

SmartCities

Project Initiation Document

Pilot name: Business Process Change in Revenues and Benefits

Municipality: Edinburgh

Work-package: WP3

Date: November 2009

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1. Introduction

A project initiation document [PID] is a document that brings together in one place the key information needed to start, manage and evaluate a pilot.

All stakeholders should be informed of the development of a PID, and the final PID should be agreed and signed off by the management in municipal partners.

The PID should contain information setting out the "who, what, why, when and how" for the local pilot. It should define all major aspects of the pilot, and can be used as a key part in the management of the delivery of the pilot and sets the baselines that will be used in any assessment of the pilot's success.

All Smart Cities partners are expected to produce a PID for each local pilot. These will be used by the project and by local partners to measure progress against the aims and objectives set out in each pilot's PID. Many partners will already be expected to develop PIDs for their pilots: in this case relevant information should be copied into this form.

2. Pilot information

This section sets out the basic information about your pilot.

2.1. Pilot name

What's your pilot project called?

Business Process Change: Revenues and Benefits Pilot Project

2.2. Pilot acronym

Does the pilot have an acronym? [e.g. SCRAN?] If not, leave blank.

BPC Pilot in R&B

2.3. Pilot website

Does the pilot have a local website? If not, leave blank.

Intranet pages only (i.e. not publicly available)

2.4. What type of initiative is the pilot?

Select **all** that apply to your pilot.

- | | | | |
|-------------------------------------|----------------------|--------------------------|----------------------------|
| <input checked="" type="checkbox"/> | Project or service | <input type="checkbox"/> | Award scheme |
| <input type="checkbox"/> | Network | <input type="checkbox"/> | Promotion/awareness scheme |
| <input type="checkbox"/> | Strategic initiative | <input type="checkbox"/> | Other |

2.5. Pilot country

| | | | |
|--------------------------|-------------|-------------------------------------|--------|
| <input type="checkbox"/> | Belgium | <input type="checkbox"/> | Norway |
| <input type="checkbox"/> | Germany | <input type="checkbox"/> | Sweden |
| <input type="checkbox"/> | Netherlands | <input checked="" type="checkbox"/> | UK |

2.6. Pilot city/region

Edinburgh City

2.7. Pilot start date

June 2009

2.8. Pilot finish date

January 2010

2.9. Pilot operational date

When did your pilot go 'live' to the public/businesses?

September 2009

3. Background to the pilot

Set out the context for the pilot: why are you interested in doing this work, what issues do you need to address, why do you feel you need to address them etc..

A Customer Services Strategy and vision for the City of Edinburgh Council was agreed in December 2008. In order to achieve the future vision, a number of inter-related projects and themes were developed, with funding being agreed in June 2009. Business Process change is one of these projects, and has been taken forward as one of the Smart Cities pilots.

The Revenues and Benefits Division within the City of Edinburgh Council has regular contact with most customers (citizens and business) through the processing of council tax and collection of business rates. Improving customer service in this area will impact on the maximum number of service users, and should improve the council's overall customer satisfaction scoring. The division was therefore chosen to pilot a new approach to business process change in customer services that includes both Customer Journey Mapping and Lean methodologies.

At present, the division is struggling to keep up with the increased demand for benefits as a result of the economic downturn, and a backlog of work to be processed, resulting in additional burdens and lower customer services. The head of the division is committed to improving both efficiency and customer service, and the division was therefore appropriate as a starting point to develop the approach which will be used for similar reviews across the council.

3.1. Pilot topics

Select **all** that apply to your pilot

- | | |
|--|--|
| <input checked="" type="checkbox"/> Efficiency & Effectiveness, Benchmarking | <input type="checkbox"/> Interoperability |
| <input type="checkbox"/> Inclusive eGovernment | <input type="checkbox"/> Legal Aspects |
| <input type="checkbox"/> eIdentity and eSecurity | <input checked="" type="checkbox"/> Multi-channel Delivery |
| <input type="checkbox"/> eParticipation, eDemocracy and eVoting | <input type="checkbox"/> Open Source |
| <input type="checkbox"/> eProcurement | <input type="checkbox"/> Policy |
| <input type="checkbox"/> Services for Businesses | <input checked="" type="checkbox"/> Regional and Local |
| <input checked="" type="checkbox"/> Services for Citizens | <input checked="" type="checkbox"/> User-centric Services |
| <input checked="" type="checkbox"/> High Impact Services with Pan-European Scope | <input type="checkbox"/> Other |
| <input type="checkbox"/> Infrastructure | |

3.2. Pilot sector

Select **all** that apply to your pilot

- | | |
|--|---|
| <input checked="" type="checkbox"/> Communication (infrastructure) | <input type="checkbox"/> Internal market |
| <input type="checkbox"/> Crime, Justice and Law | <input type="checkbox"/> Local/Regional Community Development |
| <input type="checkbox"/> Culture and Media | <input type="checkbox"/> Procurement |
| <input type="checkbox"/> Customs | <input checked="" type="checkbox"/> Social Security |
| <input type="checkbox"/> Education, Science and Research | <input type="checkbox"/> Social Services |
| <input type="checkbox"/> Electricity/Gas | <input checked="" type="checkbox"/> Tax |
| <input type="checkbox"/> Employment | <input type="checkbox"/> Travel, Transports and Motoring |
| <input type="checkbox"/> Environment | <input type="checkbox"/> Water |
| <input type="checkbox"/> Fire Services | <input type="checkbox"/> Other Social Services |
| <input type="checkbox"/> Healthcare | <input type="checkbox"/> Other |

3.3. Target users of pilot

Select **all** that apply to your pilot

- | | |
|--|---|
| <input checked="" type="checkbox"/> eGovernment | <input type="checkbox"/> Disadvantaged/deprived communities |
| <input checked="" type="checkbox"/> Administrative | <input type="checkbox"/> Families and children at risk |
| <input type="checkbox"/> Business (self-employed) | <input type="checkbox"/> Homeless |
| <input type="checkbox"/> Business (industry) | <input type="checkbox"/> Minorities and migrants |
| <input type="checkbox"/> Business (SME) | <input type="checkbox"/> Older people (60+) |
| <input checked="" type="checkbox"/> Citizen | <input checked="" type="checkbox"/> People living in poverty and/or precarity |
| <input type="checkbox"/> Civil society | <input type="checkbox"/> People with anti-social and criminal behaviour |
| <input checked="" type="checkbox"/> Intermediaries | <input type="checkbox"/> People with disability |
| <input type="checkbox"/> Other | <input type="checkbox"/> People with health and long-term care problems |
| <input type="checkbox"/> eHealth | <input type="checkbox"/> People with no or poor digital literacy |
| <input type="checkbox"/> Add Patients | <input type="checkbox"/> SMEs, associations and intermediaries |
| <input type="checkbox"/> General public | <input type="checkbox"/> Unemployed people |
| <input type="checkbox"/> Health authorities | <input type="checkbox"/> Young people at risk of marginalisation |

- | | |
|---|--------------------------------|
| <input type="checkbox"/> Health professionals | <input type="checkbox"/> Other |
| <input type="checkbox"/> eInclusion | <input type="checkbox"/> Women |
| <input type="checkbox"/> Any citizen | <input type="checkbox"/> |

3.4. Description of target users

Please describe your target group and provide some information on size, composition and needs.

Internal staff from eGovernment, Learning and Development and Revenues and Benefits division (approx 200): these people will be involved in later reviews and need to understand the model being developed and to obtain some knowledge transfer from the pilot.

Citizens paying Council Tax (approx 230,000 households): Users need an efficient and effective service that helps them to pay the correct amounts and deal with queries or changes relating to council tax in a timely fashion.

Citizens in Receipt of Housing Benefits (TBA) Users need an effective service that pays them the right benefits at the right time, and that can process any changes in circumstances that may affect payments in an efficient manner.

Service users in payment arrears (TBA): These service users vary greatly, but are all related to miscellaneous debts owed to the council. Users need to be able to easily pay any outstanding debts, preferably before being taken to court for payment.

3.5. Type of service

Select the **one** that best applies to your pilot

- | | |
|--|--|
| <input type="checkbox"/> Not applicable/not available | <input type="checkbox"/> IT infrastructures and products |
| <input type="checkbox"/> Awareness-raising information | <input type="checkbox"/> Participation |
| <input type="checkbox"/> Training and education | <input checked="" type="checkbox"/> Inclusive services of general interest |
| <input type="checkbox"/> Content provision | <input type="checkbox"/> Other |

3.6. Overall implementation approach

Select the **one** that best applies to your pilot

- | |
|---|
| <input checked="" type="checkbox"/> Public administration |
| <input type="checkbox"/> Private sector |
| <input type="checkbox"/> Non-profit sector |
| <input type="checkbox"/> Partnerships between administration and/or private sector and/or non-profit sector |

4. Pilot description

These sections of the PID describe what the pilot will do and how it will do it.

4.1. Objectives

What outcomes should be delivered by the pilot? (Business case/benefits should be set out in Section 5)

- To verify and evaluate a framework to help identify improvements in customer service business processes incorporating both “Lean” thinking and Customer Journey Mapping approaches
- To implement an appropriate process analysis model and recommend mapping / modelling tools to support the framework approach
- To introduce relevant training modules to support the framework
- To transfer knowledge and develop capacity within the council to continue to use the framework for improving customer service business processes in other areas of the council
- To identify improvement recommendations specifically for implementation in the Revenues and Benefits division, targeting 10% cashable efficiency savings.

4.2. Approach

How will the pilot do this?

The project approach is based around the following outline work packages, and is aimed at improving customer experience, reducing avoidable contact and moving towards more cost-effective channels for customer contact:

- Work Package 1: Project Initiation
- Work Package 2 : Indicators and Measurement
- Work Package 3 : CJM Training
- Work Package 4 : Process Library/Mapping Tools Implementation
- Work Package 5 : Customer Journey Mapping
- Work Package 6 : Business Process Modelling
- Work Package 7 : Review of the CJM Approach
- Work Package 8 : Process Review Recommendations
- Work Package 9 : Further Planning of BPC Reviews
- Work Package 10 : Benefits Realisation
- Work Package 11 : Project Closure

For more details refer to the City of Edinburgh Council document: “Pilot Business Process Review in Revenues and Benefits : Project Initiation Document”, currently version 1.2.

4.3. Deliverables

What outputs/processes/procedures/definitions will be delivered by the pilot?

- A recommended Business Process Review approach suitable for application across the Council's customer service processes
- Training packages to support the approach
- A recommended process modelling tool and approach to process mapping for use as a standard across the Council
- Recommendations for improving customer service processes within the R&B division
- A plan to implement changes and monitor resultant benefits within R&B

4.4. Exclusions

What issues are **outside** the scope of the pilot?

The scope of the pilot BPR project is to test out and verify the approach to improving customer services based on CJM and lean methodologies using selected Revenues and Benefits processes. Due to the tight timescales involved, it will not be possible to include all R&B processes, or to consider areas outwith the R&B division.

Also note that the implementation of the recommendations are not part of the pilot.

4.5. Constraints

What issues constrain the pilot? (These will include financial, technical, and timing issues.)

Timing is the main constraint, as early results are required for internal reporting purposes. Funding may be an issue if agreement cannot be reached on paying for a new process modelling tool.

4.6. Assumptions/dependencies

Set out the assumptions you have made at the beginning of the pilot – particularly if your pilot is dependent upon other projects/pilots. Identify external factors which may affect the pilot.

It is assumed that:

- Sufficient staff resource will be made available throughout the life of the project to ensure that the required products can be delivered in line with the Project Plan. The Project Board will have ultimate responsibility for managing the allocated resources.
- the timely provision of finance for the Project.

5. Business case

Set out why your municipality feels the pilot is necessary, what the pilot seeks to achieve, and what benefits it will deliver. Include how these benefits will be measured (e.g. increased customer satisfaction, faster processing etc.).

5.1. Summary/overview

Very early in the work of the Customer Services strategy program it became evident that a fundamental review of customer service processes was critical to the success of all relevant workstreams in the program. This is particularly important to the specification of requirements for technology based products, where a clear business understanding is needed.

It was also clear that any approach to improving business processes would need to be capable of being implemented across all Customer Services functions. Whilst the council has, in the past, focussed on improving internal efficiencies through business process change (taking a broadly “lean” approach), the external customer’s view of the services has not necessarily been considered.

The Customer Journey Mapping approach, as defined by the cabinet office, addresses all of these areas; customer experience mapping, mapping the system (or process mapping) and measuring the experience, and is the approach that will be adopted for the pilot. This also links in with the wider Customer Services Excellence model that is being pursued across the council.

5.2. Customer benefits

During the pilot, customer service and other improvements will be identified and measurements put in place to monitor baselines and improvements beyond the implementation of the changes.

implementation of the recommendations are not part of the pilot

5.3. Performance benefits

Improvements to increase the efficiency of back and front office activities will be identified for the selected business processes

5.4. Employee benefits

Knowledge of internal staff involved will increase, allowing them to help out or transfer knowledge into similar projects in the future

5.5. Financial benefits

It should be noted that there are no direct cashable benefits anticipated from the pilot project itself, but these will follow on from implementation of the recommendations of this pilot project. It is hoped that these will amount to 10% savings in the division.

5.6. Project benefits

Project benefits are expected to be identified in the following areas:

- Improved standardisation of business process maps will be provided through the use of a standard approach and tool(s)

6. Pilot management/organisation

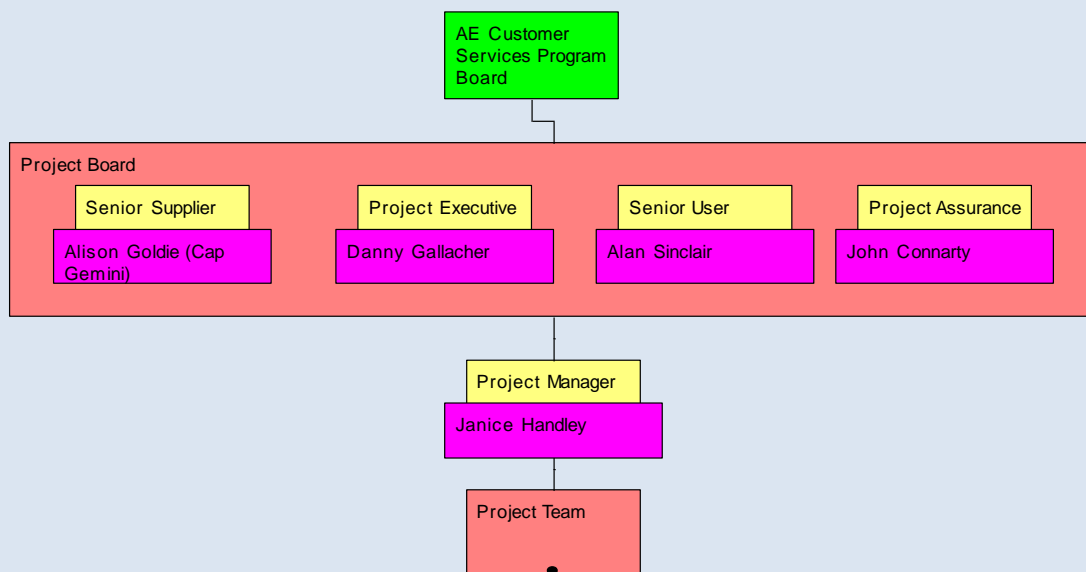
Set out the organisational structure that will manage your pilot. This should include relevant senior managers, project/pilot managers and staff. Please indicate how the pilot will be managed.

The pilot project will be controlled in line with PRINCE2 methodology. The following elements of PRINCE2 will be used:

The Project Manager will control the day to day activities of the Project through the maintenance and management of the following products:

- Budget monitoring
- Project Plan
- Risk & Issues Log
- Change and version control
- Exception Reporting

The high-level structure for the pilot is as follows:



For project team details, see section 7.6 below

7. Staff/financial resources

Set out what resources are available to deliver the pilot. This should include what budget and staff the pilot can call upon.

7.1. Funding sources

Select **all** that apply to your pilot

- | | | | |
|-------------------------------------|-------------------------|-------------------------------------|----------------------------------|
| <input checked="" type="checkbox"/> | Public funding EU | <input checked="" type="checkbox"/> | Public funding local |
| <input type="checkbox"/> | Public funding national | <input type="checkbox"/> | Private sector |
| <input type="checkbox"/> | Public funding regional | <input type="checkbox"/> | Charity, voluntary contributions |

7.2. Overall cost/budget (€)

Up to approx €167,916 (£150,000)

7.3. Contribution from local funds (€)

Up to approx €100,749

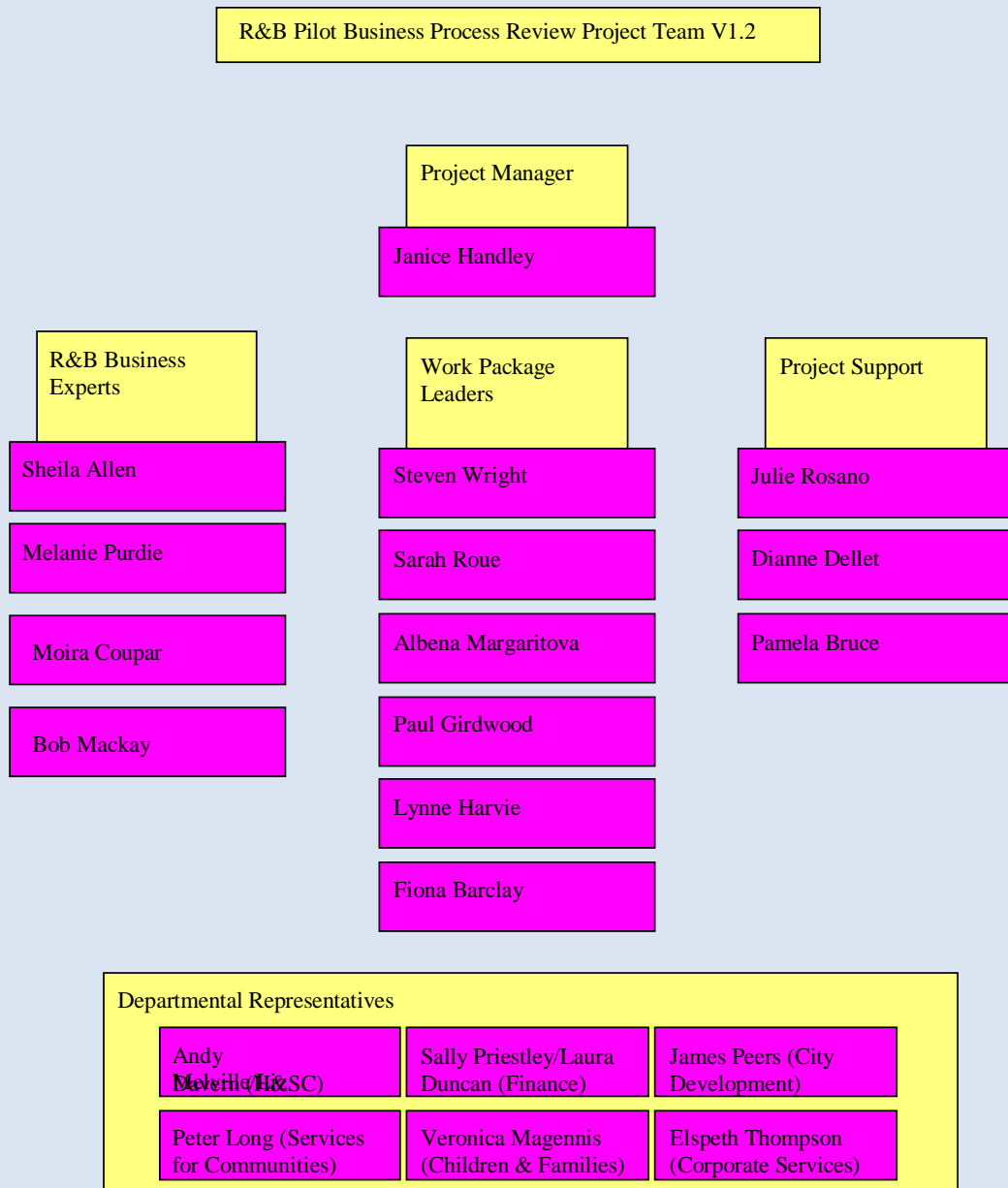
7.4. Contribution from Smart Cities (regional, in €)

Up to approx €67,167

7.5. Contribution from Smart Cities (transnational, in €)

7.6. Staff resources

The project team is made up as follows:



All these resources are part time. Additional business resources to be monitored/assigned during the pilot.

8. Reporting framework

How will the pilot report progress, both to local management and to the Smart Cities project? How will the pilot's timelines and reporting mechanisms link with reporting for the Smart Cities project?

Local Reporting:

The Project Manager will provide the Project Board and team with weekly Highlight Reports detailing progress being made and any new risks and issues that may have arisen. These will follow existing internal standards and reporting requirements. The project will also be part of the monthly PMO review of Key Projects, which is reported to the ICT Partnership's Joint Management Team.

SCX Reporting:

High level bi-monthly reports will be provided.

Progress will also be included as part of the 6-monthly reports linked to the financial claims for the Smart Cities project.

8.1. Baselines/zero measuring

What baselines do you have? Do you have evidence to how the pilot is need for this p

Baseline measures for 12 months preceding implementation of pilot changes. Measures cover Contact Centre call statistics, outstanding work, complaints, customer satisfaction surveys.

8.2. How will you measure progress?

How will you show how your pilot is progressing?

Progress against plan/milestones monitored through normal weekly/monthly reports.

8.3. How will you measure the impact of your pilot?

e.g. increased citizen awareness/use of a service

Internal benefits measurements to be defined during the pilot and continue to be monitored beyond it during implementation of the recommendations (approx 12 months).

8.4. What local indicators will you use?

e.g. surveys of local citizens, businesses

Measurements to be agreed from the various baselines available.

8.5. What national/transnational indicators will you use?

e.g. levels of service use

UK DWP Right Benefit Indicator

(http://research.dwp.gov.uk/asd/hobod/index.php?page=right_ben_ind)

UK DWP Right Time indicator (<http://www.dwp.gov.uk/local-authority-staff/housing-benefit/performance-and-good-practice/faqs/right-time-faqs-new-claims/>)

8.6. What work-package/subtheme indicators will you use?

TBC

9. Pilot plan

This should set out how the pilot will deliver the items set out in 4.3, including timelines for all deliverables and outputs.

| Task ID | Milestone/Task | Target Dates |
|---------|---|-------------------|
| 1 | Work Package 1: Project Initiation | 09/09/2009 |
| 2 | Project Initiation Document (PID) Agreed | |
| 3 | Team launch event | |
| 4 | Departmental Representatives/team members nominated | |
| 5 | Consultants/suppliers appointed | |
| 6 | Detailed Planning | |
| 7 | Agree the scope of processes to be reviewed | |
| 8 | Lessons Learned Log set up | |
| 9 | Risk Log documented | |
| 10 | Document project plan | |
| 11 | Communicate & Report Progress | |
| 12 | Identification of key stakeholders | |
| 13 | Create "External" Communications Plan | |
| 16 | Submit First Highlight/Status Report | |
| 17 | Work Package 2: Indicators and Measurement | 27/11/2009 |
| 18 | Indicators Defined | |
| 19 | Document current indicators | |
| 20 | Agree new indicators | |
| 21 | Baselines Measured | |

| | | |
|-----------|--|-------------------|
| 22 | Implement new baseline measurements | |
| 23 | Document existing baselines measurements | |
| 24 | Develop pilot "Dashboard" of indicators | |
| 25 | Work Package 3: CJM Training | 31/12/2009 |
| 26 | Investigate CJM concepts, materials, training available | |
| 27 | Document course requirements/specification | |
| 28 | Develop/procure course | |
| 29 | Deliver course to project team | |
| 30 | Review and evaluate course | |
| 31 | Produce in-house materials | |
| 32 | Train trainers | |
| 33 | Work Package 4 : Process Library/Mapping Tools Implementation | 27/11/2009 |
| 34 | Implement Visio in R&B pilot team | |
| 35 | Issue information on obtaining Visio licenses | |
| 36 | Issue Visio standardisation guide | |
| 37 | Implement Guide in e-Learning | |
| 38 | Issue Visio training resources information | |
| 39 | Trial current modelling tool in R&B | |
| 40 | Enter selected R&B diagrams into the modelling tool | |
| 41 | Agree Process Modelling/Mapping strategy | |
| 42 | Produce strategy/options report | |
| 43 | Obtain detailed costs | |
| 44 | Agree on funding for the tool | |
| 45 | Training | |
| 46 | Identify modelling/mapping tool key users in R&B | |
| 47 | Train key users on the process tool(s) | |
| 48 | Work Package 5: Customer Journey Mapping | 27/11/2009 |
| 49 | Customer segmentation and selection | |
| 50 | Investigate existing forums/consultations | |
| 51 | Carry out consultation with customers | |
| 52 | Produce Customer Journey Maps | |

| | | |
|-----------|---|-------------------|
| 53 | Document customer improvement suggestions | |
| 54 | Work Package 6: Business Process Mapping/Modelling | 27/11/2009 |
| 55 | Document processes in Visio | |
| 56 | Analyse processes for improvement opportunities | |
| 57 | Document process improvement suggestions | |
| 58 | Work Package 7: Review of the CJM Pilot Approach | 15/12/2009 |
| 59 | Document approach taken ("as is/was") | |
| 60 | Analyse lessons learned log | |
| 61 | Obtain evaluation and feedback from project team | |
| 62 | Review and evaluate the approach | |
| 63 | Document recommendations for wider implementation | |
| 64 | Work Package 8: Process Review Recommendations | 27/11/2009 |
| 65 | Analyse improvement suggestions (process/customer) | |
| 66 | Prioritise changes for implementation | |
| 67 | Produce recommendations report | |
| 68 | Produce implementation plan | |
| 69 | Report to FRC on recommendations | |
| 70 | Handover of implementation plan | |
| 71 | Work Package 9 : Further Planning of BPC Reviews | 01/12/2009 |
| 72 | Identify other areas for review | |
| 73 | Produce review plan | |
| 74 | Draft FRC report on further plans for BPC reviews | |
| 75 | Work Package 10 : Benefits Realisation | 31/12/2009 |
| 76 | Select indicators relevant to recommendations | |
| 77 | Develop implementation "Dashboard" of indicators | |
| 78 | Set up monitoring and reporting framework | |
| 79 | Produce benefits realisation plan | |
| 80 | Handover of benefits realisation | |
| 81 | Work Package 11 : Project Closure | 29/01/2010 |
| 82 | Lessons learned report documented | |
| 83 | End project report documented | |

| | | |
|----|----------------------------------|--|
| 84 | CMT/FRC progress report produced | |
| 85 | Team closure event | |

10. Risks

Set out the main risks the pilot faces and what steps you will take to manage these risks.

Refer to separate risk log for latest information (available on request) – currently V0.3

11. Co-design

11.1. With other organizations and institutional partners

How are you working with other **local** organisations / institutional partners to co-design your pilot?

Liaison with other councils including Cambridge

11.2. Co-design with citizens and individuals

How are you working with citizens and individuals to co-design your pilot?

Customer research conducted as part of Customer Journey Mapping

11.3. The impact of co-design

How has this work changed your pilot – are you doing anything differently?

Outcome of Customer Journey Mapping used in process design.

12. Transnational work

12.1. Transnational links

What other municipalities and pilots are you working with as you develop/deliver your local pilot?

High level exchanges with Karlstad (municipality) and Karlstad University.

12.2. Transnational learning

How are you incorporating transnational learning into the design/implementation of your pilot?

Use of published documents/workshop attendance

12.3. Transnational outputs

How will your pilot contribute to the project's transnational outputs? What transnational outputs will it contribute to, and what do you expect the contribution to look like?

Shared project outputs and documentation.

Presentations at Project Meetings/Workshops.