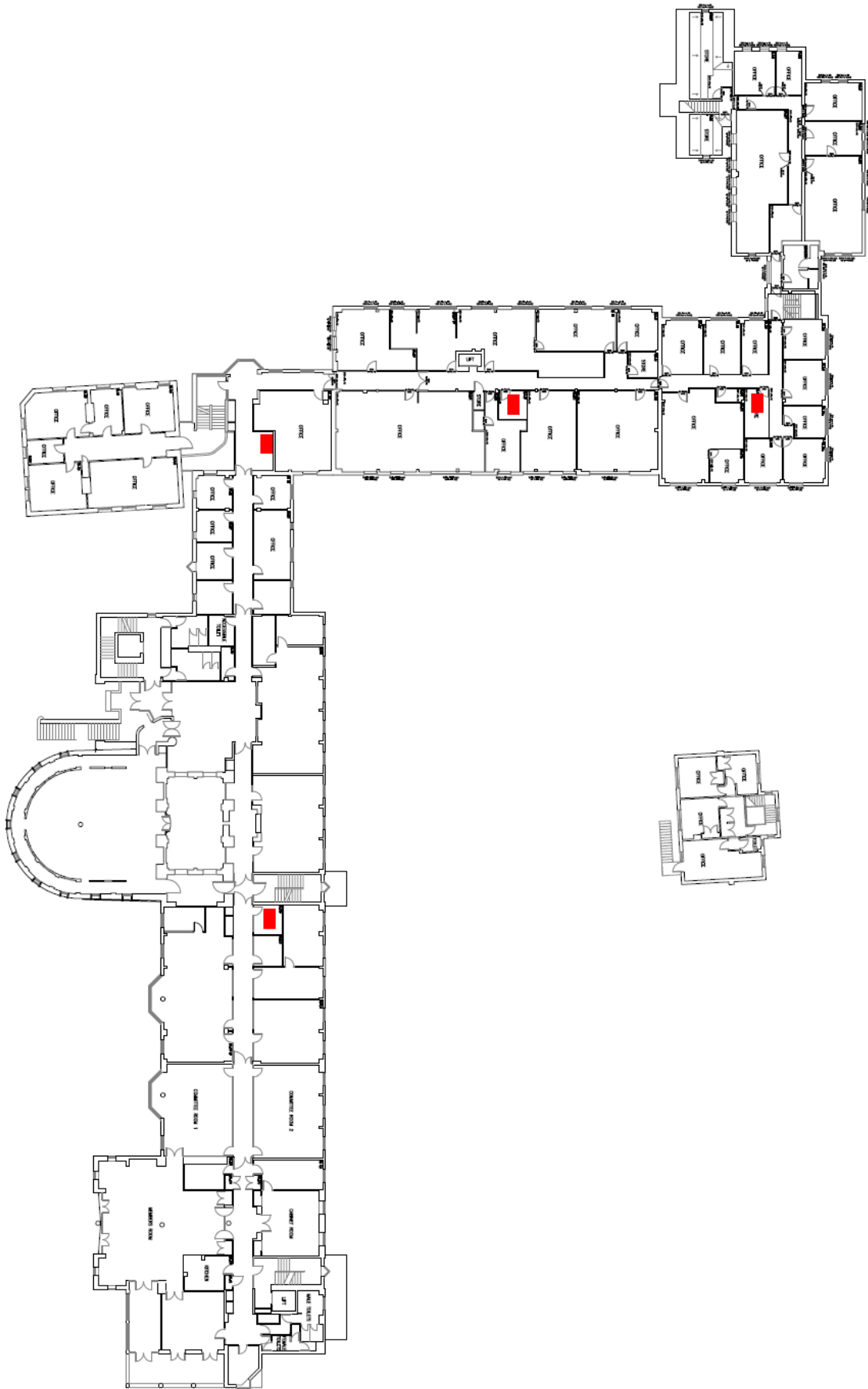
Distribution

<i>Role</i>	<i>Name</i>	<i>Date</i>	<i>Version</i>
Member	Transformation Programme Board	01.06.2016	0.3

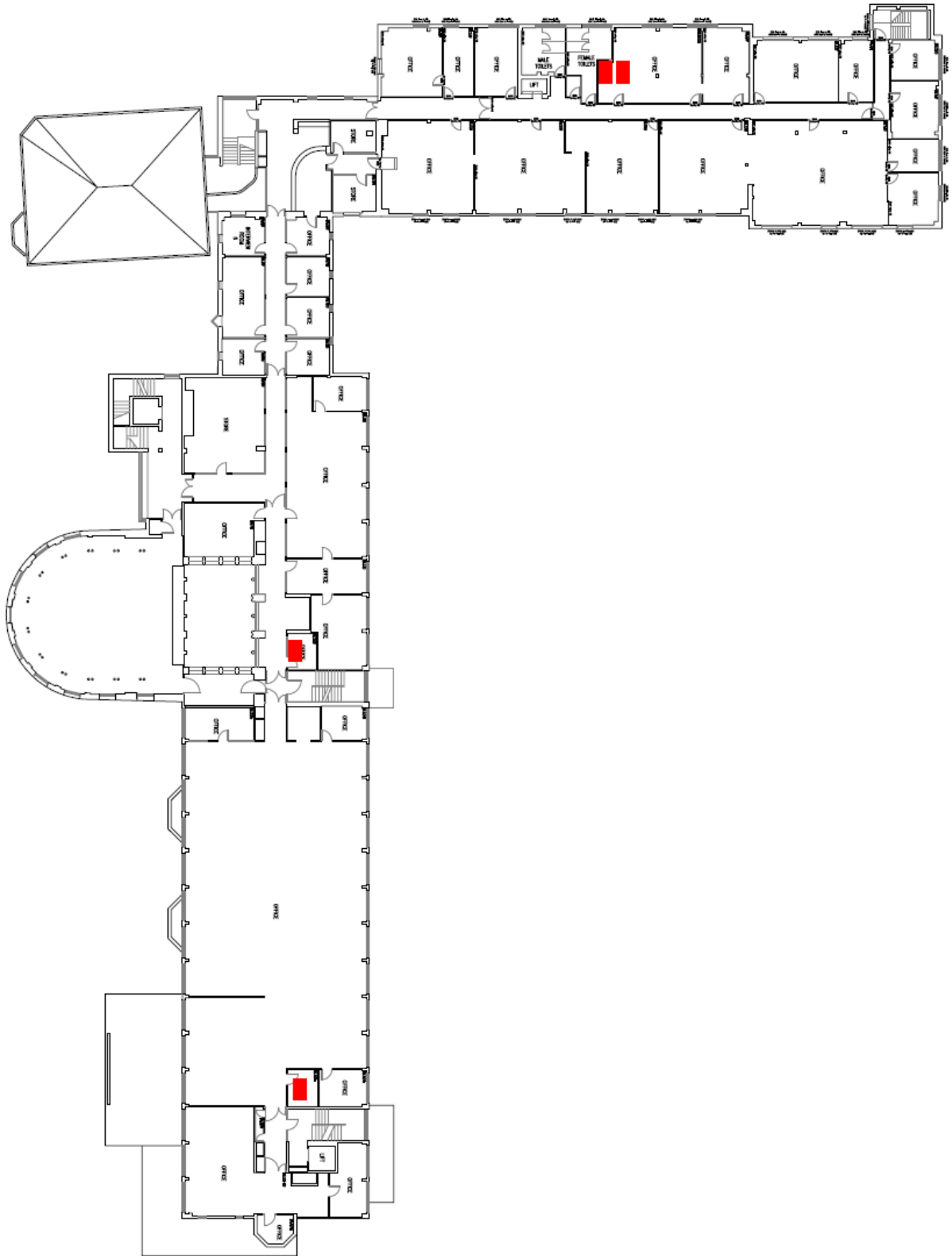
Civic Offices Ground floor proposed MFD locations



Civic Offices First floor proposed MFD locations



Civic Offices Second floor proposed MFD locations



P033 Printer Migration – Issue and Change Control Register

Issue identifier	Issue type	Date raised	Raised by	Description	Impact analysis: What is affected?	Recommendation	Priority	Severity	Decision	Approved by	Decision date	Closure date
P033 Printer Migration												
1	Concern	30/03/16	Lorraine Martin	May need to add Academy Proprint Printers to list of specialist printers that will not take part in audit. IT have not been able to get MFD printers working for the Academy Application (used by; Benefits, Council Tax & Business Rates, for printing bills, correspondence letters, benefit notification letters and Academy Reports).	The teams/service areas listed in the description and the desktop printers they currently use and any potential new MFD's purchased under a new contract.	Address in next phase.	4	D				
2	Concern	30/03/16	Lorraine Martin	Overnight printing occurs in the Local Taxation Office (auto-print) for various reasons.	Local Taxation Office (work patterns, staff), residents of the district.	Discover the exact reasons for the overnight printing and how sensitive the work is.	3	D				
3	Concern	30/03/16	Peter Millward	Development Management have 2 black and white and 1 colour MFDs as they removed their desktop printers over 12 months ago to save costs.	Development Management team and their MFDs.	Include these MFDs in the 1 st phase.	2	D				
4	Concern	30/03/16	Kim Tuckey	The Licensing team have bespoke printing such as; ID badges, licenses, colour printing and license certificates. These are often done in batches and are therefore on a constant run (and also have strict deadlines that must be adhered to for legislative purposes). Using MFDs would slow down this process (as they may be stuck in a que) and may slow down other staff (who are stuck behind the licensing print outs). There are also concerns of criminal records that are printed out – these currently stay in the licensing office but would be outside of this if printed to an MFD located for all staff.	Licensing team, knock on effect of taxi drivers being unable to work if their licenses are not renewed in time (which could impact on loss of earnings and result in the Council being sued), the printers used in the office (PR008710 and PR009244).	Address in next phase.	4	D				

Issue identifier	Issue type	Date raised	Raised by	Description	Impact analysis: What is affected?	Recommendation	Priority	Severity	Decision	Approved by	Decision date	Closure date
5	Concern	30/03/16	Anita James & Brenda Corder	Payroll print off payslips in the HR office in mass batches. The time taken to print off would take up 20+ mins of staff time to supervise (currently other work can be completed while monitoring the printing in the same office) – due to confidential nature of the work.	Payroll team effective use of time (if using MFDs out of the office, would have to stand next to the machine and wouldn't be able to complete any other work at the same time), confidentiality issues for staff. Payroll system (including payslips) is due to go online in the future – could the current desktop printer/MFD stay in place until this change over?	Address in next phase.	4	D				
6	Concern	02/06/16	Mary	If the Committee rooms are joined then Mary would be unable to reach the printer, in its proposed new location, with any ease.	Staff who need access to an MFD.	Address in the consideration of new MFD locations	1	B				

Notes:

Issue type:

- Change request
- Off specification
- Problem/ concern

Decision:

- Add
- Amend
- Accept
- Reject
- Defer

Priority:

1. Must do
2. Should do
3. Could do
4. Won't do this time

Severity:

- A. Critical
- B. Major
- C. Moderate
- D. Minor
- E. Cosmetic

REPORT TO THE TRANSFORMATION PROGRAMME BOARD

Date: 20 July 2016

Subject: P033 Printer Migration Project

Author/Service: David Newton, Assistant Director – ICT and Facilities Management

Recommendations:

1. Acceptance of Xerox as new MFD supplier for cost and quality reasons
2. Adoption of a uniform fleet utilising the Xerox 7855 across all sites.
3. Procurement of a total fleet of 26 MFDs, with a review to ensure sufficient provision after 6 months.
4. Procurement of MFDs under CCS Framework RM1599 Lot 1, and Software under RM1599 Lot 2
5. Procurement on a five year lease
6. Procurement of fax capability on 5 MFDs
7. To agree the adoption of a target of 10% maximum colour printing
8. To commence removal and disposal of printers and old MFDs from business areas in a managed fashion immediately after MFD fleet is commissioned and accepted, and all training for users is complete.
9. All cartridge (£27,000) and photocopying budgets (£19,400) to be transferred to ICT

Reasons for Proposed Decision:

The Xerox pricing under the Framework gives the best value to the Council, and allows for the replacement of the current MFD and Printer fleet with a more capable and versatile solution which will dramatically lower print costs.

Other Options for Action:

Pricing from Canon under the Framework was also considered.

Report:

1. Selection of Supplier/Framework

2. The Project team considered quotations under Framework RM1599 Lots 1 + 2. Quotes were invited from Canon, Xerox and Konica Minolta – the latter did not respond. For comparative purposes a baseline specification as below was used for comparison of suppliers:
 - 17 Medium Capacity MFD (15 Civic + 2 Satellites)
 - 9 Low Capacity MFD (9 Satellites)
 - Fax Capability
 - Stapling/Collation Capability
 - Follow Me Printing
 - Use of Card Readers
 - 3 Year Contract
3. On the basis outlined above the following figures are reached as total costs for hardware and software over three years, including full fax capability:

Supplier	3 Year Cost	Quarterly Cost
Canon	£100,521.12	£8,376.76
Xerox	£87,552.84	£7,296.07

4. In terms of print costs, the assumption has been made of 2.4 million sides of printing annually (this is based on current MFD and printer usage), with an 80/20 split between mono and colour printing

Supplier	3 Year Cost	Quarterly Cost
Canon	£57974.40	£4831.20
Xerox	£40118.40	£3343.20

5. If we do manage the predicted print savings of 10%, and achieve 2.16 million sides, and improve the ratio to 90/10 the costs of printing are as below:

Supplier	3 Year Cost	Quarterly Cost
Canon	£35,448.60	£2954.05
Xerox	£24,954.60	£2079.55

6. There is also an additional one off cost of £7,560 to be added to the Canon costs, with the addition of this figure this indicates a saving in contract cost of £38,384.28 for Xerox based on current usage, or £31,022.28 if we manage to reduce printing and reduce usage of colour.

7. For this reason we recommend the selection of the Xerox quotation on cost reasons for both Hardware and Printing.

8. Quality

9. A number of quality factors were also considered

	Canon		Xerox	
MFD Class	Small	Medium	Small	Medium
Print Speed (pages per minute)	25ppm	30ppm Colour, 35ppm Mono	30ppm	50ppm Colour, 55ppm Mono
Usage (per month)	1,500-8000	5-30,000	8-12,000	15-22,000
Colour	Y	Y	Y	Y
A4/A3	A4 Only	Y	Y	Y
Print Resolution	600x600 dpi	1200x1200 dpi	1200x2400 dpi	1200x2400 dpi
Duplex	Y	Y	Y	Y
Tray capacity	550	5000 (max)	2180	3140
Bypass capacity	100	100	100	100
Feeder capacity	50	150	110	130
Automated Meter reading	Y	Y	Y	Y
Stapler	Option	Y	Option	Y
Call out SLA (working hours)	8 hours	8 hours	4 Hours	4 Hours
Print Software	Canon	Canon	Betasoft	Betasoft
Print Room solution	No	No	Yes	Yes

10. The Xerox solutions are faster, which will be important given the reduction in printer fleet size, and both models proposed will print in A3. The Xerox units also offer better resolution giving a higher quality print. The only area where the Canon out performs the Xerox is on monthly usage, but only one MFD location in the Civic offices (Benefits) has been identified which exceeds 20,000 pages per month.

11. For the reasons above we recommend the selection of the Xerox quotation on quality reasons.

12. Device Mix

13. After consideration of the baseline quote it becomes clear that the quote could be changed by changing the machine mix, or by adding additional machines. To prevent the issue of MFD 'camping' where users favour higher specification units over others in the fleet it is desirable to retain a uniform fleet across the Civic Offices. In terms of Satellite sites, the initial proposal was to install the higher specification units at Hemnall Street and Oakwood Hill. However the Xerox price differential between small and medium units is lower than that of Canon (as seen below) which opens the option of having a uniform fleet of MFDs across all sites.

Supplier	Small MFD	Medium MFD	Differential
Xerox	£145.09	£198.82	£53.73
Canon	£95.41	£260.85	£165.44
In addition to meet the requirements we have for stapling a further £25 (approx.) would added to the quarterly price of each Small MFD, further reducing the differential.			

14. The uniform fleet will give all sites the benefit of increased speed, capacity and capability. In addition this does allow for additional users at these sites in the event of an emergency elsewhere prompting the relocation of staff.

15. For this reason, if Xerox is selected we recommend the adoption of a uniform fleet utilising the Xerox 7855 across all sites.

16. Number of Units and locations

17. Initial proposals were based around 15 Units at the Civic Offices + 11 at 10 satellite sites (one each at Hemnall Street, Parsonage Court, Broadway, Oakwood Hill, Norway House, North Weald Airfield, Limes Centre, Sun Street Museum, Lowewood Museum, and two at the DLO).

18. The plans in Appendices 1-3 show the proposed Civic Office locations, and comments on any changes made/rejected from the initial proposals. These locations have been consulted on with staff and managers for comments, and the new locations do reflect amendments made because of this.

19. The agreed units are as follows:

MFD	Location	Estimated Volume per week	Comments
G/1	G56 Accountancy or G52 Benefits	4,298	Exact location to be finalised after accommodation Review
G/2	G53 or G55 Benefits	5,500	Exact location to be agreed locally
G/3	G34/G38 Revenues	2,000+	Replace Existing
G/4	G28 Reception	1,838	Replace Existing
G/5	G23 Housing	2,145	Exact location to be agreed

			locally
G/6	G18/G18b Housing	1,747	Replace 2 Existing - Exact location to be agreed locally
G/7	G11 Housing	3,067	Replace Existing
1/1	1.54 Legal Library	5,473	None
1/2	1.42	4,491	Replace Existing
1/3	1 st Floor Vending Machine location	3,050	Requires changes to Vending Machines
1/4	1.18	2,440	Replace Existing
2/1	2.38/2.40 Building Control/Support	2,451	Replace Existing
2/2	2.35/2.37 Support	1,887	Replace 2 Existing
2/3	2 nd Floor Vending Machine location	2,369	None
2/4	2.06 Store	2,188	Required here to service Safer Communities

20. To meet comments made two additional locations are also possible, and have been included on the list below and the plans. These two units would not be high usage, and only meet geographic needs; as such the Project group does not recommend they are proceeded with. In terms of meeting needs of high usage areas an additional unit in Benefits would be a more useful investment; however the Project group again does not recommend that this unit is proceeded with at this stage – it could be added if the current allocation of units proves insufficient in that area.

MFD	Location	Estimated Volume per week	Comments
G/8	G53 or G55 Benefits	c2,750 moved from G/2 (G/2 residual c2,750)	Exact location to be agreed locally
1/5	1.07 Members Room	Low c100	Additional unit to Replace Existing Copier + Printer
2/5	2.15 Waste/2.12 Land Drainage	c1,400 moved from 2/2 and 2/3 (residual on c1,400 on both those units)	Additional location to service needs from these areas Exact location to be agreed locally

21. In addition, Human Resources have a requirement for an MFD but only until the adoption of e-payslips at some time in 2017. As such we propose to retain the outright owned Canon MFD in HR at present.

22. We also assessed the option of swapping out one medium MFD for two small ones to meet demand in some areas, once equipped with staplers two small Xerox machines would cost £320.18 a quarter compared to £198.82 for one larger machine, and give roughly the same print capacity. The same comparison with Canon would cost £240.82 for two small machines, compared to £260.85 for one larger one – but print capacity would be halved. This option is therefore considered and not recommended out on cost grounds for Xerox (and quality grounds for Canon), and also because this option would mean we would not deliver the benefits that a uniform fleet would provide.

23. Xerox Comparative costs

24. The table below shows the costs of various numbers of machines and licenses on a quarterly basis, and for the life of the three year contract. Each additional MFD costs £198.82 per quarter or £2385.84 over the contract. These figures exclude Fax capability.

Number of Units	25	26	27	28	29
Cost per quarter	£7,090.98	£7,289.80	£7,488.62	£7,687.44	£7,886.26
Cost over three years	£85091.76	£87,477.60	£89,863.44	£92,249.28	£94,635.12

25. The Project Team recommends the procurement of 26 MFDs as outlined on the plan, with an option to add in additional units following a review after six months live operation. This review will also check that the fleet is in the correct locations. Xerox have confirmed that we will be able to agree any contract for additional units to terminate at the same as the main contract,

26. The fleet should also meet needs in the medium term. Appendix 4 shows possible future locations for some of this fleet after the completion of moves currently planned.

27. Potential for longer Contract

28. Under RM1599 we could opt for a five year contract. This would have the following effect on the quarterly hardware pricing (assuming all recommendations above are selected, these figures exclude Fax capability):

	3 Year Contract		3 Year Contract extended to 5	5 Year Contract	
Number of Units	26	Number of Units	26	26	Difference
Cost per quarter	£7,289.80	Cost per quarter	£7,289.80	£5,439.83	£1,849.97
Cost over three years	£87,477.60	Cost over five years	£145,796	£108,796.60	£36,999.40

29. Opting for a five year contract would offer a quarterly saving on rental costs of £1849.97, and over the life of the five years, would save £36,999.40 compared to extending the three year contract for two years. For this reason, we recommend the adoption of a five year contract.

30. Fax Capability

31. The Canon offer was on the basis of universal fax capability (which is how their partner software works), for comparison purposes the Xerox offer was priced on the same basis. We have the option to make a saving if we opt to have fax capability on a limited number of machines only, each fax kit costs £18.84 per quarter, (£226.08 or £376.80 for three or five years respectively). We also have the option to buy fax kits at £280, which would make sense if we opt for the five year contract.

32. It is suggested by the survey results that 5 faxes would more than meet our needs, which is the option recommended.

33. Final Costings

34. Assuming print volumes are fixed at 2.4 million sides with 80/20 split the costings over five years for the 26 medium size MFD Xerox solution are:

	Contract Cost	Quarterly Cost
--	----------------------	-----------------------

Hardware/License Costs	£108,796.60	£5439.83
Fax Costs	£1,884	£94.20
Sub Total	£110,680.60	£5,534.03
Printing	£66,864	£3,343.20
Total	£177,544.60	£8,877.23

35. If we can deliver the 10% reduction and the change in mix to 90/10 the costings would change as shown below. As such we would recommend that as well as the currently agreed target of a 10% reduction in volumes we should agree a target of no more than 10% colour printing.

	5 Year Contract Cost	Quarterly Cost
Hardware/License Costs	£108,796.60	£5439.83
Fax Costs	£1,884	£94.20
Sub Total	£110,680.60	£5,534.03
Printing	£40,834.80	£2,041.74
Total	£151,515.40	£7,575.77

36. This five year cost of £151,515.40, equivalent to annual cost of £30,303.08, represents the best value option for the Council and we recommend the acceptance of this option.

37. Current expenditure is difficult to get an exact figure for as much of the cartridge spend for printers is spread across the Directorates, and the current charging for Canon's is not recorded consistently. The following table is the best estimate from Accountancy, Procurement and ICT. Currently there is no rental cost for the majority of our MFDs as they are obsolete and end of life. Previously the rental for those MFDs was £4386.45 per quarter, that saving has been taken previously from budgets, but the figure is included here for reference.

	Annual Cost	Quarterly Cost
Cartridge Costs	£27,000	£6,750
Planning MFD	£2,058.68	£514.67
Printing	£19,400	£4,850
Current Total	£48,458.68	£12,114.67
Proposed Solution	£30,303.08	£7,575.77
Savings	£18,155.60	£4,538.90

38. **The annual saving of £18,155.60 equates to a saving of £90,778 over the 5 year life of the contract.**

39. **Removal of Old Printers and MFDs**

40. It is proposed to commence the removal of the old printer and MFD fleet immediately after the new MFD fleet is commissioned and accepted. As part of this acceptance process it will also be confirmed that all training has been completed.

41. In certain areas existing MFDs will be removed as part of the rollout as the Xerox units will be replacing existing Canon units in the same location. These, and all other rented MFDs will be returned to Canon.

42. Removal of printers from Council Tax and Benefits will be delayed until it is confirmed that ProPrint templates used by their Academy system have been amended to work correctly on the MFDs.

43. Printers will also be left in place in Accountancy for the invoicing system, and Licensing for plate

printing until a full technical review of their printing requirements is completed, this review may result in the retention of these printers.

44. At present the following printers are out of scope and will definitely be retained:

- All Large format units (A2 and above)
- All units in Reprographics
- Elections Printers
- Cheque Printer
- Receipt Printers
- Scheme Managers
- Home workers
- Printer at Biffa Waltham Cross Depot
- Printer to be provided for MOT centre
- Main Reception

45. As stated above the owned Canon MFD in HR will be retained as an interim measure, the disposition of the owned Canon MFD in communities needs to be agreed.

46. All removed printers will be reviewed with one of the following outcomes:

- Retain as an ICT emergency reserve printer (3 units)
- Reallocate to a location where a printer is being retained to replace an older or less capable unit
- Retain and store offsite for future usage
- Disposal/Donation/Recycling

Legend for Appendices:

Location unchanged from proposal



New Location



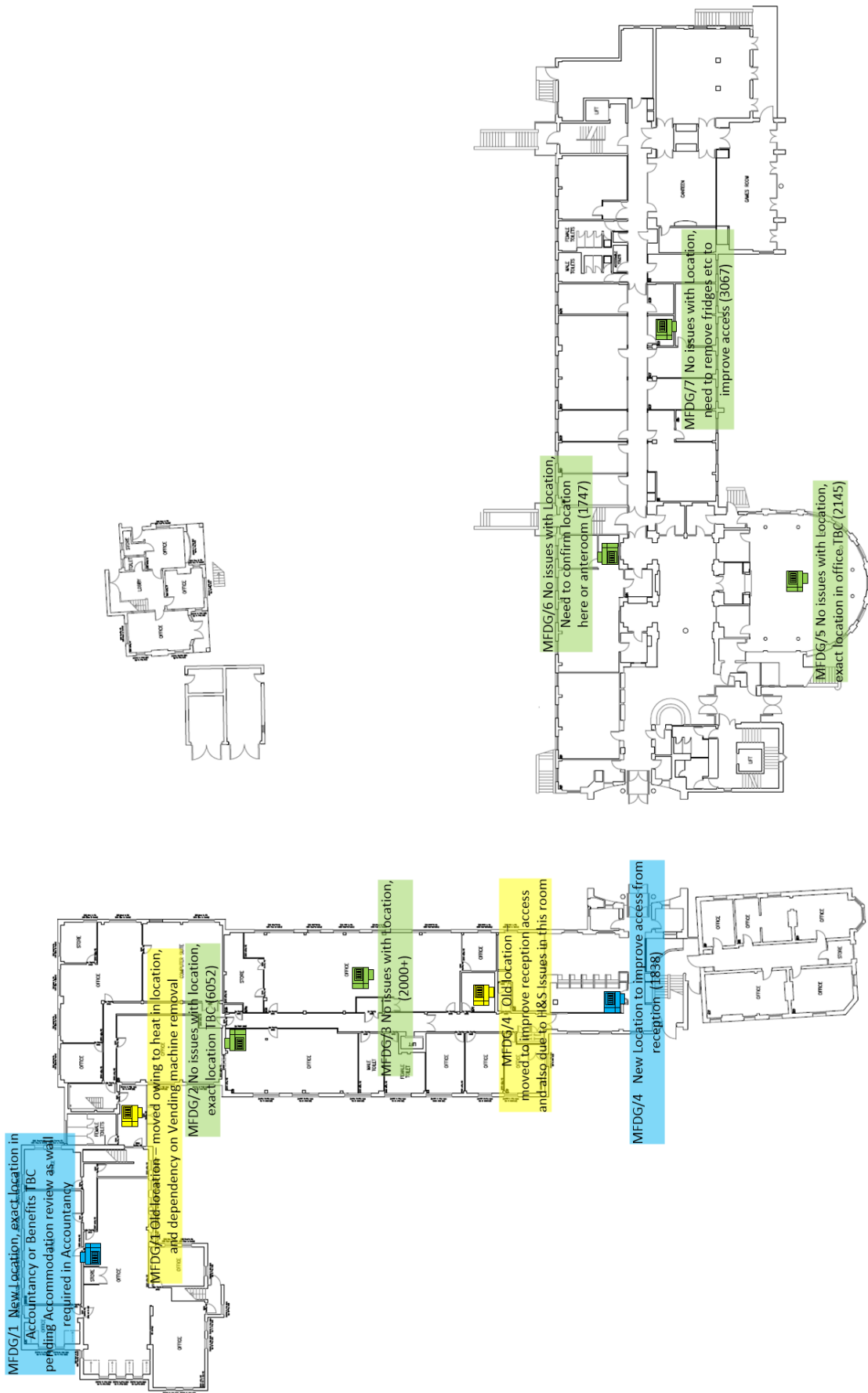
Originally proposed MFD Location



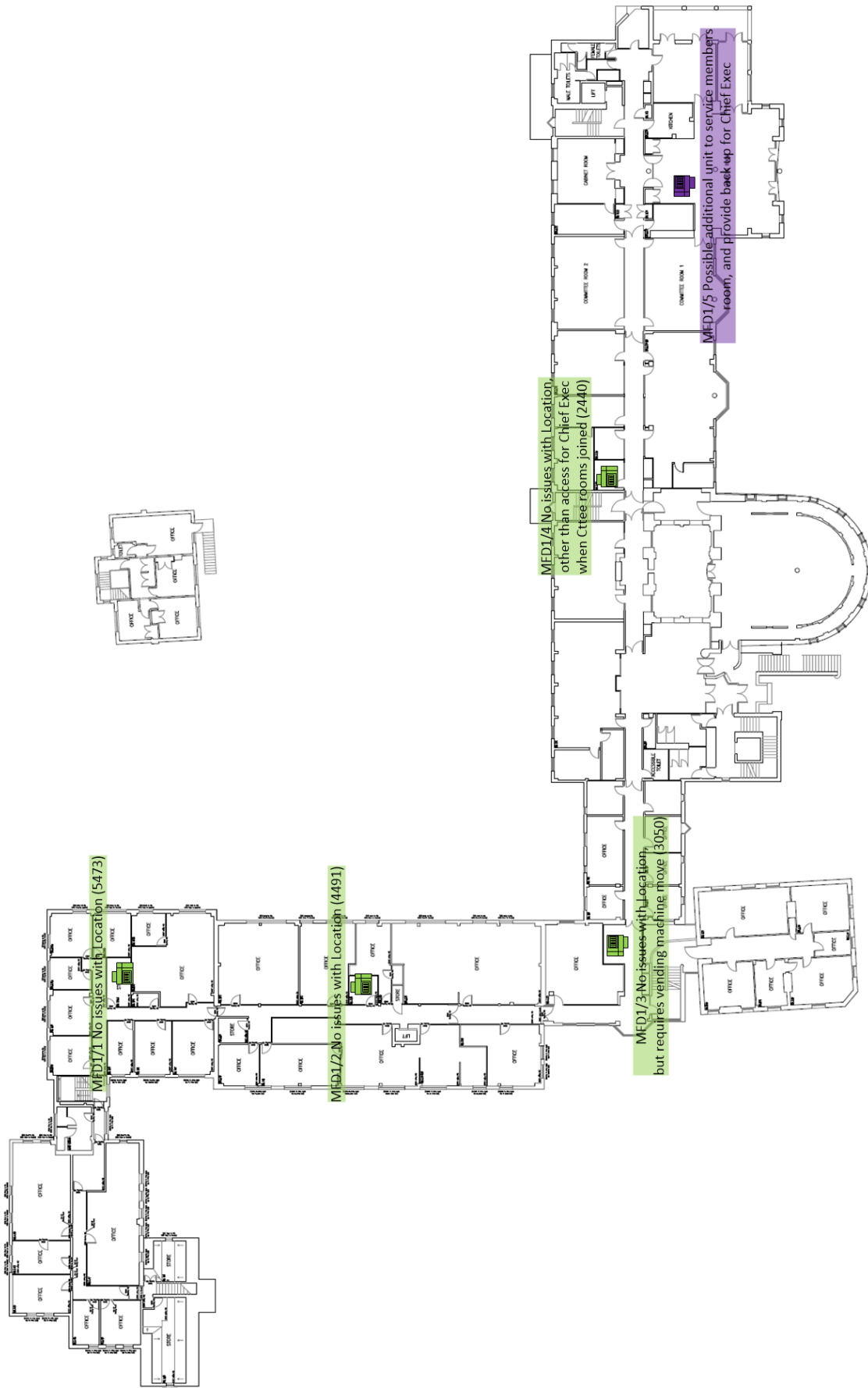
Potential Additional MFD



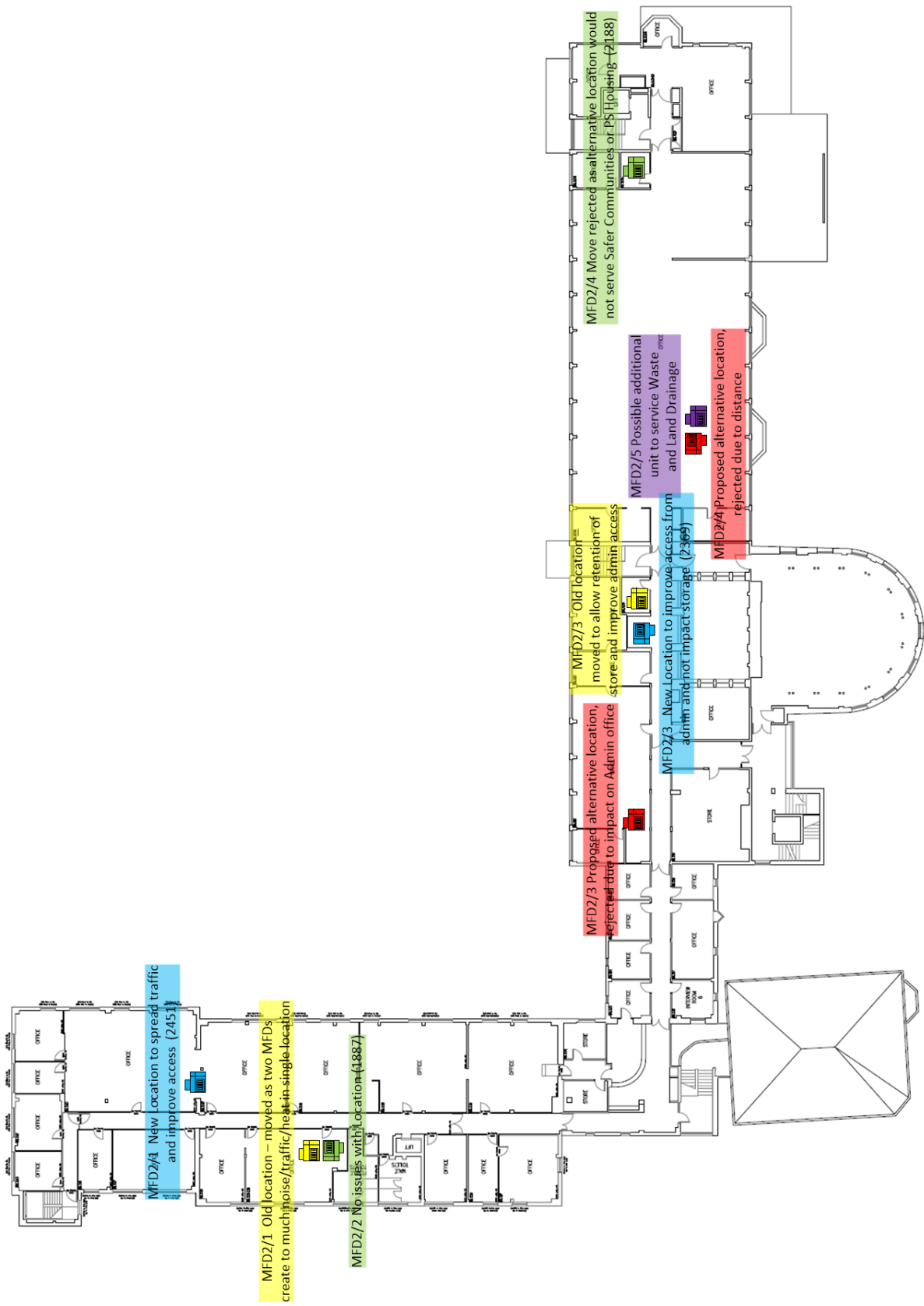
Appendix 1 – Civic Offices Ground Floor



Appendix 2 – Civic Offices First Floor



Appendix 3 – Civic Offices Second Floor



Appendix 4 Future Redeployments

These are indicative based on current plans, but show how the current fleet would meet future needs

Repairs Hub

The Hub would have two MFDs, both redeployed from the DLO.

Customer Reception

A new expanded reception would have one MFD, G/4 moved from Benefits reception

Communities staff redeployed to Current Training Room

MFD G/6 would move to this location

Potential Contact Centre in G23

MFD G/5 would be left in place

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REPORT TO THE TRANSFORMATION PROGRAMME BOARD

Date: 20 July 2016

Subject: **RISK MANAGEMENT STRATEGY**

Author/Service: David Bailey, Head of Transformation

Recommendations:

- (1) To adopt the Transformation Programme Risk Management Strategy.**

Reasons for Proposed Decision:

The management of risk is essential to the successful delivery of the Transformation Programme. The purpose of this strategy is to define the approach to identify, assess, plan, implement and communicate the management of risks within the Transformation Programme.

Other Options for Action:

Board could amend the strategy.

Report:

1. The Risk Management Strategy for the Transformation Programme is given below, which is fundamentally based on the Corporate Risk Management Strategy.
2. The key risk categories for the Transformation Programme are identified. The risks identified will be profiled in detail through the completion of risk records following approval of this strategy.

RISK MANAGEMENT STRATEGY

1. Introduction

Making changes to the way we deliver services is not without risk. Research shows that 70% of all changes in organisations fail (Kotter, 1997). It is therefore essential that the authority acts in a way that mitigates hazards and gives us the best chance of delivering successful change. The Transformation Programme is more likely to be successful because it:

- ▶ Analyses the organisation and understands the need for change;
- ▶ Creates a shared vision and a common direction;
- ▶ Makes a clear break with the past;
- ▶ Creates a sense of urgency;
- ▶ Supports a strong leader role;
- ▶ Has political sponsorship;
- ▶ Crafts an implementation plan;
- ▶ Establishes enabling structures;
- ▶ Honestly communicates and involves people; and
- ▶ Reinforces and institutionalises change.

This Risk Management Strategy is to be applied to transformation projects and programmes to help control the risks to programme and project objectives. It covers the strategy and procedure to be followed for all risks – both threats and opportunities – relating to both the work during projects and the services in operational use.

- ▶ The Transformation Programme Board is ultimately responsible for this strategy; and
- ▶ The Head of Transformation will be responsible for maintaining the strategy.

2. Risk management procedure

The following steps should apply to the Transformation Programme's risk management procedure:

Identify step

Risks – both threats and opportunities – should be identified and added to the Risk Register. The tools and techniques mentioned below will aid this. Risks should be clearly described in unambiguous terms and include the risk cause, risk event and risk effect on the programme's objectives.

Assess step

Each risk should be assessed for its probability (the likelihood of it occurring), its impact (how it will affect the programme's objectives should it occur) and its proximity (when it's likely to occur), using the guides outlined below.

Plan step

Identify and evaluate a range of options for responding to threats and opportunities. Prepare specific risk management responses to the threats and opportunities to ideally remove or reduce the threats and maximise the opportunities. See risk response category section below.

Implement step

Programme Plans, Project Plans and other plans should be updated where appropriate, to include any relevant risk response actions. Any fallback plans should be included within the relevant plan and triggered if the related risk occurs.

Communicate step

The following management reports are used to communicate risks both within projects and programmes, the Transformation Programme Board, and externally to key stakeholders as indicated in the Communication Management Strategy.

- ▶ Highlight Report – for the Transformation Programme Board regarding Programme, Project and Stage-level risks;
- ▶ Checkpoint Report – for Project Managers regarding Work Package risks;
- ▶ End Stage Report – for Transformation Programme Board regarding risk status at the end of each stage;
- ▶ End Project Report – for the Transformation Programme Board regarding risk status at the end of a project; and
- ▶ Exception Report – in the case of a risk tolerance being exceeded.

3. Tools and techniques

The following risk techniques and tools should be used to help with the identification and assessment of risks:

- ▶ Reviewing lessons from previous projects and programmes;
- ▶ Risk Checklists – using the corporate risk checklist;

- ▶ Risk Potential Assessments – to assess the complexity and potential risks of projects and recommend an appropriate level of project management;
- ▶ Risk Brainstorms – involving appropriate programme and project team members or users;
- ▶ Risk Breakdown Structure – using our chosen risk categories from the Corporate Risk Management Strategy as described below;
- ▶ Expected Monetary Value to help with assessing the ‘financial value’ of the overall impact of all risks on the programmes’ viability;
- ▶ Summary risk profile should be used to summarise risks and their estimations – to be include in Highlight Reports; and
- ▶ Probability impact matrix should be used to rank and summarise risks qualitatively, using the matrix from the Corporate Risk Management Strategy.

Document templates can be found in the Transformation Programme ‘project management’ folder on the Corporate Intranet.

4. Records

A Risk Register is to be used which will give documented evidence that risks have been identified. It should contain the following details on each identified risk:

- ▶ Risk reference or identifier (Rnnn);
- ▶ Risk title;
- ▶ Risk author – the person who raised the risk;
- ▶ Date registered;
- ▶ Risk categories: Strategic, Political, Environmental, Legislative, Organisational, Financial and Technical;
- ▶ Risk description – to include risk cause and event;
- ▶ Risk consequences – to include effect on the project’s objectives;
- ▶ Probability, impact and expected values – for inherent risk (pre-response action) and residual risks (post-response action);
- ▶ Proximity;
- ▶ Risk response categories – for threats and opportunities, see response categories section of this strategy for further guidance;
- ▶ Risk response – the action(s) chosen to resolve the risk;
- ▶ Risk status;
- ▶ Risk owner – the person who will own and manage all aspects of the risk; and
- ▶ Risk actionee – the person who will carry out the risk response actions.

5. Reporting

The following management reports should include information on the project's risks:

- ▶ Highlight Reports*;
- ▶ Checkpoint Reports;
- ▶ End Stage Reports;
- ▶ Lessons Reports; and
- ▶ End Project Report.

*A Summary Risk Profile should be used to summarise / communicate risks and be included as part of each Highlight Report. This should include a 'RAG' colour coding status where:

- ▶ Green would represent 'No risk action applied and/or actions applied and risk currently stable';
- ▶ Amber represents 'formal risk actions applied, risk increasing but within tolerance'; and
- ▶ Red represents 'formal risk actions applied, but risk currently beyond tolerance'.

The templates for the Risk Register and Summary Risk Profile can be found in the Transformation Programme page on the Corporate Intranet.

6. Risk management activity timings

Key risk management activities (e.g. Identification, Assessment, Plan and Implement) should be undertaken at the following points of the project:

- ▶ 'Minimally' at the end of each stage, as part of reviewing all risks and 'during' each management stage on a monthly basis;
- ▶ Each time a Plan is produced and authorised (Project, Stage and Team level plans);
- ▶ On creation of any Exception Plans;
- ▶ Each time a Work Package is authorised (via discussions with the Team Manager); and
- ▶ When carrying out impact analysis on issues or assessment of any risk.

7. Scales

In line with the Corporate Risk Management Strategy, the following scales should be used for assessing the probability (or likelihood) of each risk:

	<i>Level</i>	<i>Descriptor</i>	<i>Probability</i>
A	Very High	Expected to occur in most circumstances	>75%
B	High	More likely than not	61% – 75%
C	Medium	Fairly likely to occur	31% – 60%
D	Low or Very Low	Low but not impossible	1% – 30%

Table 1: Risk probability or likelihood.

The following scales should be used for assessing the (negative) impact of each risk on a project's objectives. Descriptors for these levels are given in the table below:

Impact levels and descriptors for projects

	Insignificant 4	Minor 3	Moderate 2	Major 1
Impact on people and resources	Minor injuries or stress with no workdays lost or minimal medical treatment. No impact on staff moral	Injuries or stress level requiring some medical treatment, potentially some workdays lost. Potential impact on moral and performance on teams rather than by individual case (i.e. not isolated)	Serious injuries or stressful experience requiring medical treatment, many workdays lost, Major impact on moral and performance of more than 50 staff	Life threatening or multiple serious injuries or prolonged work place stress. Severe impact on moral and service performance. Mass strike actions, etc.
Legal, statutory compliance and reputation	Internal review, unlikely to have impact on corporate image	Scrutiny required by internal committees or internal audit to prevent escalation. Probable limited unfavourable media coverage.	Scrutiny required by external agencies, external audit etc. Unfavourable external media coverage. Noticeable impact on public opinion	Intense political and media scrutiny i.e. front page headlines, TV. Possible criminal or high profile, civil action against the Council, members or officers
Service delivery and processes	Minor errors in systems / operations or processes requiring action or minor delay without impact on overall schedule. Handled within normal day to day routines.	Significant short-term disruption of non-core activities. Standing Orders occasionally not complied with, or services do not fully meet needs. Service action will be required	Significant disruption of core activities. Key targets missed, some services compromised. Management action required to overcome medium term difficulties. Escalation to Management Board for action	Cessation of core activities. Strategies not consistent with government agenda, trends show service is degraded. Failure of major projects. Escalation to the Cabinet
Financial and budgetary impacts (costs and funding)	Minimal financial loss – minimal effect on budget/cost: Less than £10k	Medium financial loss – small increase on budget/cost: Between £10k and £250k	High financial loss – significant increase on budget/cost: Between £250k and £1m	Major financial loss – large increase on budget/cost: Greater than £1m Statutory intervention triggered. Impact the whole Council
Projects	Time: Negligible delays Cost: <5% of project spend/scope Quality: Minor deviations from project specification; does not affect final benefits	Time: Minor delays with some uncertainties; potential to cause more major impacts. Cost: <10% of project spend/scope Quality: Notable change to project specification, handled within the change control process	Time: Significant delays in project implementation and benefits realisation Cost >10% of project spend/scope Quality: Potential for reduced quality of end product/service. Impacts on other delivery vehicles/ interdependencies	Time: Project benefits will not be realised Cost: Punitive costs that require financial re-planning and service cuts elsewhere or project no longer sustainable Quality: Product/service not fit for purpose. Impacts on other delivery vehicles/ interdependencies

Table 2: Impact levels and descriptors for projects.

The Probability score should be combined with the Impact score to provide an overall assessment of the risk's severity (or threat level), as shown in the risk matrix below.

			Impact (Negative)			
			4	3	2	1
			Insignificant	Minor	Moderate	Major
Probability	A	Very High >75%	Low (A4)	Medium (A3)	High (A2)	High (A1)
	B	High 61%-75%	Low (B4)	Medium (B3)	High (B2)	High (B1)
	C	Medium 31%-60%	Low (C4)	Medium (C3)	Medium (C2)	Medium (C1)
	D	Low or Very Low 1%-30%	Low (D4)	Low (D3)	Low (D2)	Low (D1)

Table 3: Risk Matrix (Threats).

Ensuring that all risks are assessed and managed through the corporate risk management methodology drives consistency through the risk management framework and enables risks to be compared and reported on against a like-for-like basis. It also provides the authority with the ability to map its collective risk exposure of a particular activity, objective, outcome, function(s) or indeed whole Council operation.

8. Risk tolerance

The Transformation Programme Board have stressed that any risk which has a probability value greater than 60% (i.e. B High), must have an appropriate risk response action(s) applied. Based on the overall risk assessment values of a risk (e.g. the probability and impact combined) the risk should be managed as follows:

Level of risk	Consequences	Actions required
Red High	Severe (negative) impact. Considerable threat	Treatment / mitigation action(s). Required to minimise threat(s)
Amber Medium	Medium (negative) impact. Manageable threat	Managed via contingency plans. Treatment / mitigation action(s). Required to minimise threat(s)
Green Low	Relatively light (negative) impact. Acceptable threat	The Council is content to accept this risk, but threat(s) should be reviewed regularly

Table 4: Risk Appetite (Threats).

9. Proximity

Risk proximity (i.e. when the risk is expected to materialise) scales to be used for projects are as follows:

- ▶ Imminent (e.g. within 1-2 weeks);
- ▶ Within the current project stage;
- ▶ Within the project; and
- ▶ Beyond the project.

10. Key risk categories

Within the Transformation Programme, the following key risk categories should be used to help identify specific areas at risk:

- ▶ Strategic – regarding the Business Case / benefits;
- ▶ Political – regarding local, national or international politics;
- ▶ Environmental – relating to our impact on the natural world;
- ▶ Legislative – rules, regulations, standards, etc;
- ▶ Organisational – regarding performance, capability, availability of all project human resources;
- ▶ Communications – including engagement;
- ▶ Customers – regarding our external customers and residents;
- ▶ Partners – regarding our external partners and stakeholders;
- ▶ Financial – regarding costs of materials, inflation, etc; and
- ▶ Technical – regarding all specialist work and related specifications or criteria.

11. Risk response categories

The following are valid response categories to be used for the Transformation Programme.

For Threats:

- ▶ Avoid – to stop the risk from occurring or to prevent any impact;
- ▶ Reduce – to treat the risk in order to reduce the impact and/or probability;
- ▶ Fallback – a plan of action to be used if the risk happens;
- ▶ Transfer – a third party takes on responsibility for some or all of the impact;
- ▶ Share – via procurement, the negative impact of the threat can be shared with the supplier; or

- ▶ Accept – A conscious decision to retain the threat usually due to it being more economical to do nothing than to attempt to take action. The opportunity should still be monitored to ensure it remains tolerable.

For Opportunities:

- ▶ Exploit – seize the opportunity to ensure it **will** happen and the impact **will** be realised;
- ▶ Enhance – take action to enhance the probability of the event occurring and enhance the impact of the event should it occur;
- ▶ Share – via procurement, the positive impact of the opportunity can be shared with the supplier; or
- ▶ Reject – a deliberate decision may be made to not exploit or enhance an opportunity due to it being more economical to not attempt an opportunity response action. The opportunity should still be monitored.

12. Early Warning Indicators

- ▶ If specialist team resources fall below 70% availability (for any work areas);
- ▶ If any project schedule is ahead by 4 weeks, or behind schedule by 4 weeks (linked to project time tolerances);
- ▶ 50% of issues remaining unresolved; or
- ▶ If the average number of days for resolving critical or major issues exceeds 10 working days.

13. Risk budget

Each project budget should include 5% of the total sum set aside in the Transformation Programme budget to deal with risks. This budget should only be used to pay for risk management activities. The Head of Transformation must agree access to this budget via the Programme Management Office. Its use will be as follows:

- ▶ Funding all agreed risk management actions to the project's threats and opportunities, e.g. for funding specific fallback plans, actions that will reduce the risk threat, avoidance actions, or for exploiting or enhancing any recognised opportunities; and
- ▶ The risk budget will be divided over each stage of the project, the amount of which to be agreed with the Programme Management Office at each stage end.

14. Risk roles and responsibilities for projects

Role	Responsibility
Transformation Programme Board	Ensure risks related to the Business Case are identified, assessed and controlled. Monitor and where appropriate manage / own risks at a business / strategic level. Approve the Risk Management Strategy
Senior User	Ensure risks to the users are identified, assessed and controlled
Senior Supplier	Ensure risks relating to the supplier aspects are identified, assessed and controlled
Project Manager	Create and maintain the Risk Register. Ensure all risks are identified, recorded in the Risk Register and regularly reviewed. Manage specific risks assigned to them. Approve risk response actions at Work Package level
Team Manager	Participate in the identification, assessment and control of risks
Programme Lead	Review risk management procedures to ensure they are performed in line with this Risk Management Strategy
Project Support	Assist the Project Manager with the maintenance of the Risk Register. Protect the Risk Management Strategy under configuration management

Table 5: Risk Management Strategy: Roles and responsibilities.

15. References

Kotter, J. P., 1997. Leading Change: Why Transformation Efforts Fail. *Harvard Business Review*, 2007(1), pp. 34-40.

SPOCE Project Management 2011.

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Transformation risk register

Last updated 27/02/17

Note - scores based on Risk Management Strategy that went to the Transformation Programme Board on 20 July 2016

Risk (If - Then)	Background - Cause/Effect	Likelihood	Impact	Inherent rating	Mitigation / current controls	Likelihood	Impact	Residual rating	Further action required (include timescales)	Risk Owner	Completion/ review date
Culture: If Council staff and Members do not embrace change then the Council's vision cannot be delivered.	1. Poor engagement. Staff not understand the purpose for Transformation 2. Poor communication 3. Silo mentality 4. Lack of reflection/learning	Major	Very High	A1	1. Large scale transformation training programme delivered and is helping breakdown silos. 2. Project managers 'workshops' instigated. 3. Evaluation report to the Board as projects close. 4. Various comms incl District Lines, CE briefings, intranet. Comm strategy being developed.	High	Moderate/minor	B2	Treat: 1. Improve stakeholder management to ensure relevant staff are involved much earlier in projects 2. Communication of learning points from projects 3. Somehow capture and retain knowledge	Head of Transformation	
Capacity: If the Council lacks expertise or capacity then the Transformation programme cannot be delivered	1. Staff resource issue (lack of experts and loss of key staff) 2. Risk of internal controls failing in Business as Usual activities if staff are diverted to projects	Very high	Moderate	A2	1. Formal project groups with range of skills and experiences 2. Project priorities determined. 3. Analysis of who sits on what projects. 4. 16/17 Internal Audit reviews found no significant loss of internal controls.	High	Moderate/minor	B2	Tolerate: Keep staff resourcing and training requirements under review	Head of Transformation	
Programme Management: If projects are not co-ordinated this could have a knock-on effect on other projects or affect delivery of the overall programme.	1. Lack of consistency between projects 2. Lack of direction 3. Over bureaucratic process 4. Too many projects 5. Similar projects undertaken in isolation (e.g. scanning)	Very High	Major	A1	1. Board involvement and scrutiny 2. Clear project methodology. 3. Member involvement and reporting at Cabinet level. 4. Transformation Team with regular reports to the Board 5. Programme Management Office (PMO) which involves Assistant Directors at different times.	Medium/Low	Moderate/Minor	C2	Tolerate: Bringing in Covalent to help manage the overall programme.	Head of Transformation	
Benefits: If projects are internally driven then benefits for our customers will not be delivered or are incompatible with other systems/processes	1. Process change to suit internal requirements rather than our customer requirements 2. Need to ensure proposed changes integrate with other processes and/or IT systems.	High	Moderate	B2	Business case	High	Moderate	B2	Treat: 1. More work required to ensure benefits are properly articulated and communicated 2. Review programme and project process to ensure it is customer focussed 3. Ensure IT and procurement are involved at the outset in case they are aware of conflicting priorities.	Head of Transformation	
Finance: Financial constraints on the Council due to poor financial management of individual projects and the overall programme. Expected financial benefits are not realised.	1. Escalating costs and/or diminished funding 2. Unexpected costs (Note risk score based on overall programme not individual projects)	Very High	Major	A1	1. All projects require a business case 2. Financial outturn at project end.	High/Medium	Major	B1	Treat: 1. Financial monitoring against budgets needs to be undertaken throughout the lifecycle of a project and become the norm. 2. Ensure accountancy are involved from the outset and throughout projects.	Head of Transformation	

<p>Potential future risks: 1. Transformation fatigue leading to loss of staff morale and impetus 2. Political changes impacts the direction of the Transformation programme.</p> <p>Potential future opportunities: Bring in external experts for Transformational change (financial impact but could free up staff)</p>	<p>Keep a watching brief</p>										
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Stage 1

Risk Potential Assessment

Introduction

You should use this form, at the earliest opportunity, to make a simple assessment of how complex or strategically important your project, programme or policy might be, and to identify whether it should be formally supported and approved by the authority's Transformation Programme.

Contact the Programme Management Office if you need help or advice to complete the form.

How to complete this form

Record the project, programme or policy name etc in Section A. Consider each Section (B to D) and place 'x' in one of the five columns (very low to very high) to indicate the level of Change, Impact and Budget associated with the project, programme or policy.

In Section E record the sum of the numbers awarded in each of the columns from Sections B to D. Section F indicates the action you should take given the sum recorded in Section E.

Section G should be signed by the Project Manager and counter-signed by the Head of Transformation. This provides an audit and demonstrates that the potential risk associated with a project, programme or policy has been considered.

Section A – Project, programme or policy details

Project, programme or policy name	P033 Printer Migration
Project manager	David Newton, Assistant Director – ICT and Facilities Management
Organisation responsible for delivery	EFDC

Section B – Likelihood of change

How likely is it that the project or programme's ability to deliver to time, cost and quality will be compromised?

	Very Low	Low	Med	High	Very High	
The project, programme or policy is well scoped. Objectives or Outcomes are clearly defined and should not change. The necessary resourcing and finance have been approved.	1	X	3	4	5	The project, programme or policy will be subject to changing demands and pressures. There are significant external pressures on the project or programme. The necessary resources have not been approved.

Section C – Scale of impact

If the project, programme or policy fails to deliver its outcome or objectives, how severe would be the impact?

	Very Low	Low	Med	High	Very High	
Project, programme or policy failure is unlikely to be noticed. Current arrangements could continue to serve business requirements, though some minor changes may be needed.	1	2	X	4	5	Project, programme or policy failure would have significant consequences: Organisational, Political, Economic, Social, Technological, Environmental or Legal.

Section D – Project, programme or policy budget

How much is the projected budget for the project, programme or policy? Take into account the whole-life costs of the project or programme.

Separate formal approval is required for resources or funding.

Up to £10k	£10k to £25k	£25k to £50k	£50k to £100k	£100k and above
1	2	3	X	5

Section E – Calculating the project, programme or policy's RPA

Insert, in the box to the right, the sum of the numbers in each of the columns from Sections B to D in which you placed your 'x'.

9

Section F – What to do next

Total score (sum)	Risk potential	Action
3 to 5	Low	The project, programme or policy does not appear to require formal Transformation Programme support. The project manager should ensure that the project, programme or policy conduct regular self-assessments to ensure that it is on track to successfully deliver its outcomes or objectives.
6 to 15	Medium or High	A Stage 2 - Risk Potential Assessment form (RPA-2) should be completed to determine whether the project, programme or policy must be supported by the authority's Transformation Programme.

Section G – Assessment

I am satisfied that the initial Risk Potential Assessment provides an accurate reflection of the project, programme or policy at this stage of development. I will re-assess the project, programme or policy if there is a significant change to the project or programme scope or budget or if significant changes emerge that may threaten successful delivery.

I understand that separate approval is required for any resources or funding.

Signed	David Newton Project Manager	Date	26.05.2016
I am satisfied that the project manager's assessment of the project, programme or policy, as recorded above, is an accurate reflection of the risk potential at this stage of development.			
Signed	David Bailey Head of Transformation	Date	26.05.2016

Filing and recording arrangements

- ❖ Retain a copy of this completed and signed form with the official record for the project or programme.

Stage 2

Risk Potential Assessment

Introduction

This form helps determine whether a project, programme or policy should have formal Transformation Programme support. ***(You must complete this form if you completed a Stage 1 form and it indicated the project, programme or policy is potentially Medium or High Risk)***. Section E explains how to complete this form.

Section A – Project, programme or policy details

1. Is this a project, programme or policy?	Project	
2. Project, programme or policy name <i>(Note previous name if changed since last review)</i>	P033 Printer Migration	
3. Project, programme or policy type	Business culture	<i>(see section E.5 for guidance on programme and project descriptors)</i>
4. The name of the Public Sector organisation responsible for the project, programme or policy's delivery.	EFDC	
5. Lead Directorate or Sponsor Directorate if the delivery organisation is a partner.	Resources	
6. Sponsor contact details for the project, programme or policy: Senior Policy Owner – for policy Senior Responsible Owner – project or programme	Name: Glen Chipp, Chief Executive Tel no: 01992564758 Email: gchipp@eppingforestdc.gov.uk	
7. Project, programme or policy manager details <i>(If appointed)</i>	Name: David Newton, Assistant Director – ICT and FM Tel no: 01992 564580 Email: dnewton@eppingforestdc.gov.uk	
9. If a <u>project</u> - name the overarching programme If a <u>programme</u> - list the key projects within the programme. If a <u>policy</u> - name of overarching programme and/or list of key projects.		
10. Estimated delivery cost and whole-life operational cost of the project, programme or policy initiative (if known at this stage).	Delivery cost £55,000 Whole life operational cost £TBC	
11. Overall RPA-2 assessment <i>(Derived from Section D. * Delete as appropriate)</i>	High	
13. RPA-2 Completed by	Name: Gareth Nicholas	Date: 26/05/2016
14. RPA-2 Approved by (Head of Transformation)	Name: David Bailey	Date: 26.05.2016

15. Background and information on the project, programme or policy to support the overall Complexity Assessment

Section B – Consequential impact assessment

If we fail to deliver this project, programme or policy:

Strategic Area		VL	L	M	H	VH	
B1 Political	There will be no political impact.		X				A major policy initiative or manifesto commitment will be affected. Audit and the Audit Committee have a strong interest in this change initiative.
B2 Public	Public services will not be impacted. It will not stimulate interest from public pressure groups.			X			Public services will be affected and there will be significant interest from the media and key stakeholder interests.
B3 Financial	There will be little or no exposure of public funds or additional financial burden.				X		There will be very significant financial exposure of public funds, or an additional financial burden.
B4 Security	There will be no security or public data handling implications.			X			Significant security or public data handling issues or requirements will have to be addressed.
B5 Business / Operational / Commercial	There will be limited impact on the organisation's administration, operations or staff and no changes to regulatory requirements.				X		High profile business problem will remain unaddressed. There will be significant impact on the organisation or commercial markets placing additional regulatory burdens on them. Essential legislative requirements would not be met.
B6 Dependencies	There will be no impact on the successful delivery of any other project, programme or policy.				X		It will have a significant impact on other projects, programmes or policy, some of which are totally dependent on this project, programme or policy for their successful delivery. (Ensure you list these, as appropriate, at A9).
		VL	L	M	H	VH	
B7 Summary assessment	Failure to deliver this project, programme or policy will have little or no impact on the delivery of public services or infrastructure. It will not undermine the ambition for the District. It will not impede the delivery of other projects, programmes or policies. Failure to deliver will not leave public finances over-exposed.				X		Failure to deliver this project, programme or policy will have a significant impact on the delivery of public services or infrastructure. It will undermine confidence in the District's ability to deliver on key commitments. It will have a high and detrimental impact on the District. It will have consequential impacts on the delivery of other key projects, programmes or policy initiatives and will leave public finances exposed or over-committed.

[Note: Record summary assessment mark at B.7 at Section D below]

Section C1 – Delivery complexity assessment

The project, programme or policy is delivering in an environment where:

		VL	L	M	H	VH	
C1.1 Policy / legislation	Policy and legal implications are fully understood. There are accepted precedents for any changes that need to be made.			X			Policy and legal implications are complex or involve cross-border jurisdictions. Legislative or cross-organisational policy is unclear or subject to change and legal challenge to its implementation is likely.
C1.2 Business	The business environment is stable, no significant changes are envisaged. Objectives are easily defined and measured.			X			There is a complex and changing business environment that is dependent on broader change initiatives. There are extensive changes to business operations.
C1.3 Innovation	The technologies and techniques are proven for the environment and require little if any adaptation.				X		Leading edge, novel or innovative technology or techniques will be introduced involving a high degree of design, build or implementation complexity.
C1.4 Commercial	Established contracts will be used. There will be a single supplier or short supply chain.				X		There will be complex or innovative commercial arrangements. The supplier market is limited and/or very specialist. There will be multiple suppliers or complex / volatile supply chain.
C1.5 Governance	A simple and stable governance structure and appropriately scaled project management will support delivery. The key post holders are easily identified and will remain in post.			X			A complex or multi-faceted governance or management structure will be required. Delivery partners may deploy their own methodologies. The governance and management structures will need to change during the life of the project programme or policy and key post-holders are likely to change.
C1.6 Dependencies	There are few dependencies on other projects, programmes or policies.				X		There are complex dependency relationships with other projects, programmes, policies or organisations. The planning consent process will be complex and may, for example, require careful management of architectural, historical or environmental issues.
C1.8 Delivery approach and co-ordination	There is a co-located project, programme or policy and supplier team operating. The transition from the existing to future state will be simple.		X				There is a complex local or national delivery environment involving the co-ordination of multiple sites and addressing differing cultural approaches. There will be complex testing and transition issues.
		VL	L	M	H	VH	
C1.9 Summary assessment	The challenges to successful delivery are very low and the change is unlikely to threaten objectives.				X		There will be a very high degree of challenge and changes are highly likely to threaten achievement of objectives. The delivery environment is very complex and there are multiple dependencies.

[Note: Record summary assessment mark at C1.9 at Section C4 below]

Section C2 – Capacity and capability complexity assessment

The project, programme or policy is delivering in an environment where:

		VL	L	M	H	VH	
C2.1 Project / programme team	The delivery team is fully resourced with the appropriate skills and experience.		X				Resources are not readily available and there will be disruption to key posts within the delivery team. Team members have no previous experience of the type of change or technology they are to implement. Delivery will require access to people with well developed skills and experience in a range of technical and professional disciplines.
C2.2 Stakeholders / organisation	The stakeholder community is small and well resourced, informed and knowledgeable. Stakeholders support the delivery of the intended outcomes, their requirements and relative priorities documented, agreed, and unlikely to change.				X		There is a complex stakeholder community that lacks the maturity, resources and skills to engage effectively with the project or programme. The stakeholder environment is continuously evolving and the changes delivered by this project or programme are low on their agenda. There are significantly differing priorities between stakeholder groups.
C2.3 Suppliers (internal / external)	There are experienced suppliers operating in a stable market. Supplier resources are skilled and available, with ongoing support and commitment.			X			There is a weak or overstretched market, suppliers will have difficulty sustaining an acceptable level of support for this project or programme and may either withdraw from the process or offer limited solutions to the requirements.
C2.4 Delivery organisation's strategic leadership / business culture	There is strong leadership driving this change. Those in leadership positions are experienced and knowledgeable. There are no unforeseen organisational pressures that would put successful delivery at risk.		X				The delivery organisation's strategic leadership is / will be subject to change and have little or no previous experience or responsibility for a implementing change of a similar magnitude or complexity. The project, programme or policy will have to deliver in a challenging cultural, staff or workload environment.
		VL	L	M	H	VH	
C2.5 Summary assessment	The organisational and stakeholder capacity and capability to deliver this change is in place and unlikely to change in a way that would threaten the project, programme or policy outcomes and objectives.			X			There are significant capacity or capability issues to be addressed. Changes across the organisational and stakeholder environment are highly likely to threaten achievement of objectives.

[Note: Record summary assessment mark at C2.5 at Section C4 below]

Section C3 – Scale complexity assessment

The project, programme or policy is delivering in an environment where:

		VL	L	M	H	VH	
C3.1 Time	The delivery timescale is not challenging and is not expected to change. There are no external drivers that impact it. Business continuity and contingency plans have been successfully tested.			X			There are immovable and/or imposed deadlines. Major changes to timescales are likely to occur and there are limited or no contingency options available.
C3.2 Budget	Funding is secured. It is within the delivery organisation's budget and delegated limits. The budget is not expected to change and an appropriate and established financial management system is in place. In comparison to the delivery organisation's overall portfolio the costs of this particular project, programme or policy are relatively small.				X		Funding is outside the delivery organisation's spend delegations and will involve complex cross-organisational arrangements. Financial estimates are likely to be subject to significant pressures from ongoing or expected change. External economic conditions will have an affect on funding options or availability. An innovative financing model may be needed to secure project, programme or policy funds. The costs of this particular project, programme or policy are significant, relative to the organisation's overall project or programme spend. An appropriate financial management system is not in place, or the existing system has not been recently audited.
C3.3 Benefits	The benefits to be delivered are relatively small, easy to define and measure. Ownership of the benefits is clear.		X				The magnitude of benefits is significant and there will be a complex and changing environment in which they have to be realised. The benefits will be delivered over time, they will be difficulty to identify, communicate and measure.
C3.4 Quality	Quality requirements are clear, easily achievable and stable.			X			Quality requirements are extremely challenging, likely to change significantly or will be hard to achieve.
		VL	L	M	H	VH	
C3.5 Summary assessment	The project, programme or policy environment is stable; any changes are likely to be relatively small, easily managed and should not affect the delivery outcomes.			X			It is highly likely the project, programme or policy will have to deal with significant and large scale change during its lifecycle. The management of change will need to be very sophisticated and is likely to draw resource and leadership capacity to maximise the likelihood of a successful outcome.

[Note: Record summary assessment mark at C3.5 at Section C4 below

Section C4 – Complexity assessment summary

Insert the marks allocated for each of the four summary assessments from Sections C1-C3 above.

Complexity areas summary assessments	VL	L	M	H	VH
Delivery challenge (C1.9)				X	
Capacity and capability (C2.5)			X		
Scale (C3.5)			X		
C4.1 - Overall complexity assessment			X		

[Note: Overall summary assessment mark at C4.1 above to be used in Section D]

Section D - Risk Potential Assessment

Plot overall summary assessments from B7 and C4.1 and mark with a X in grid below to give an overall assessment – the area your X falls within is indicated as Low, Medium or High.

(From Section B7) Overall consequential impact assessment	Very High	Transformation project			HIGH	
	High ✓			✓		
	Medium	Project management best practice				
	Low	LOW		MEDIUM		
	Very Low	Minimal need for project management				
		<i>Very Low</i>	<i>Low</i>	<i>Medium</i> ✓	<i>High</i>	<i>Very High</i>

(From Section C4.1)

Overall complexity assessment

Transfer the overall Risk Potential Assessment above (**LOW / MEDIUM / HIGH**) to box A.11 on the page 1 of the RPA-2.

Section E- About this form and what to do next

1. Who should complete the RPA-2 assessment?

Projects, programmes and policies assessed as potentially Medium or High Risk in their Complexity or Strategic Importance through Stage 1 (RPA-1 form). The project manager should complete the RPA-2 as early in the life of the project, programme or policy as possible, i.e. at project charter / project mandate.

2. What is the RPA-2 for?

The form helps assess whether a project, programme or policy must be formally supported by the authority's Transformation Programme. The assessment is an indicator of risk potential; it is not a risk analysis model but can be an input to one. The assessment may enable discussion about the risks to and responsibilities for delivery of the project, programme or policy. It may also help identify areas where specific skills, commensurate with the level of complexity, may be required.

3. How to complete the RPA-2 Form

Section A - captures basic information about the project, programme or policy. Most boxes are self-explanatory. At question 2 please use one of the following descriptors for the project, programme or policy type:

- Customer experience;
- Business culture;
- Resources, accommodation and technology; and
- Major projects.

Section B & Section C are completed in the same way. Section B comprises 6 Strategic Areas (B1-B6). Section C comprises 3 sub-sections (C1-C3). In each strategic area / sub-section there are 5 columns covering assessments from Very Low (VL) to Very High (VH). Alongside each strategic area / sub-section are statements that correspond with the extremes of VL and VH. Using your knowledge and judgement consider each strategic area / sub-section and mark an **X** in the column that best indicates the level of Impact (strategic area) or Complexity (sub-sections) associated with that particular topic.

At the end of each Section (or sub-sections in Section C) is a summary assessment. You should use this summary to record the overall assessment for that particular section (or sub-section). There is no 'formula' for calculating this summary – you should take a holistic view when determining the overall assessment.

Section C4 - 'Complexity Assessment Summary' takes the summary outputs from Section C1 to C3 and allows you to determine an overall summary for Section C. Again, there is no 'formula' for calculating this summary – you should take a holistic view of the summary results from Section C1-C3 in arriving at an overall assessment. Record it at C4.1. At C4.2 provide a narrative that explains the background to the project, programme or policy, the main outcome or objectives, the intended benefits, a high-level time-line and summaries significant impacts facing successful delivery.

Section D - records the summary results from Section B and C and gives an overall RPA for your project, programme or policy. Plot the overall results from Sections B and C on the respective axis in the table in Section D by marking an **X** in the appropriate cell where the respective assessments intersect. This now gives an overall indication of the associated RPA for the project, programme or policy. Your **X** will lie in an area of the table that is either High (red shaded), Medium (amber shaded) or Low (green shaded). This overall RPA should be recorded at Box A.11 on page 1 of the RPA-2.

You must now agree your overall assessment with a member of the Programme Management Office for the project, programme or policy initiative. Both you and the Head of Transformation must record your agreement in boxes A.13 and A.14 on the front page of the RPA-2.

4. What do I do with the completed form?

If Box A-11 is Medium or High Risk – send the completed form to the Programme Management Office. The Programme Management Office will arrange an Assessment Meeting for the project, programme or policy.

The completed form will be reviewed as part of the Assessment Meeting. The outcome of the meeting may mean that a project, programme or policy assessed as Medium Risk in the RPA-2 is re-categorised as High Risk (or vice-versa). The authority's policy is that all High Risk projects, programmes and policies must be supported by the authority's Transformation Programme.

Where, as the result of the Assessment Meeting your project, programme or policy remains (or is re-assessed as) Medium Risk you should consider what other forms of internal assurance process should be used to help you track and ensure the successful delivery of its outcomes or objectives.

If Box A-11 is Low Risk - you should ensure that your project, programme or policy conducts regular self-assessments to ensure it is on track to successfully deliver its outcomes or objectives.

5. Who will use the information provided in this RPA-2?

In accordance with the Data Protection Act 1998 - It is intended that the data collected in this form will be used by the authority for its own purposes and also to inform other areas of authority business. The data may also be used to make you aware of services, advice and guidance. Please direct any issues related to the use of data within this form to the Programme Management Office.

6. Is the information contained in the RPA-2 releasable under the Freedom of Information Act?

The project manager is responsible for considering any Freedom of Information request in relation to the RPA-2. Please advise the Programme Management Office of any such request.

7. Who can I contact about completion of this form?

If you wish to discuss this form please contact the Programme Management Office.

Stage 2 Risk Potential Assessment v1.1 01.03.16