



## Agenda

**Notice of a public meeting of Community Development  
Directorate - Executive Members  
and Corporate Director Meetings**

**To: Councillors Derek Bastiman and Simon Myers.**

**Date: Wednesday, 13th December, 2023**

**Time: 10.00 am**

**Venue:**

Under his delegated decision making powers in the Officers' Delegation Scheme in the Council's Constitution, the Chief Executive Officer has power, in cases of emergency, to take any decision which could be taken by the Council, the Executive or a committee. Following on from the expiry of the Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020, which allowed for committee meetings to be held remotely, the County Council resolved at its meeting on 21 July 2021 that, for the present time, in light of the continuing Covid-19 pandemic circumstances, remote live-broadcast committee meetings should continue (as informal meetings of the Committee Members), with any formal decisions required being taken by the Chief Executive Officer under his emergency decision making powers and after consultation with other Officers and Members as appropriate and after taking into account any views of the relevant Committee Members.

The meeting will be available to view once the meeting commences, via the following link - [www.northyorks.gov.uk/livemeetings](http://www.northyorks.gov.uk/livemeetings) Recordings of previous live broadcast meetings are also available there.

### Business

**1. Declarations of Interest**

**Items for decision by the Executive Member for Culture, Arts & Housing**

2. Library Management System Procurement (*Pages 3 - 74*)
3. Any Other Items of Business
4. Date of Next Meeting : Wednesday 10 January 2024 at 9am

Barry Khan

Enquiries relating to this agenda please contact [marie.woodhouse@northyorks.gov.uk](mailto:marie.woodhouse@northyorks.gov.uk) Tel:  
or e-mail

Website: [www.northyorks.gov.uk](http://www.northyorks.gov.uk)

Assistant Chief Executive  
(Legal and Democratic Services)

County Hall  
Northallerton

Date Not Specified

## North Yorkshire Council

### Executive Member Meeting 13 December 2023

#### Library Management System Procurement

#### Report of the Corporate Director

#### 1.0 PURPOSE OF REPORT

- 1.1 To gain approval of the Outline Business Case to move to a procurement for a new Library Management System.

#### 2.0 SUMMARY

- 2.1 The current Library Management System is due for renewal and the contract cannot be extended. The system manages the front facing and back office functions of the Library Service. The service is seeking approval to go to an Open Procurement to purchase a new contract compliant Library Management System.

#### 3.0 BACKGROUND

- 3.1 The current Library Management System has been in place since 2015. The system provides management of stock (purchasing, catalogue) and borrower records (membership), transactions (issues, returns, renewals and reservations), and manages related finance payments (fees and charges). It is also the front-facing public side of the service (public web-based catalogue) supporting 240,000 customers and offers self-service including account management and notifications. The Library Management System (LMS) also links to other systems and applications including the PC booking system, self-service kiosks, the North Yorkshire Library App, an automated stock management system, a marketing system, online resources and digital library. The LMS manages circa 3.5m transactions per annum and 1.2m data records (stock and borrowers). Removal of any one of these transactions/tasks would require replacing with manual paper-based systems resulting in significantly increased costs. In addition, it would no longer be possible to offer self-serve access resulting in reputational damage and potentially significant impact on use of the service. The Library Service is a statutory service and in North Yorkshire was remodelled in 2017 to include much greater involvement from volunteers, who deliver services from 31 community libraries and assist with service delivery at 5 hybrid and 6 core libraries using the current web based Library Management System (LMS). The service has one mobile library that visits 20 rural locations.

See appendix A for Outline Business Case

#### 4.0 SUBSTANTIVE ISSUE

- 4.1 The current LMS contract is with Educational Software Solutions (ESS). This contract has been in place since 2015 originally with Capita and transferred following the company being sold to ESS in 2020, so using the full 7 years term. To avoid additional pressures on capacity during the Local Government Review implementation period a further 2-year extension, with optional 3<sup>rd</sup> year, was agreed and approved in 2022 via a direct award through the KCS Software Products & Associated Services 2 Framework Y20011. This timeline indicates that a new contract needs to be in place by September 2024 to allow for implementation so means

utilising the optional 3<sup>rd</sup> year of the current extension contract with an end date of 31 March 2025 with a 90-day notice period.

## 5.0 CONTRIBUTION TO COUNCIL PRIORITIES

5.1 The Council Plan for North Yorkshire has made a commitment to:

- Building on North Yorkshire's capital, strong local economy, and resilient communities by providing access to information, education and leisure opportunities.
- Enhance people's skills knowledge and confidence by offering a range of learning resources
- Strengthening the organisation by improving efficiency, effectiveness, and quality of service delivery through the use of modern technology.

The library service and the use of a Library Management System has a clear role in supporting the Council Plan in these areas.

## 6.0 ALTERNATIVE OPTIONS CONSIDERED

6.1

Description of Option		Benefits	Risks	Costs – these are likely to be high-level estimated at OBC stage	Recommended
1	Do Nothing	Known system No Training required	Contract has ended Not able to extend any further	Continue at circa £54,000 pa	No
2	Regional Consortium	Potential reduction in cost Shared risk	Timescales too tight as Consortium is not yet in a position to make any changes. Long implementation. Increased number of stakeholders. Reduction in ability to have a service that works for NYC customer base and service delivery model.	Unknown	No
3	Identified Procurement Frameworks	No need for Open tender process	No current existing framework that meets needs for Library Management System	Unknown	No
4	Retain and Improve	Mostly known system Minimal training required	Time required to build is extensive Sufficient resource not available	Unknown	No
5	Open Market	Wide selection of suppliers.	Potential increase in costs.	Between £33,000 and £70,000 for running costs.	Yes

		<p>Potential reduction in cost.</p> <p>Improved user experience for staff and customers.</p> <p>Increased likelihood of meeting requirements.</p> <p>Likely improved functionality and capability.</p> <p>Compliant with Public Contracts Regulations 2015</p>	<p>Training requirements may be complex.</p> <p>New and unknown system.</p>	<p>One off implementation costs between £20,000 and £55,000.</p> <p>Identified through Discovery Days.</p>	
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Option 5 is the preferred route for replacing the current Library Management System. The main reasons are:

- Current solution has had performance issues and very limited development over the length of the contract and the current supplier has no roadmap for the future.
- Opportunity to move to a fully cloud-based system.
- To ensure compliance with Public Contract Regulations 2015

See Appendix B for Options Appraisal

## 7.0 FINANCIAL IMPLICATIONS

7.1 The expectation is that the current annual budget (£54,000pa) will continue to meet the costs of the Library Management System. There is a request for Capital funds for a potential £40,000 to support one off implementation costs on the first year, as the annual budget will not meet this extra funding requirement. Considerations relating to price fluctuations will be managed through fixed pricing for the initial term and then terms and conditions will cap the inflation cost. It is assumed that any inflationary increases not managed through the fixed pricing will be met through the annual budget setting inflation process.

Finance Template see Appendix C

## 8.0 LEGAL IMPLICATIONS

8.1 To avoid additional pressures on capacity during the Local Government Review implementation period a 2-year extension, with optional 3<sup>rd</sup> year, was agreed and approved in 2022 via a direct award through the KCS Software Products & Associated Services 2 Framework Y20011. This extension has some specific risk areas relating to responsibility for liability and order of precedence, therefore no further extension can be utilised, and legal advice is to re-procure in order to meet Public Contract Regulations 2015.

## 9.0 EQUALITIES IMPLICATIONS

9.1 An Equality Impact Assessment screening tool has been completed and is attached at Appendix D. It is confirmed that a full Equality Impact Assessment will be required for the new Library Management System.

## **10.0 CLIMATE CHANGE IMPLICATIONS**

10.1 A Climate Change Impact Assessment screening document has been completed and agreed that a full assessment is not required. See Appendix E

## **11.0 PERFORMANCE IMPLICATIONS**

11.1 The current provider Education Software Solutions has only been able to provide limited system development during the current contract. There are concerns that the current supplier has no roadmap for development and are not well placed to be responsive to meet future needs.

## **12.0 POLICY IMPLICATIONS**

12.1 A Data Protection Impact Assessment Screening has been undertaken and agreed that a full Data Protection Impact Assessment will need to be undertaken for the new Library Management System to comply with information security. See Appendix F

## **13.0 RISK MANAGEMENT IMPLICATIONS**

13.1 The main risk is that if we do not have a contractually compliant system that is fit for purpose by 31<sup>st</sup> March 2025 this will leave us open to potential data loss and impact on our ability to meet our statutory responsibilities to offer a comprehensive and efficient library service.

## **14.0 HUMAN RESOURCES IMPLICATIONS**

14.1 Identified through the risk workshop was the potential impact on staff and volunteers. There are many volunteers who will require training. Staff will need to be deployed to provide training to volunteers prior to Go Live. This will impact the service and will need to be carefully managed.

## **15.0 ICT IMPLICATIONS**

15.1 IT implications have been identified regarding the integrations with the add on services to the main Library Management System. There is a significant IT resource requirement through the implementation stage to ensure robust testing is undertaken to ensure customers, staff and volunteers have a positive experience of any changes. This resource has been identified as part of the Options Appraisal and provisionally agreed.

## **16.0 REASONS FOR RECOMMENDATIONS**

16.1 Current system contract ends in March 2025 and there is no option for extension. Open procurement offers the opportunity to procure a system that will meet both current and future needs and offer an improved experience for staff, volunteers and customers.

## **17.0 RECOMMENDATION(S)**

- i) To agree an open procurement for the Library Management System
- ii) That following a successful procurement exercise the decision to implement will be taken by Executive Member and Director

## **APPENDICES:**

Appendix A – Outline Business Case

Appendix B – Options Appraisal

Appendix C – Finance Template

Appendix D – Equalities Impact Assessment Screening Tool

Appendix E – Climate Change Impact Assessment Screening Tool

Appendix F – Data Protection Impact Assessment Screening Tool

Nic Harne Corporate Director – Communities  
County Hall  
Northallerton  
29<sup>th</sup> November 2023

Report Author – Hazel Smith – Head of Libraries  
Presenter of Report – Hazel Smith Head of Libraries  
Jo Ireland Assistant Director Culture and Leisure

Note: Members are invited to contact the author in advance of the meeting with any detailed queries or questions.

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# Outline Project Business Case

Document Version Control			
Version Number	Reason for Change	Author	Date
0.1	First draft	Abigail Burns	10/8/23
0.2	Reviewed with Working Group	Abigail Burns	13/11/23
0.3	Updates following review by Sponsor/Programme Manager and Finance Director	Abigail Burns	15/11/23
0.4	Update following QA	Abigail Burns	20/11/23

Project Overview			
<b>Project Name:</b>	Library Management System Procurement		
<b>Project Reference:</b>	4021	<b>Document Author:</b>	Abigail Burns
<b>Project Sponsor:</b>	Hazel Smith	<b>Project Manager:</b>	Abigail Burns
<b>Programme:</b> (this project is part of):			
<b>Directorate / Service Area:</b>	Community Development/Culture, Leisure, Archives and Libraries	<b>Programme Manager:</b>	Kieran Jones
<b>Senior User (Service Lead):</b>	Melanie Fowler	<b>Senior Supplier:</b>	Lorena Phillips/Jemma Gotts

## 1 PROJECT BACKGROUND

Library services are a statutory service delivered by North Yorkshire Council.

The Council Plan for North Yorkshire has made a commitment to:

- Building on North Yorkshires capital, strong local economy, and resilient communities by providing access to information, education and leisure opportunities.
- Enhance people's skills knowledge and confidence by offering a range of learning resources
- Strengthening the organisation by improving efficiency, effectiveness, and quality of service delivery through the use of modern technology

The library service and the use of a Library Management System has a clear role in supporting the Council Plan in these areas.

The current LMS contract has been in place since 2015.

The service was remodelled in 2017 to include much greater involvement from volunteers, who deliver services from 31 community libraries and assist with service delivery at 5 hybrid and 6 core libraries using the current web based LMS system. The service has one mobile library that visits 20 rural locations.

North Yorkshire covers almost two million acres and geographically is the largest county in England and Wales. The county includes the towns of Harrogate, Selby, Skipton, Richmond and Scarborough, as well as the city of Ripon and the county town of Northallerton.

The current LMS contract is with Educational Software Solutions (ESS). This contract has been in place since 2015 originally with Capita and transferred following the system being sold to ESS in 2020, so using the full 7 years term. To avoid additional pressures on capacity during the LGR implementation period a further 2-year extension, with optional 3<sup>rd</sup> year, was agreed and approved in 2022 via a direct award through the KCS Software Products & Associated Services 2 Framework Y20011. The anticipated timeline indicates that a new contract needs to be in place by September 2024 to allow for implementation so would mean utilising the optional 3<sup>rd</sup> year of the current extension contract with an end date of 31 March 2025 with a 90-day notice period.

This project will ensure that the Library Management System complies with the Public Contracts Regulations 2015.

Since ESS have provided the system both performance and the level of support have significantly declined and negotiations on the extension proved difficult with what were seen as unreasonable demands around risk and liability. In addition, although the existing system meets the minimum requirements there has been no development to recognise changes in user expectations of a modern library service as highlighted when attending a recent Suppliers Showcase.

The system provides management of stock (purchasing, catalogue) and borrower records (membership), transactions (issues, returns, renewals and reservations), and manages related finance payments (fees and charges). It is also the front-facing public side of the service (public web-based catalogue) and supports self-service including account management and notifications. The LMS also links to other systems and applications including the PC booking system, self-service kiosks, the North Yorkshire Library App, an automated stock management system, a marketing system, online resources and digital library. The LMS manages circa 3.5m transactions per annum and 1.2m data records (stock and borrowers). Removal of any one of these transactions/tasks would require replacing with manual paper-based systems resulting in significantly increased costs. In addition, it would no longer be possible to offer self-serve access resulting in reputational damage and potentially significant impact on use of the service.

The biggest change in the market is that there are now a number of suppliers able to provide a system to meet these requirements for our volunteer-based delivery model in contrast to there being only two in 2015.

Peer review shows that there is likely to be little if any cost saving but equally that there would not be any significant increase in revenue costs if moving to a new supplier, however an updated fit for purpose system could potentially lead to increased use through improved access so reducing cost per user. There is also potential to save the costs of the add-on systems that have had to be purchased as they have not been offered by the current supplier for example the marketing module which is circa £9k per annum.

## 2 OBJECTIVES

- Ensure business continuity to have a Library Management System in place by 1/4/25.
- Deliver a technical solution to better meet the changing and future demands of the customer.
- Deliver a solution to meet community and customer requirements to support the Council Plan priorities.

## 3 BENEFITS

Benefit Description	Benefit Measure	Cashable Yes/No
Ability to improve and develop services	Customer experience measured through key performance indicators: Active Users per 1000 pop Total book issues Virtual Visits per 1000 pop Road maps from Suppliers have been identified for ongoing and future development to meet performance and quality of service measures Potential savings to reduce the need for double keying £19,000	Yes
Reduction in cost to add on systems with a move to a new supplier	Potential cashable saving should the new supplier be able to offer marketing module for example. Between £0k to £10K	Yes
Have an events management module within LMS	Increased ability to sell and promote tickets for events Income generation currently unknown Supports Council Plan re strengthening and improving the efficiency and quality of service	No

Ability to develop T&C's that support the NYC Library Service	Fair terms and conditions that satisfy supplier and NYC. Compliant with the Public Contracts Regulations 2015. Avoidance of ICO fines and or claims by individuals	No
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#### 4 ASSUMPTIONS

- There is an assumption that the procurement will be able to be delivered within the current financial envelope
- That resources required will be available when needed
- That one system will be able to provide all requirements
- Suppliers are happy to accept NYC terms and conditions
- There is sufficient interest from the market
- Data migration will run smoothly and securely

## 5 OPTIONS APPRAISAL

Description of Option		Benefits	Risks	Likely Impact on NYCC Carbon Emissions	Costs – these are likely to be high-level estimated at OBC stage
1	Do Nothing	Known system No Training required	Contract has ended Not able to extend any further	Neutral	Continue at £54,000 pa
2	Regional Consortium	Potential reduction in cost Shared risk	Timescales too tight as Consortium is not yet in a position to make any changes. Long implementation. Increased number of stakeholders Reduction in ability to have a service that works for NYC customer base and service delivery model.	Decrease	Unknown
3	Identified Procurement Frameworks	No need for Open tender process	No current existing framework that met needs for Library Management System	Neutral	Unknown
4	Retain and Improve	Mostly known system Minimal training required	Time required to build is extensive Sufficient resource not available	Neutral	Unknown
5	Open Market	Wide selection of suppliers Potential reduction in cost Improved user experience for staff and customers. Increased likelihood of meeting requirements.	Potential increase in costs Training requirements may be complex New and unknown system	Neutral	Between £33,000 and £70,000 for running costs. One off implementation costs between £20,000 and £55,000.

		Likely improved functionality and capability. Compliant with Public Contracts Regulations 2015			Identified through Discovery Days.
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**EVALUATION CRITERIA**

A full options appraisal has been undertaken with the service, Procurement, Solutions Architects and Business Change. The above 5 options were identified and following review Option 5 was agreed as the recommendation for moving forwards. Please see link to Options Appraisal [here](#).

Page 14

**6 RECOMMENDED OPTION(S) – TO FURTHER EXPLORE**

Option 5 is the preferred route for the replacement of the current Library Management System. Option 5 (Open Market).  
The main reasons are:

- Current solution has had very limited development over the length of the contract and there is no roadmap for the future.
- Opportunity to move to a fully cloud-based system.

Options 1-4 have been discounted as the ability to continue with the current contract is not an option due to the contract having come to an end and all extensions having been utilised, no suitable frameworks exist and the ability to retain and reuse has been discounted due to resource and capability to build. See below slide from the Solutions Review Board (6/11/23).

Option	Reason Rejected
Regional Consortium – (teaming up with Yorkshire & Humber authorities to have a joint LMS solution)	Timescales are too tight as the Consortium are not yet in a position to make any changes. We need to ensure we have enough time for implementation given the large number of staff and volunteers who need training and our service delivery model.
G-Cloud 13, CCS & ESPO Frameworks	Not all suppliers at the Discovery Days were on each Framework. ESPO – tight timescales, not been renewed.
Re-use a system we already use at County Hall	No current existing system available.
Build our own bespoke system	Not enough time or resource to create a system which will hit our must have capabilities. Re-use, buy, build.

## 7 PROJECT SCOPE

For the recommended option(s) what is in scope and any exclusions (Out of Scope e.g. anything the project does not cover, will not be doing, anything which is not funded).

In-Scope	Out of Scope
Procurement of a digital solution to manage: Circulation/Cataloguing/Stock Management/Ordering/System Administration/Reporting	Restructuring of libraries/staffing
Finance integration	Purchase of new devices for example Tablets, kiosk equipment etc
Interoperability	
Training on new system	
Roll out to staff and volunteers in council libraries/community libraries	

## 8 PROJECT MILESTONES

For the recommended option(s), indicate any important dates associated with the project, including any required by dates (e.g., when the project must be completed, procurement timescales).

Milestone/Activity	Anticipated Month/Yr.	Why is this key?
Gateway 1	December 2023	Agreement to move to Invitation to Tender
SCAM matrix complete	November	To be able to understand the solution and capabilities required for the proposed solution
OBC reviewed at Check & Challenge	November 2023	To ensure Senior Transformation leads are aware of the ask
OBC reviewed at Change Design Group	November 2023	To ensure Transformation grp are informed and aware of the proposed change
OBC approved by Directorate	November 2023	Board/Directorate are aware of the stage gate and ready to take on the next phase.
OBC approved by Management Board	November 2023	To ensure Management board are aware and agree the move to procurement option. No longer required as of 22/11/23.
Executive Sign Off (Exec Member and Corp Director key decision)	December 2023	Agreement from Executive Member and Corporate Director to move to a procurement option
Gateway 2	April 2024	Gateway 2 documents to ensure agreement to move to "Invite to Tender"
ITT	April 2024	Agree documents and specification that will form the documentation for procurement of a new LMS
FBC approvals complete	June 2024	Agreement to move to the provider identified through the procurement process
Gateway 3	July 2024	Agreement to award contract



Award contract	August 2024	Inform supplier of success at tender
Signing of Contract	August 2024	New supplier agrees to the terms and conditions
Commence Mobilisation	September 2024	To ensure that all resources are in place to ensure implementation is completed
Contract End Date	March 2025	Can no longer extend current contract past 31/3/25. Notice of 90 days will have to be given to the current supplier and will be given by the 31/12/24.
Go-Live	April 2025	New contract to be ready for Go Live 1/4/2025
Closure Approved	June 2025	Confirmation that system is implemented correctly and is working with all transfers to the Business Agreed.

## 9 PROJECT RESOURCES

For the recommended option(s), will the project require resources from any of the following areas for **Definition**?

Area <i>Hover on headings to see further description</i>	Yes / No / Unsure	Brief description of work required (PM will produce detailed Resource Plan following approval of OBC)
	Definition (Production FBC)	
<b>Technology</b>	Yes	Ensure interoperability and management of any system procured
<b>HR &amp; Training</b>	Yes	Support to develop online training in the use of a new system
<b>Finance</b>	Yes	Ensure financial templates are correct and costs appropriately documented. Technical Finance to be involved to ensure integration to the finance systems.
<b>Procurement</b>	Yes	Support procurement of a new system
<b>Legal</b>	Yes	Review the contract for the new system procured
<b>Risk &amp; Insurance</b>	No	
<b>Communications</b>	Yes	Update links on the intranet and internet and wider info re any changes to the library system both internal and external
<b>Business Change</b>	Yes	Mapping AS IS/TO BE, Benefits development, support around capabilities
<b>Project Management</b>	Yes	To provide assurance and guidance to ensure the process

		is given appropriate Project Management structure
<b>Property</b>	No	
<b>Business Support</b>	Yes	Exchequer Services in relating to testing of payments
<b>External Expertise</b>	Yes	From the chosen supplier to ensure implementation will be managed smoothly.
<b>Customer Resolution Centre</b>	Yes	To provide the customer viewpoint
<b>Directorate Team(s)</b>	Yes	To provide support with testing when we commence implementation.
<b>Other</b>	Select	

If you have answered 'yes' to any of the above the allocated Project Manager will discuss resource estimates with the relevant resource manager. A list of resource managers can be found [here](#).

## 10 CONSULTATION / ENGAGEMENT

For the recommended option(s), is there a requirement for consultation or engagement with external stakeholders? If so, when is this required (month/year or quarter/year)?

Consultation / Engagement	Yes / No / Maybe	Month / Year (est)
Internal Staff Engagement	Yes	<b>November 2024</b>
Public Consultation	No	
External Engagement	Yes	<b>February 2025</b>

## 11 RISKS AND ISSUES

For the recommended option(s), are there any risks or issues that are apparent at this stage that the project teams need to be aware of including the risk if the project is not delivered?

Risk or Issue	Description & Consequence	Likelihood H/M/L	Impact H/M/L
Risk	There is a risk that we will not be able to provide training in a timely manner to reach circa 1600 staff and volunteers. If training is not rolled out appropriately then people will not engage with the use of the system and therefore, we may see the system underutilised.	Medium	Medium
Risk	There is a risk that we will not be able to confirm appropriate resources due to capacity of teams. Without the correct resources the project may not be able to move forward and will impact the longer-term risk around time frames.	Medium	Low
Risk	There is a risk that communications are not timely or appropriate. If staff, volunteers and customers of the service are not aware of the changes then we run the risk of not taking people along with us on the journey of developing/procuring a new system.	Medium	Medium

Risk	There is a risk that we could lose volunteers with a change in a Library Management System. Community Libraries may close. Staffed libraries service may be compromised if they have to go and support the community Library due to loss of volunteers.	Medium	Medium
Risk	There is a risk that we will not be able to create integration with other suppliers that link to Library Services. Without integration the system will impact other systems that supply service to the Library Service.	Medium	Medium
Risk	There is a risk that data migration will not be done in a timely manner. Without the data migration we will not have an up-to-date management of borrower/stock records or a test system to use.	Medium	Medium
Risk	There is a risk that we will not be able to integrate the LMS to the back-office finance function. If no integration can be achieved, we will not be able to manage and follow the finances.	Medium	Medium
Risk	There is a risk that testing is not robust or complete. Without decent testing we will not be confident that the system will support the requirements of the service or work to a customer's satisfaction.	Medium	Medium
Risk	There is a risk that we do not have a large enough pool of suppliers interested in tendering for the LMS contract. That there is a small pool to choose from as to what system will be available to provide or tender for the service.	Medium	Low
Risk	There is a risk that we will not be able to implement the new system in the time frame identified. If we are unable to implement the new system in the time frame identified we run the risk of not having a workable system or a part working system or may need to negotiate a month by month extension with the current supplier.	Medium	Medium
Risk	There is a risk that not all of the requirements and capabilities are understood. Without the full understanding of the relevant capabilities and requirements potentially we will not have a system that we can integrate or meets the requirements of the service.	Low	Low
Risk	There is a risk that we do not have a sufficient budget to purchase and implement a new LMS system. Without the correct budget we may not be able to purchase a system that supports the library service.	Low	Medium

## 12 DEPENDENCIES / LINKS

There is a dependency with the technical finance work to ensure that integrations are fully understood for the connections and interoperability for the system purchased with the accounts receivable and accounts payable systems. As captured on the 15/8/23 on the dependencies log.

Does this project have a link to any of the following areas?

Will this project have an impact or opportunities on any of the following areas?

- Stronger Communities – Will the project involve supporting communities to take a greater role in the provision of services?
- Partnership, Commercial and Alternative Delivery Methods – Will the project generate income or profit through sales OR there is a competitive element where the Council will be in competition with other external companies OR the project will enable the Council to do either of the above? Will the project involve working with others to provide new ways of delivering services? For example, this could include partnership working with other councils or public authorities.
- Customer – Will the project involve changes to the way in which customer's access and/or receive services, for example, online access to services, greater use of the customer contact centre or changes to physical access points.
- Property – Will the project have an impact on requirements for, and the use of, the property estate?
- Organisational Development – Will the project require changes to organisational structure and roles, skill sets and knowledge requirements and/or behaviour and culture change?
- Health & Integration – Will the project have an impact on any joint working or interface with health partners
- Modern Council - Will the project have an impact on New Ways of Working?

Area	Yes/No	Comments
Stronger Communities	Yes	Many of the Libraries in North Yorkshire are already run and managed by volunteers
Commercial	No	
Customer	No	Customers should not see a change to how they are able to access the service. The new LMS will be procured at a like for like level as a base line.
Property	No	
Organisational Development	No	
Health & Integration	No	
Modern Council	No	

## 13 STAKEHOLDER MANAGEMENT AND COMMUNICATIONS

Key stakeholders have been identified and captured using the stakeholder mapping documentation [here](#).

Key stakeholders have been identified for the board and the working group. A further communications plan will be completed as it is understood which system is successful through procurement tender.

## 14 EQUALITY IMPACT ASSESSMENT (EIA)

Please find attached the Equality Impact Assessment screening tool [here](#). The screening tool has determined that a full Equality Impact Assessment will be needed going forwards. Any change to the Library Management System must ensure that it is user friendly and accessible by users, staff and volunteers who run and use the library service.

## 15 DATA PROTECTION IMPACT ASSESSMENT (DPIA)

A Data Protection Impact Assessment screening tool has been undertaken and it has been agreed to move to a full data Protection Impact Assessment. Please find the Data Protection Impact Assessment screening tool [here](#).

## 16 OTHER IMPLICATIONS

A climate change impact assessment screening tool has also been undertaken and agreed that there are no current changes from the current system and therefore we will not move to a full Climate Change Impact Assessment. Please see attached the Climate Change screening tool [here](#).

## 17 SUMMARY OF SAVINGS AND COSTS

Please find attached the high level costs associated with the procurement of the library Management System [here](#)

Prior to the Solutions Review Board the LMS board undertook a piece of resource work and identified the teams required and length of time needed to provide and implement the Library Management System.

## 18 FUNDING


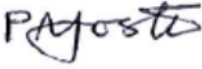
State the funding source for the initial implementation and for any ongoing costs, for the recommended option(s) e.g. licence costs.

Estimated implementation costs and budget allocation		Funding Source		
	Amount Required (£)	Service (£)	Corporate (£)	Other (£)
Implementation of service from Corporate	40,000 one off cost		40,000	
Service Costs	54,000 per annum	54,000		

## 19 APPROVALS

Ensure the appropriate approvals are in place for the project to proceed.

Comments	Signed	Date
Programme Manager		

Kieran Jones		14/11/23
<b>Project Sponsor</b>		
Hazel Smith	H. Smith.	14/11/23
<b>Directorate Assistant Director Resources</b>		
Paul Foster		15/11/2023

# **Library Management System Solutions Options Appraisal**

**Thomas Bell : Business Analyst  
Date: 6<sup>th</sup> November 2023**

# Stakeholders [initial stakeholder analysis]

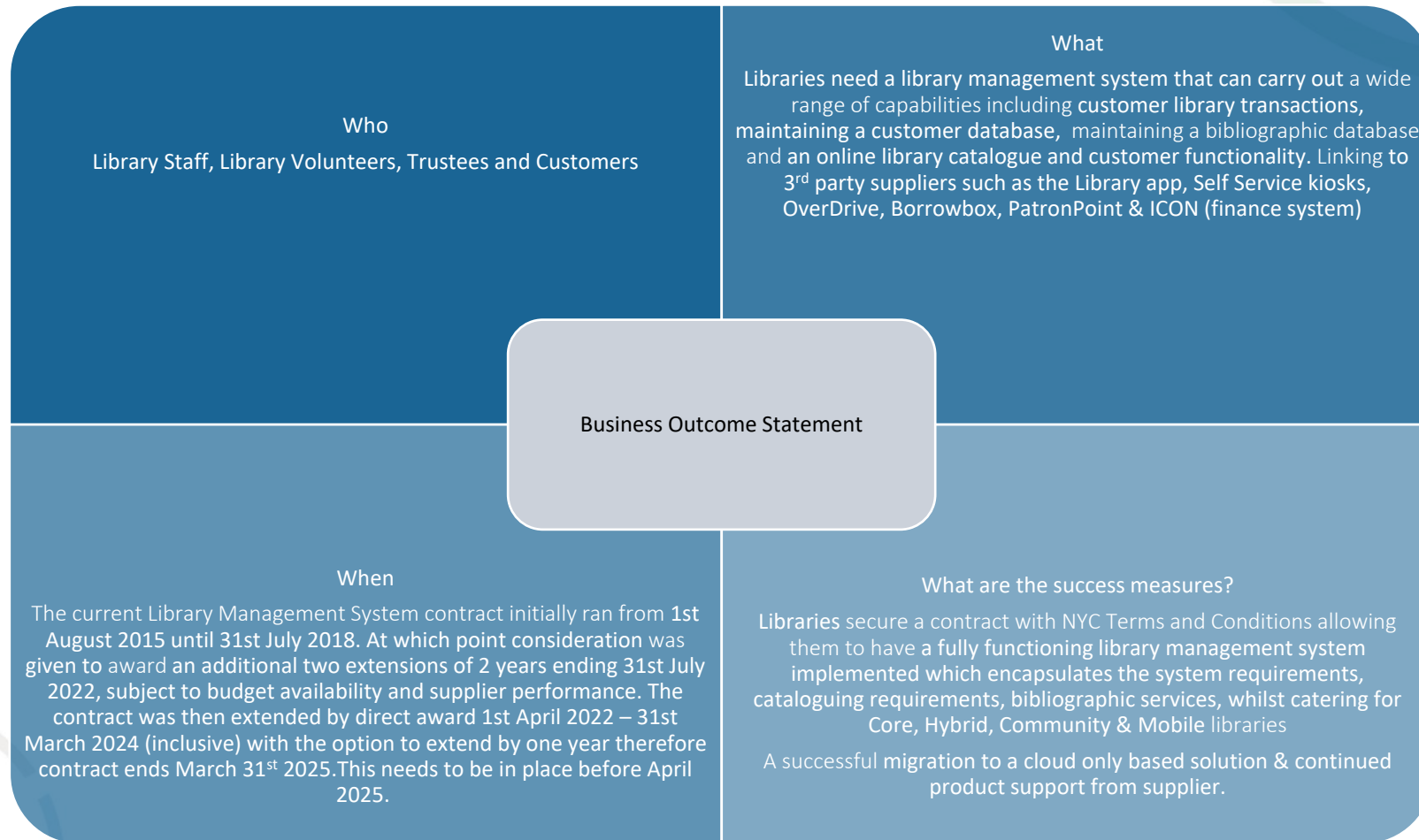
## RACI

The following table is providing a summary of the stakeholder groups consulted

Responsible	Accountable	Consult	Inform	Quality Assurance
"Responsible for the work"	Accountable for the work	Consult regarding the work	Inform the work is taking place	Quality Assurance checks
Thomas Bell – Business Analyst	Hazel Smith – Sponsor – Head of Libraries	Charlotte Stolarski – Procurement Officer	Jo Ireland – Assistant Director Culture and Leisure	Jon Learoyd – Head of Architecture & Infrastructure
Mark Dixon - Solutions Architect		Abigail Burns – Project Manager Kendra Nell – Business Support Lesley Watkinson – Finance	Alan Watson - BRM	
Matthew Graham – Assistant Architect		Helen Tumilty - Customer Services Channel Manager Vincy Benedect – CST Finance		
		Jemma Gotts & Ian Smith – CST Craig Skelhorn-Digital Team		
		John Lewis – Information Security Melanie Fowler – Library Manager – Service Delivery		
		Jenny Tyrer – E-Services Librarian Kevin Cowells – Technology Lead Andrew Lambert – Technology Group Manager Denise Robinson – Technology Lead Laura O'Brien – CST Product Owner		
		Matthew Robinson – Resilience and Emergencies		



# Business Outcome Statement



# Business Outcomes

Desired Outcome	Description/Measures
Implementing a new LMS solution	User Experience, usability, penetration testing and successful migration of data & users.
Solution is hosted and supported by the supplier with minimal internal IT intervention.	Minimal internal IT work as solution is completely cloud-based.
New contract put in place for a new LMS.	Supplier agrees to our NYC terms & conditions.
Staff and volunteers are adequately trained to use the software	Train the trainer is rolled out to a group of employees who will receive training from the chosen supplier. The internal trainers will train the rest of the library staff & volunteers.
A friendly and accessible user experience for staff, volunteers and customers	Customers, staff and volunteers can easily navigate around the system, and can use accessibility features if needed.
Getting the best value LMS for the allocated Library budget	Ensuring we have a user-friendly Library Management System which is within NYC Library budget.
To ensure sustainability and viability for the current service delivery model	A sustainable LMS with pathway to develop and upgrade services during contract.
Business Continuity and Disaster Recovery is in place	If the system goes offline, there's a back-up available to temporarily work offline until system access is restored. All suppliers at the Discovery Days a promise in place to have LMS uptime above 99.5%

Page 20

# Considerations

## PESTLE and Whole Life Costs (Current Solution):

Political	Economic	Social	Technology	Legal	Environmental
No external factors	No external factors	Customer facing service	Cloud Based Service	Providing a Library Service is a statutory requirement.	No external factors
				Data Protection Compliance	
				Contract Compliance	
				Procurement Process Compliance	

Page 27

[Requirements will exist elsewhere so reference these as inputs, do not repeat list]

[Consider whole life costs of current solution – licences, Support & Maintenance, and internal support costs and risks]

### Not considered:

- [out of scope items] - N/A

# Additional Consultation

The following table is providing a summary of other persons consulted

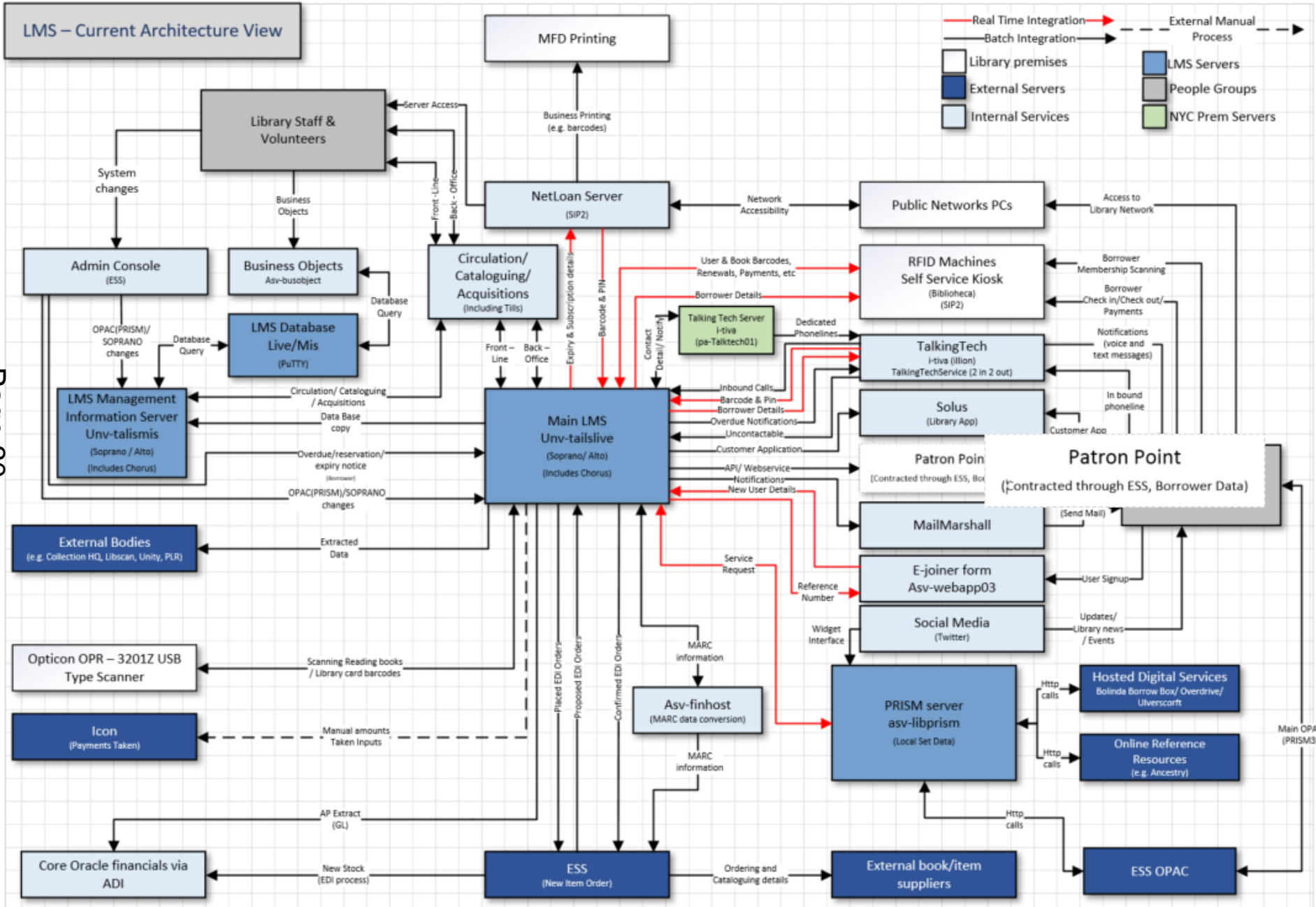
Who	Role	Why
Hazel Smith, Melanie Fowler	Library Managers	To understand the preferred solution, providing knowledge around the current Library Management System and understand current experience and future requirements of customers, employees & volunteers.
Mark Dixon	Solutions	Set out potential architecture and solution options.
Alan Watson	Business Relationship Manager	Provide an oversight, looking at resource need/ask.
John Lewis	Information Security	To understand if there are any issues from a Security POV. Raised there was an interest in data migration, integrity of data and how secure this was, getting reassurance from potential suppliers.
Charlotte Stolarski	Procurement Officer	Consulted the market, set up/ran Discovery Days and in the future – to run the open procurement.
Matthew Robinson	Emergency and Resilience Manager	Disaster Recovery/Business Continuity set-up.
David Kempen/Hannah Flynn	Data Governance	A DPIA is needed. The current contract states that you have to tell Education Software Solutions within 28 days of contract termination that you want your data migrated elsewhere. After 60 days of hearing nothing, our data is deleted. There's no price in the contract so unsure how much ESS charge.

# Suppliers at Discovery Days

The following table is providing a summary of external persons consulted

Supplier	System	Notes
Axiell ALM	Axiell Spark	Cloud Based. Quite traditional, icon based screen, user friendly.
Sirsi LTD	Symphony	Cloud Based. Biggest in the market.
Education Software Solutions	Soprano	Cloud Based. Current system. No data migration needed. No current roadmap for future development.
Civica UK	Spydus	Cloud Based. Customer interface very good. Widely used throughout authorities.
Innovative Interfaces	Polaris & Vega	Cloud Based. Impressive customer interface and staff tools. No current UK customers, but many customers abroad mostly in the US.
PTFS Europe	KOHA & Aspen	Open-source system, community led. Mostly smaller authorities that currently use the system.

# Current Architecture – Technical View



Page 30

Currently there is no integration between the current LMS and CIVICA ICON.

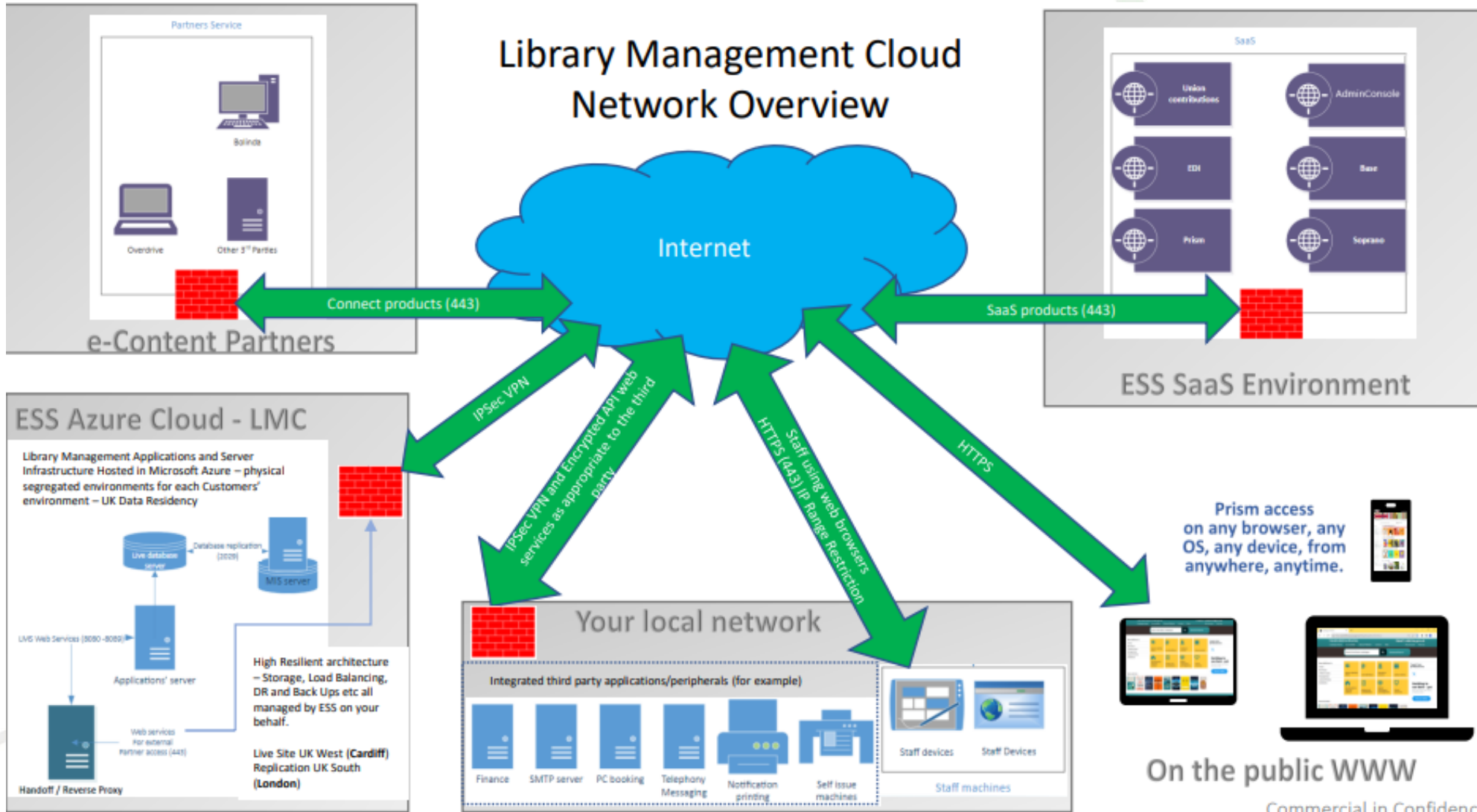
Double keying occurs when Acquisitions receive an email to say what money has been passed through. Finance put into Oracle, Library staff then receive an email to say it's been paid. LMS and RFID Kiosks weekly takings in report form are matched up with actual takings and keyed into ICON.

LMS linking straight into ICON would save double-keying and a lot of time for Core & Hybrid card payments.

Cash payments would need looking into during integration.



# Current Architecture – Network Overview



# Business View Slides

[Library SCAM Matrix Template V0.2.xlsx \(sharepoint.com\)](#)



Service Development		
Service Pricing Management	Service Management	Knowledge Management
	Works Order Management	Research Management
<p><b>Functional Requirements</b></p> <p>(please list for this use case) What the system does</p>	<p>The ability to confirm proposed orders in bulk back to 3rd party suppliers via the LMS gateway</p> <p>The ability to cancel the whole or part of an order on the LMS</p>	
<p><b>Non Functional Requirements</b></p> <p>(please list for this use case) How the system performs/operates</p>	<p>The ability to set different fines dependant on borrow types</p>	<p>The ability to select which catalogue fields are displayed in catalogue search results (for public and staff catalogues)</p>

Customer Management

Customer Engagement

Channel Management

Customer Data Capture

Customer Validation

Customer Account Management

Customer Self Service (e.g Forms)

Customer Address Capture

Contact Preferences

Service Eligibility Management

Ability to use the Library Management System from home

Ability to use the Library catalogue from a mobile - responsive design

The ability for account details to show up current loans, loan history, active reservations, contact method and contact preferences (ie opt in or opt out of marketing notifications), notifications already sent, any charges owing.

The ability for the system to be accessible 24/7 from anywhere

The ability for customer to join online (is an option on the library catalogue home-screen)

The ability to have user forums - online user forums where customer from suppliers can share ideas, ask questions, user group meetings. (Currently have an email forum)

The ability to create and save personal book lists

The ability to have an A-Z menu for searching all North Yorkshire Council Services

The ability for the LMS to generate and deliver standard notifications via customers preferred delivery method e.g overdues, reservations waiting etc

The ability to locate addresses via postcode (currently file of North Yorkshire postcodes uploaded to LMS quarterly)

The ability to validate borrower barcode numbers and item barcode numbers

The ability to authenticate age of consent for different borrower types being able to borrow particular item types (eg DVDs)

The ability for customer to view different borrower catalogues based on their date of birth (Over 18 Adult only section)

The ability to link to ICON which processes in-person card payments. Fines, replacement costs, recalls & loans and link to customer accounts.

Collaboration	Customer Request Management			Operational Governance	Operational Planning
External Collaboration	Service Request Management	Fulfilment Management		Audit Management	Service Operational Resilience
Organisation to Organisation Collaboration	Request Management	Outcome Management	Referral Management		Operational Business Continuity
		Confirmation (notification) of Outcome Management	Signposting		
The ability to receive quotes(proposed orders) from 3rd party suppliers through the LMS gateway.	The ability to set borrower expiry dates automatically when a new borrower record is created.	The ability for the LMS to generate and deliver standard notifications via customers preferred delivery method e.g overdue, reservations waiting etc		The ability to pass audit by Veritau every 3 years  The ability to check the history of editing (operator & date)	The ability to operate offline and download all transactions automatically when the system is back online, and to provide access to transactions which are unable to download automatically for items with exceptions (eg reservations for returned items.)
			<p>The option to add links to other resources and for customers to login to their library account</p> <p>The ability to have a catalogue home page which needs to be able to display links to other library resources e.g digital catalogue, online ref resources, new additions, links to useful websites, links to social media</p> <p>The ability for E-book catalogue records to have active links to the E-book on the supplier's website/app</p>		

Technology Management			
Device Management	Systems Management		
Device Maintenance	Systems Testing	System Development	
Mobile device management		System Configuration	Integration Development
Ability to use the Library catalogue from a mobile - responsive design	The ability to have a test environment which is a replica of the live environment (currently test environment is copy of previous day's live data (would ideally like to maintain this system)	<p>The ability to stack up several catalogue/borrower/item records in tabs</p> <p>The ability to add to any of the system parameters - Example of this is a new borrower type</p>	<p>Ability to link to social media on Prism (such as a X feed)</p> <p>The ability to connect to 3rd party products/suppliers and where necessary link so that borrowers can be verified, reservations placed, items renewed.</p> <p>The ability to export files of data via scripts set up and automatically run on regular basis (eg monthly) to Unity, Nielson, CollHQ, (Book trade, send files of data to them) how much books are used &amp; Patron Point.</p> <p>The ability to import EDI invoices from 3rd party suppliers through the LMS gateway</p> <p>The ability to link with Patron Point to find out who has opted into emails.</p> <p>Ability to use LMS from a tablet - staff &amp; volunteers</p>
		The ability to have the option to display cover images (currently images show in Soprano but not in Alto. But no option to choose whether or not they display.)	The ability to EDI, fulfilling orders, what items supplied.

Data Management							
Record and Information Management	Record and Information Management	Data Storage Management	Data Analytics	Data Analytics			
	Data Lifecycle Management	Document Management		Data Monitoring		Business Intelligence (BI) Analytics	Reporting
		Document Scanning		Activity Monitoring	Consumption Monitoring		
<p>Include a public library catalogue</p> <p>The ability to quickly process transactions and update the database in real time</p> <p>The ability to locally amend types &amp; rules for borrowers, loans, item types and fines</p> <p>The ability to locally create and run scripts to bulk amend data for a variety of parameters e.g. by combinations of item type/status, due dates etc (ad hoc/create our own)</p> <p>The ability to sort search results (by date/title/author etc)</p> <p>The ability to display book cover image for all titles</p> <p>The ability to link by title and reservation to different editions i.e paperback reservation linked to hardback edition</p> <p>The ability to put items in transit giving details e.g. date, time it was put in transit and from which site it was sent and which site it is in transit to. (Details currently show in Alto but not in Soprano)</p> <p>The ability to assign a replacement barcode to an item &amp; customer, and to transfer all transaction data across</p> <p>The ability to read 14 digit borrower barcodes, including a combination of numbers and letters</p>	<p>The ability to back-up data regularly (hourly, daily, weekly depending on type of data dealt with)</p> <p>The ability to run regular automatic/scheduled scripts (daily/weekly/monthly) to delete unwanted catalogue records, provide information on reservations and number of copies available, update new borrower details for notifications</p> <p>The ability to create catalogue records from scratch and to copy existing records to marc21,RDA and DDC23 standards</p> <p>The ability to suppress catalogue records from the public catalogue, both by individual record and/or by site.</p> <p>The ability to delete catalogue records</p> <p>The ability to search the catalogue for all items or just "in stock status" by following either individually or in any combination, and with Boolean searching : Author</p>	<p>The ability to be compatible with Opticom OPR-3201Z USB Type Scanner</p>	<p>The ability to run regular automated scripts to report on items (status of loan, number of reservations etc) and to automatically email these reports out to particular recipients.</p> <p>The ability to show item availability, including 'on order' items and capability for customers to both place reservation, and cancel a current reservation if no longer needed</p>	<p>The ability to check stock from CollectionHQ linking to LMS</p>	<p>The ability to see history/details/progress of a reservation (currently full details only available in Alto.)</p>	<p>The ability to provide lists of requested books (customer reservations) for libraries to check at least twice a day and only for libraries which are open on that day</p> <p>The ability to export search results via MS Excel (currently bib search does not export in a usable way. Only loan history exports in a usable way, and this is limited to the past 2 years, ideally need more than 2 years.)</p>	<p>The ability to run report for FOI's. Data needs to be accessible.</p> <p>Ability to update orders with supplier status reports.</p>
<p>The ability to input "dead days" for specific libraries (when libraries are closed) to push back or bring forward return dates to ensure correct fines are charged.</p>						<p>To report daily on how many notifications sent and to whom (broken down to individual borrowers)</p> <p>The ability to run reports without impacting LMS performance</p> <p>The ability to create own/bespoke reports and export in a variety of formats (including MS Excel)</p> <p>The ability to provide details for titles which have not had a full catalogue record supplied as part of quotes/EDI</p>	

Page 37

<b>Proactive Communication Management</b>	<b>Information Advice and Guidance</b>	<b>Customer Purchase Management</b>		<b>Income Management</b>
<b>Notifications Management</b>		<b>Invoice Management</b>		<b>Income Collections</b>
		<b>Discount Management</b>	<b>Contract Invoice Splitting (Periodic)</b>	

Ability to send out voice, text and email notifications to customers

Ability to produce automatic notices (overdue, reservation collection, borrower expiry and fine notices)

Ability to create/amend notifications to borrowers

The ability for the LMS to generate and deliver standard notifications via customers preferred delivery method e.g overdue, reservations waiting etc

The ability to contact support/helpdesk via phone or support portal, including FAQ'S/Knowledge articles

The ability to add temporary messages to the catalogue homepage (e.g. notice of maintenance work etc)

The ability to waive customer charges on an ad hoc basis

The ability for customer to have subscriptions for audio, DVDs (one charge a year) Netloan linking to LMS

The ability to pass invoices through for payment on the LMS - links to NYC financials (Oracle) - Paying for book orders for the new library stock.

The ability to link to Oracle and process Cheques

The ability to link to ICON which processes in-person card payments. Fines, replacement costs, recalls & loans and link to customer accounts.

Ability to input financial data once (currently inputted on LMS & ICON -Payment system)

The ability to log cash and card payments taken in-person

Operational Security Management		Assets Management		Marketing Management
Information Security Management		Wider Assets Management		Marketing Operations Management
Systems Access Security Management	Data Access Security Management	Inventory/Logistics Management	Asset Lifecycle Management	Campaign Management
				Promotion Marketing Management
<p>The ability to set user permissions to different levels</p> <p>The ability to login to account via Library card number and pin</p> <p>The ability for customer to change their pin and update contact details and contact preferences</p> <p>The ability to prevent access when logging in if a certain number of tries is reached</p>	<p>The ability to have authority controls for authors</p>	<p>The ability to warn if book is already in stock to prevent duplicate records</p> <p>The ability to look up an item with an European Article Number (EAN)</p> <p>The ability to assign stock to different libraries - dynamic stock</p> <p>The ability to receipt and pay multiple copies, individual copies and part orders on the LMS - Book orders for new library stock (part of the Acquisitions process)</p>	<p>The ability to process return of damaged, incorrect or unwanted items</p> <p>The ability to issue items to customers</p> <p>The ability to track where items/assets have been</p> <p>The ability to un-Receipt items on the LMS - This is for the book acquisitions process and is used to change the status of an item (book) back to "order sent" from "in stock." (This can happen for a variety of reasons.)</p>	
<p>Generic and individual logins and the ability to change own passwords/pins and to have concurrent logins</p> <p>The ability to locally reset passwords</p>		<p>The ability to locally amend dynamic stock settings (e.g excluded item types/sites/kiosk settings)</p> <p>The ability to have a validation check on ISBN (International Standard Book Number)</p>		<p>The ability to display a small selection of topical book covers on the catalogue homepage</p>

# Rejected Options

Option	Reason Rejected
Regional Consortium – (teaming up with Yorkshire & Humber authorities to have a joint LMS solution)	Timescales are too tight. We need to ensure we have enough time for implementation given the large number of staff and volunteers who need training and our service delivery model.
G-Cloud 13, CCS & ESPO Frameworks	Not all suppliers at the Discovery Days were on each Framework. ESPO – tight timescales, not been renewed.
Re-use a system we already use at County Hall	No current existing system available.
Build our own bespoke system	Not enough time or resource to create a system which will hit our must have capabilities. Re-use, buy, build.



# Executive Summary – Recommended Solution

## Preferred Option – Procure New System

### Option Summary

- Full Procurement of cloud-based solution, above threshold to the Open Market.

### Positive Factors

- Ability to choose between multiple suppliers.
- Design own terms & conditions
- Have own specification and adapt as required.
- Choose length of contract to suit NYC.
- Inclusive of all interested suppliers to return best value.
- Opportunity to improve and develop future services (e.g. customer engagement)
- Opportunity to integrate functions and reduce need for third party suppliers
- Solution is completely cloud-based (greater supplier choice)
- Adequate training is important and offered by all suppliers.
- Reducing on-prem footprint
- Ability to data cleanse during migration

### Business Impact (People & Process)

- Training the trainer days from suppliers, leaving the trainers to train internal employees and volunteers separately.
- Resource to train the employees & volunteers.
- Resource from CST
- Small amount of resource from IT

### Procurement

- Gateway & Key decision

### Financial Impact

- Packages vary in price dependant on capabilities
- Data migration (stock records, catalogue, customer records)
- Training the trainer costs and internal training.
- Re-establish connections to integrate with Public Network PC's & Kiosks.
- Integration with supplier/Power BI & ICON/Oracle - reporting package, dashboard to look at budgets. Civica ICON – Income Management System – money received is processed into ledger.

### Technical Impact

- Support data migration
- Technical resource to re-establish connections and integrations with BI, Kiosks & Civica ICON/ORACLE
- Ensuring all 3<sup>rd</sup> party suppliers are linked up and working (E-resources, BorrowBox)
- Reducing on-prem footprint

### Notable Neutral Factors

- All suppliers at the Discovery Days offered similar solutions.

### Negative Factors

- Potential push-back on NYC terms & conditions.
- Procurement exercise is a longer process.

# Retain & Improve Option – Education Solutions Software

## Option Summary

- Retain current supplier

## Positive Factors

Page 42

- Low cost of change
- Reduced support cost
- No training of staff is needed
- Integration is already partially in place
- Cheaper than previous contract annual fee.

## Notable Neutral Factors

## Negative Factors

- Fulfilment of contract – some issues regarding system performance
- No roadmap for future developments
- Risks to challenge from other suppliers
- Loss of opportunity to develop and improve services (e.g. customer engagement) and integrate functions currently provided by third party suppliers
- Currently hybrid (on prem & cloud) solution

## Business Impact (People & Process)

• Low impact to change

## Procurement

- Procurement would need to find a Direct to Award route
- Go through Gateway

## Financial Impact

- New proposed annual fee is lower than current contract with Education Software Solutions

## Technical Impact

None anticipated

# Recommendation | Full Procurement of cloud-based solution, above threshold to the Open Market

## Benefits

- Ability to choose between multiple suppliers.
- Design own terms & conditions
- Have own specification and adapt as required.
- Choose length of contract to suit NYC.
- Inclusive of all interested suppliers to return best value.
- Opportunity to improve and develop services (customer engagement)
- Solution is completely cloud-based (greater supplier choice)
- Adequate training is important and offered by all suppliers.
- Reducing on-prem footprint
- Option to cleanse data

## Risks

- Push-back from suppliers with NYC's Terms and Conditions.
- Insufficient time to implement a new solution
- Data Migration isn't smooth or secure.
- Amount of time to train internal staff & volunteers.
- Education Software Solutions will charge a fee (price isn't mentioned in contract) to transfer data across to new supplier. Have to let ESS know within a 28 day period as data will be deleted after 60 days. This could potentially be done in-house is an option if NYC have the resource, knowledge and permissions. Around 90% of LMS purchasers pay their previous supplier to format the data and send to the new supplier.
- Integration with Supplier BI (if applicable, BI change needed if the supplier chosen isn't CIVICA)

## Assumptions

- Suppliers sign up to NYC's Terms and Conditions.
- Data Migration runs smoothly and securely. retention period for financial data acquired is 7 years.
- Sufficient interest from suppliers
- Resource from relevant teams is available (large input from internal Finance department as well as other teams)
- Library Team have capacity to deliver.

## Issues

- Limited time to implement a new solution (Supplier varied from 6-12 months)

## Dependencies

- Technical Finance linking up with LMS.
- CST, Developers, Procurement, Training & Learning, Solutions.
- Library Team have capacity to deliver.
- LMS audit

# DR/BC Arrangements

## Include SLAs if known

### Business Continuity –

Ability to continue business while offline from all libraries, including the mobile.

- NYC corporate business continuity plan was signed off by Management Board in March 2023, which identified corporate and critical activities.
- Business Continuity Policy – There's a corporate risk group where directorate business continuity, business impact analysis, incident management plans are discussed.
- Existing critical activities and critical applications are on pre-vesting day Business Continuity Plan, this documentation will be updated during the next annual cycle.
- Business Continuity Plan will need updating by Head of Service w/support from Resilience & Emergencies team.
- Business Continuity is Libraries responsibility as Libraries is a non-time critical service, therefore liaising with Supplier will have to occur.
- The current Business Continuity solution will be adopted for any new supplier.

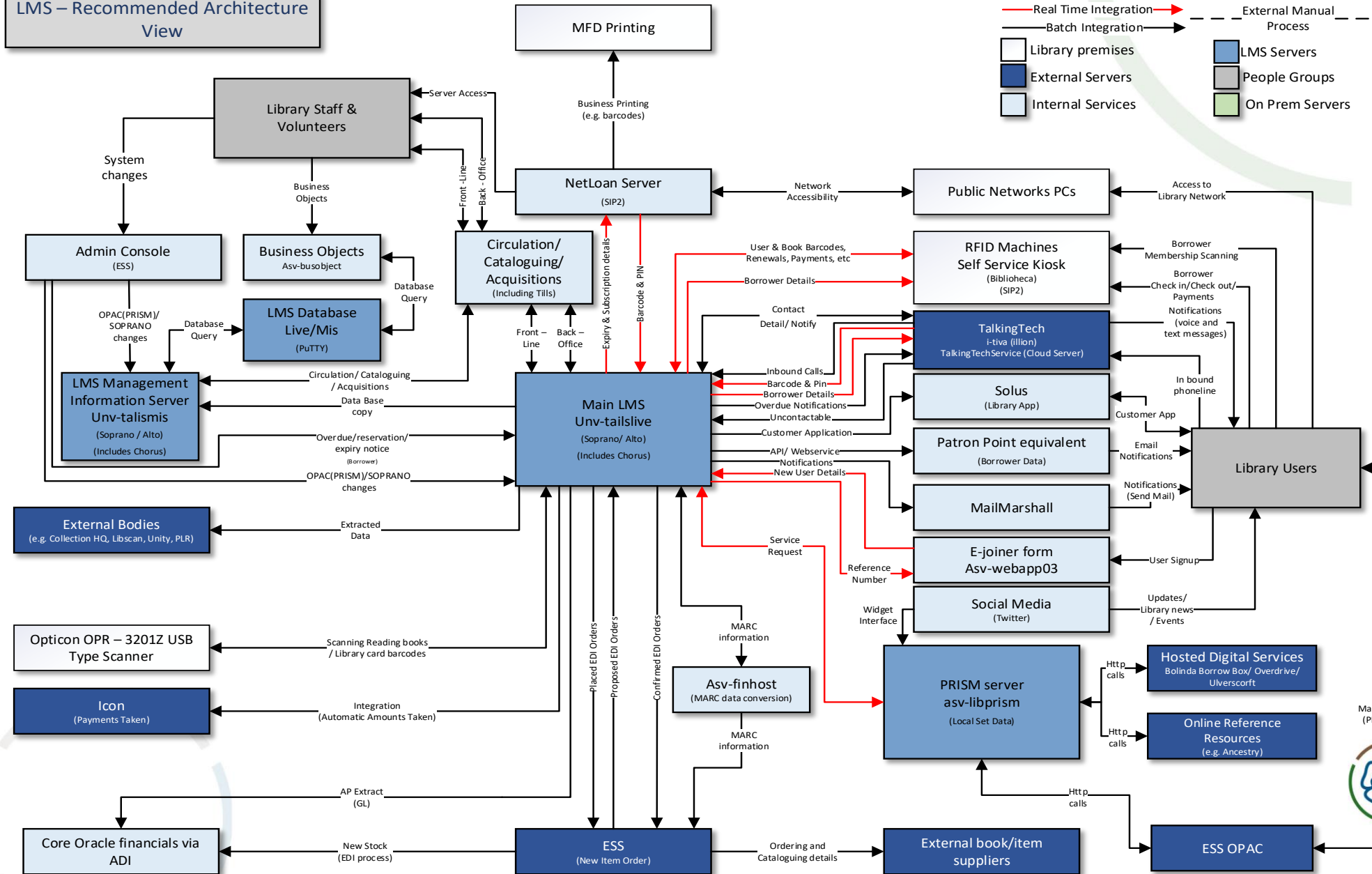
### Disaster Recovery -

- Externally hosted system.
- Wouldn't be affected by a NYC cyber attack.
- Supplier's responsibility to react and recover any lost data.
- Suppliers guarantee at least a 99.5% system uptime.

# Recommended Architecture – Solutions View

Page 45

## LMS – Recommended Architecture View



OFFICIAL



# Implementation Support

Support Required	Why	Estimated Days
Supplier	Data Migration.	9 months - (whole of implementation)
Information Technology UCS/CIA/EUC	Ensure connections are aligned and working. Potential removal of on-prem server (talking tech). Ensure configuration is completed	8-12 days
CST - Community & Social Care	Heavy involvement with implementation, migration, supporting & maintaining the system.	9 months (whole of implementation) – 60-90 days work
CST – Finance	Align Finance system (Oracle) and Income Management System (ICON) connection with LMS solution.	25 days
Finance	Understanding whether there is a new avenue for payment.	5 days
Business Support Exchequer	Testing supplier payments and ICON income processes w/support from CST Finance.	10 days
Communications	Update wording, guidance and links on the Intranet/Internet	10 days
Library Managers	Heavy involvement with the project and implementation of the solution, testing and cascading communications down to library staff & volunteers.	9 months
Library Trainers	Train the Trainer sessions	2-3 days
All Library Staff and Volunteers	Trainers train remainder of staff/volunteers	40 days
Project Manager	Managing the project, ensuring deadlines are been hit and all work that is needed to be carried out, is done so.	9 months – (whole of implementation) 60-90 days
Category Procurement Officer	Liaise with Legal to work up Terms and Conditions, and ensure the contract is signed by the supplier.	2 weeks
Legal	Work up Terms and Conditions w/Procurement & Service Area and making any amendments if needed.	Up to 4 weeks

# Implementation Support -Continued

Support Required	Why	Estimated Days
Digital UX	Creation of standard templates and configuration	8 days
Development Team	Ensure that any integrations are understood and resource available to complete	30 days

# On-going Support

Support Required	Why	Estimated Days (Internal Only)
E-Services Librarian	If any issues occur on LMS, E-Services Librarian is contacted to be made aware of issues. (e.g order hasn't processed properly, reports showing errors)	Log in daily and when supplier contacts or vice versa.
Information Technology	Liaise with supplier to ensure infrastructure is working.	Weekly
CST - CST - Community & Social Care	User maintenance, upgrades, BAU, support tasks, incident management.	Daily
Supplier	Very frequent checks to ensure system is online and working correctly. If an error occurs for any reason E-Services Librarian is notified.	Every minute
Business Support Exchequer	Process Library payments	Daily



# Total Cost of Ownership

## High level TCO estimates

Item	Cost During Contract Lifespan
Licences	N/A
Software costs	N/A
Hardware costs	N/A
Infrastructure costs	Removal of on-premise server – Talking Tech service (pa-talktech01) 4 dedicated phone lines, two inbound and two outbound. (Software called iTiva) £0.
Implementation costs	£20,000 - £55,000
Training costs	Included in the price of implementation, however internal trainers will need to train Library Staff & Volunteers. Estimated 40 days to complete training.
External support costs	£33,000 - £70,000
Internal support costs	On-going support mentioned in previous slide
Hosting costs (Internal/External)	External hosting costs included in Annual costs (next slide)

# Implementation & Annual Costs

Supplier	Implementation Cost	Annual Costs	Time to implement	Length of Contract
Civica UK	£40,000.00	£70,000.00	6 months	5 years
SirsiDynix	£30,000.00	£59,113.33	6 months	5 years
Education Software Solutions	£0.00	£46,050.00	1-2 months	3 years
PTSF Europe	£55,000	£38,000	9-12 months	5 years
Axiell ALM	£20,000	£33,000	8-12 months	5 years
Innovative Interfaces Incorporated	£40,000	£35,000	9 months	3 years

# Next Steps

Approve the recommended solution to open market, implement a new solution (migrate users, set up the Library catalogue, conduct training for employees & volunteers)

Complete a DPIA to systematically and comprehensively document and analyse any personal information processing related to the LMS, whilst identifying and minimising any data protection risks.

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**NYCC PROJECT OUTLINE BUSINESS CASE**

Project Name	4021	Library Management System Procurement	
Project Sponsor	Hazel Smith	Project Manager	Abigail Burns
Council Plan Theme #1			
Council Plan Theme #2			
North Yorks Programme #1			
North Yorks Programme #2			
Project Type	Service Improvement	New Funding Required	No
Recommended Option	Option 2	Value Required	See slides from SRB and put in an average
Finance Contact	Michelle Oates	Funding Source Identified	Revenue Budget

Contract c

**OVERVIEW**

[Finance Template - Guidance Notes here](#)

*Brief description of the project and its purpose.*

To procure a new Library Management System as the current contract has reached an end and has utilised all extensions. Library Management System allows the Library service to collect fees and charges. Without this an alternative method would need to be explored which may be less efficient and incur other costs. Current fees and charges approx £91K that the LMS helps to manage. If we do nothing then we would be working out of contract.

**ASSUMPTIONS & CONSTRAINTS**

*Detail key assumptions, such as expected funding, and constraints, such as the need for special equipment or technical resources. Issues around costings*

Expectation that the current budget will meet the procurement of a new Library Management System. Existing budget is £54,000k per annum. Assuming that any inflationary increases linked to the contract would be met through annual budget setting inflation process. Implementation costs are based on the average from information gathered through the Discovery Days. One off implementation costs that may be able to be absorbed by the service this needs to be reviewed ahead of the final business case. For example the highest implementation costs from the Discovery Day would be a corporate ask of £55,000 one off funding.

**RECOMMENDED OPTION**

*Describe the preferred option derived from the previous analysis*

**Option 2**

Replace New Library Management System (Open Market)

**BUDGET**

*Describe the current funding and budget including its make-up i.e. Base budget, Grants etc. and current spending levels. Really important to note where service may already have budget pressures. Also indicate the identified sources of funding for the project.*

The current budget meets the current costs of the Library Management System and following Discovery Days it is anticipated that NYC will be able to procure a future service within this budget footprint.

**ADDITIONAL INFORMATION**

*Used to capture any extra information that is relevant to the financial business case.*

Potential extra finance required for implementation costs.

Cost from Discovery Days £33,000-£70,000

**NYCC PROJECT OUTLINE BUSINESS CASE**

Project Name	4021	Library Management System Procurement		
Project Sponsor	Hazel Smith	Project Manager	Abigail Burns	

**BRIEF DESCRIPTION OF OPTION**

**Option 1**

Do Nothing (Current Contract Expires)

**OPTION COSTS & FUNDING SUMMARY**

	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	
A Total Current Expenditure Budget	54,000	54,000	54,000	54,000	54,000	54,000	54,000	
B Total Current Income Budget	-	-	-	-	-	-	-	
<b>Total Requirement</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	
C Total Option Cost	324,000	54,000	54,000	54,000	54,000	54,000	54,000	
D Total Option Savings & Income	-	-	-	-	-	-	-	
<b>Total Requirement</b>	<b>270,000</b>	-	-	-	-	-	-	<b>Exceeds 5yrs</b>
Accum.	-	-	-	-	-	-	-	

**CURRENT COSTS & FUNDING**

Please identify current budget codes and funding streams

Expenditure Budget	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	
Revenue budget	54,000	54,000	54,000	54,000	54,000	54,000	54,000	
<b>A Total Current Expenditure</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	

Income Budget	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	
<b>B Total Current Income</b>								

Total Current Net Cost	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	
<b>Total Current Net Cost</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	

**OPTION COSTS**

Please include all the costs associated with running the new option. It is not for any additional requirement to current level of costs.

1 **TOTAL IMPLEMENTATION & ONE-OFF COSTS**

One-Off Costs	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap

2 **TOTAL RECURRING COSTS**

Recurring Costs	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap
Running Costs	324,000	54,000	54,000	54,000	54,000	54,000	54,000	
<b>c Total Option Cost</b>	<b>324,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	

3 **INTERNAL COSTS (For Illustration only)**  
These will not be used in any calculations, but an illustration of costs already incurred elsewhere, but associated with this option.

Use of Internal Resources	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap

**OPTION SAVINGS & INCOME**

Please include all the costs associated with running the new option. It is not any additional to current.

4 **TOTAL CASHABLE SAVINGS**

Saving Description	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap

5 **TOTAL INCOME GENERATION**

Income Stream	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap

**d Total Savings & Income**

6 **NON-CASHABLE SAVINGS (For Illustration only)**  
These will not be used in any calculations, but an illustration of savings incurred elsewhere, but associated with this option.

Saving Description	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap

**NYCC PROJECT OUTLINE BUSINESS CASE**

Project Name	4021	Library Management System Procurement		
Project Sponsor	Hazel Smith	Project Manager	Abigail Burns	

**BRIEF DESCRIPTION OF OPTION**

**Option 2**

Replace New Library Management System (Open Market)

<b>OPTION COSTS &amp; FUNDING SUMMARY</b>								
	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	
A Total Current Expenditure	324,000	54,000	54,000	54,000	54,000	54,000	54,000	
B Total Current Income	-	-	-	-	-	-	-	
	<b>324,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	
C Total Option Cost	40,000	54,000	94,000	54,000	54,000	54,000	54,000	
D Total Option Savings & Income	-	-	-	-	-	-	-	
	<b>40,000</b>	<b>54,000</b>	<b>94,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	
<b>Total Requirement</b>	<b>(284,000)</b>	-	40,000	-	-	-	-	
Accum:	-	-	40,000	40,000	40,000	40,000	40,000	

**Exceeds 5yrs**

**CURRENT COSTS & FUNDING**

*Please identify current budgets and funding streams*

<b>Expenditure</b>								
	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	
Revenue funding	324,000	54,000	54,000	54,000	54,000	54,000	54,000	-
	-	-	-	-	-	-	-	-
	-	-	-	-	-	-	-	-
	-	-	-	-	-	-	-	-
<b>A Total Current Expenditure</b>	<b>324,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	
<b>Income</b>								
	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	
	-	-	-	-	-	-	-	-
	-	-	-	-	-	-	-	-
	-	-	-	-	-	-	-	-
<b>B Total Current Income</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	
<b>Total Current Net Cost</b>	<b>324,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	

**OPTION COSTS**

*Please include all the costs associated with running the new option. It is not for any additional requirement to current level of costs.*

**1 TOTAL IMPLEMENTATION & ONE-OFF COSTS**

One-Off Costs	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap
Implementation	40,000		40,000					Revenue
	-							Potential Growth
	-							
	-							
	40,000		40,000	-	-	-	-	

**2 TOTAL RECURRING COSTS**

Recurring Costs	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap
Running costs of contract		54,000	54,000	54,000	54,000	54,000	54,000	Revenue
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-							
<b>c Total Option Cost</b>	<b>40,000</b>	<b>54,000</b>	<b>94,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	<b>54,000</b>	

**3 INTERNAL COSTS (For Illustration only)**

*These will not be used in any calculations, but an illustration of costs already incurred elsewhere, but associated with this option.*

Use of Internal Resources	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap
Project Management	19,453		19,453					
Corporate Systems Team Finance Systems Dev Officer	13,183		13,183					
Corporate Systems Team Finance-Product Owner	6,996		6,996					
UCS/CIA/EUC	7,023		7,023					
Finance	1,133		1,133					
Business Support	1,324		1,324					
Communications	2,162		2,162					
Library Managers	38,907		38,907					
Category Procurement Officer	1,734		1,734					
Digital UX	1,387		1,387					
Development Team	4,817		4,817					
Digital Service Designer	2,378		2,378					
Data & Intelligence	432		432					
	100,929	-	100,929	-	-	-	-	



**NYCC PROJECT OUTLINE BUSINESS CASE**

Project Name	4021	Library Management System Procurement		
Project Sponsor	Hazel Smith	Project Manager	Abigail Burns	

**OPTION SAVINGS & INCOME**

*Please include all the costs associated with running the new option. It is not any additional to current.*

**4 TOTAL CASHABLE SAVINGS**

Saving Description	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-	-	-	-	-	-	-	-

**5 TOTAL INCOME GENERATION**

Income Stream	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-	-	-	-	-	-	-	-

**D Total Savings & Income**

-	-	-	-	-	-	-	-	-
---	---	---	---	---	---	---	---	---

**6 NON-CASHABLE SAVINGS (For Illustration only)**

*These will not be used in any calculations, but an illustration of savings incurred elsewhere, but associated with this option.*

Saving Description	Total	Current Yr	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Rev / Cap
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-							
	-	-	-	-	-	-	-	-

The IT activity within Libraries can be found (Received from Karen Hornsey 28

11113 Libraries Hazel  
General Smith

4051	IT Repair Installation Maintenance and Training	0	Default
4059	IT Consumables	0	Default
4063	IT Software	0	Default
4064	IT Licences	0	Default

Breakdown of above budget received from Head of Service- 5th October 2023

IT  
Spending  
22-23

			2022-23	2023-24 – items/cost if known
4051	IT Repair Installation Maintenance and Training	Current LMS (ESS)	£56K	£58K
		Bibliotecha Self service machines	£33K	
		Covergold microfilm reader printers maintenance	£3K	
		PatronPoint Customer marketing module	£9K	

		Connect licences for Patronpoint	£3.2K	
		Illion telephone and SMS	£300	
4059	IT Consumables			RFID till rolls, handheld scanners
4063	IT Software	Lorensburgs Netloan (Bytes)	£13.5K	£14K
		Collection HQ stock management software	£14K	
4064	IT Licences			TV licences needed for Smart TVs

/9/23

budgets

115,400.00

1,200.00

19,500.00

900

Project Type
Enabling Project
Income Generation
Invest to Save
Saving
Service Improvement
Service Continuity
-

Additional Funding
Yes, Revenue funding
Yes, Capital funding
Yes, both Capital & Revenue funding
No

Council Plan Theme
Every child and young person has the best possible start in life.
Every adult has a longer, healthier and independent life.
North Yorkshire is a place with a strong economy and a commitment to sustainable growth that enables our citizens to fulfil their ambitions and aspirations.
We are a modern council which puts our customer at the heart of what we do.

2020 NY Programme Link
Stronger Communities
Partnership, Commercial and Alternative Delivery Methods
Customer
Property
Organisational Development
Combination

Yes/No
No
Yes

Revenue or Capital
Revenue
Capital

Option No		Sorter	Option Ranking
Option 1	1	#REF!	#REF!
Option 2	2	#REF!	#REF!
Option 3	3	#REF!	#REF!
Option 4	4	#REF!	#REF!
Option 5	5	#REF!	#REF!

Risks	
1 - Very High	1
2 - High	2
3 - Moderate	3
4 - Low Risk	4
5 - No Risk	5

Option No	£	£ Score	Option No Description
#REF!	#REF!	#REF!	Do Nothing (Current Contract Expires)
#N/A	#N/A	#N/A	Replace New Library Management System (Open Market)
#N/A	#N/A	#N/A	Develop In-House Solution
#N/A	#N/A	#N/A	Purchase Off the Shelf Solution
#N/A	#N/A	#N/A	Purchase Bespoke Solution

<b>Initial equality impact assessment screening form</b>			
<b>This form records an equality screening process to determine the relevance of equality to a proposal, and a decision whether or not a full EIA would be appropriate or proportionate.</b>			
<b>Directorate</b>	Community Development		
<b>Service area</b>	Culture, Arts and Leisure		
<b>Proposal being screened</b>	The re-procurement of a Library Management System.		
<b>Officer(s) carrying out screening</b>	Abigail Burns		
<b>What are you proposing to do?</b>	<p>To procure a Library Management System (LMS) due to current contract ending in March 2025. This contract has been in place since 2015 so using the full 7 years with a further extension agreed in 2022 to cover the LGR implementation period. A further extension would not be compliant or necessarily desirable.</p> <p>This procurement is for an improved but essentially a replacement product with no major impact on working practices, the minimum requirements for the system to manage and monitor the service remaining largely unchanged from the previous system specification. There is, however, increased customer expectation around their ability to self-serve and the ease of access to do so which should inform the Quality part of the tender questionnaire. A range of peer networks and events has allowed service managers to maintain current awareness of products and developments in the market and hosting Discovery Days will highlight new developments to further inform the process.</p> <p>It is anticipated that the current service budget is sufficient to cover costs including implementation.</p>		
<b>Why are you proposing this? What are the desired outcomes?</b>	The current contract has come to a close and can no longer be extended.		
<b>Does the proposal involve a significant commitment or removal of resources?</b> Please give details.	The proposal will involve a significant commitment of identified resources.		
<p><b>Impact on people with any of the following protected characteristics as defined by the Equality Act 2010, or NYCC's additional agreed characteristics</b></p> <p>As part of this assessment, please consider the following questions:</p> <ul style="list-style-type: none"> <li>To what extent is this service used by particular groups of people with protected characteristics?</li> <li>Does the proposal relate to functions that previous consultation has identified as important?</li> <li>Do different groups have different needs or experiences in the area the proposal relates to?</li> </ul> <p>If for any characteristic it is considered that there is likely to be an adverse impact or you have ticked 'Don't know/no info available', then a full EIA should be carried out where this is proportionate. You are advised to speak to your <a href="#">Equality rep</a> for advice if you are in any doubt.</p>			
Protected characteristic	Potential for adverse impact		Don't know/No info available
	Yes	No	
Age	x		
Disability	x		
Sex		x	
Race		x	
Sexual orientation		x	

Gender reassignment		X	
Religion or belief		X	
Pregnancy or maternity		X	
Marriage or civil partnership		X	
People in rural areas			
People on a low income		X	
Carer (unpaid family or friend)		X	
<b>Does the proposal relate to an area where there are known inequalities/probable impacts</b> (e.g. disabled people's access to public transport)? Please give details.	There are known areas of inequalities in relation to the ability to travel to Libraries. The use of online tools and peoples IT abilities.		
<b>Will the proposal have a significant effect on how other organisations operate?</b> (e.g. partners, funding criteria, etc.). Do any of these organisations support people with protected characteristics? Please explain why you have reached this conclusion.	<b>The proposal does not have a significant effect on how other organisations operate.</b>		
<b>Decision (Please tick one option)</b>	EIA not relevant or proportionate:		Continue to full EIA: ✓
<b>Reason for decision</b>	The re procurement of the library management system impacts many different partners therefore a full EIA should be undertaken to understand how the change to current system will impact individuals.		
<b>Signed (Assistant Director or equivalent)</b>	H. Smith.		
<b>Date</b>	4/7/23		



## Initial Climate Change Impact Assessment (Form created August 2021)

The intention of this document is to help the council to gain an initial understanding of the impact of a project or decision on the environment. This document should be completed in consultation with the supporting guidance. Dependent on this initial assessment you may need to go on to complete a full Climate Change Impact Assessment. The final document will be published as part of the decision-making process.

If you have any additional queries, which are not covered by the guidance please email [climatechange@northyorks.gov.uk](mailto:climatechange@northyorks.gov.uk)

<b>Title of proposal</b>	<b>Library Management System re-procurement</b>
<b>Brief description of proposal</b>	<p>To procure a Library Management System (LMS) due to current contract ending in March 2025. This contract has been in place since 2015 so using the full 7 years with a further extension agreed in 2022 to cover the LGR implementation period. A further extension would not be compliant or necessarily desirable.</p> <p>This procurement is for an improved but essentially a replacement product with no major impact on working practices, the minimum requirements for the system to manage and monitor the service remaining largely unchanged from the previous system specification. There is, however, increased customer expectation around their ability to self-serve and the ease of access to do so which should inform the Quality part of the tender questionnaire. A range of peer networks and events has allowed service managers to maintain current awareness of products and developments in the market and hosting Discovery Days will highlight new developments to further inform the process.</p> <p>It is anticipated that the current service budget is sufficient to cover costs including implementation.</p>
<b>Directorate</b>	<b>Community Development</b>
<b>Service area</b>	<b>Culture, Arts and Leisure</b>
<b>Lead officer</b>	<b>Hazel Smith</b>
<b>Names and roles of other people involved in carrying out the impact assessment</b>	<b>Abigail Burns - Project Manager</b>




The chart below contains the main environmental factors to consider in your initial assessment – choose the appropriate option from the drop-down list for each one.

Remember to think about the following;

- Travel
- Construction
- Data storage
- Use of buildings
- Change of land use
- Opportunities for recycling and reuse

Environmental factor to consider	For the council	For the county	Overall
Greenhouse gas emissions	No effect on emissions	No Effect on emissions	No effect on emissions
Waste	No effect on waste	No effect on waste	No effect on waste
Water use	No effect on water usage	No effect on water usage	No effect on water usage
Pollution (air, land, water, noise, light)	No effect on pollution	No effect on pollution	No effect on pollution
Resilience to adverse weather/climate events (flooding, drought etc)	No effect on resilience	No effect on resilience	No effect on resilience
Ecological effects (biodiversity, loss of habitat etc)	No effect on ecology	No effect on ecology	No effect on ecology
Heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape

If any of these factors are likely to result in a negative or positive environmental impact then a full climate change impact assessment will be required. It is important that we capture information about both positive and negative impacts to aid the council in calculating its carbon footprint and environmental impact.

<b>Decision (Please tick one option)</b>	Full CCIA not relevant or proportionate:	X	Continue to full CCIA:	
<b>Reason for decision</b>	As a like for like re-procurement there is no expectation that the change will effect a negative/positive impact.			
<b>Signed (Assistant Director or equivalent)</b>				
<b>Date</b>	4/7/23			



## Data Protection Impact Assessment (DPIA) – Screening Questions

### Overview

A Data Protection Impact Assessment (DPIA) is essential to ensure that new systems and processes are compliant with Data Protection Legislation (GDPR and the Data Protection Act 2018). A DPIA is mandatory when introducing new technology or where the processing operation is “likely to result in a high risk to the rights and freedoms of natural persons”. The risk is considered high when processing personal information about a living person. Failure to carry out a DPIA, or failure to carry one out correctly when the risk is high, may result in a large fine.

#### What is Personal Data?

*“personal data’ shall mean any information relating to an identified or identifiable natural person (‘data subject’); an identifiable person is one who can be identified, directly or indirectly, in particular by reference to an identification number or to one or more factors specific to his physical, physiological, mental, economic, cultural or social identity.”*

It may be that a single piece of information can identify an individual, or it may be that it requires a combination of information to identify them. The following information would be considered personal data:

- Name
- Address
- Date of birth
- Email address (personal and work)
- NI number
- Bank details

Personal data also extends to items such as a photo, posts on social media or an IP address.

#### What is Special Category Data?

*“personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade-union membership, and data concerning health or sex life.”*

The following information would be considered special category data:

- Racial or ethnic origin
- Political opinions
- Religious or philosophical beliefs
- Trade union membership
- Genetic data
- Biometric data\*
- Data concerning health
- Data concerning a person’s sex life
- Data concerning a person’s sexual orientation

*\*Biometric Data: physical or physiological identification techniques – e.g. fingerprint verification, facial/voice recognition, keystroke/handwriting analysis, gait and gaze analysis.*

In order to determine whether a DPIA is necessary, insert the required information into the table below and complete the checklist.

If the answer is **YES** to any of the screening questions in the checklist then a DPIA must be carried out.



## Data Protection Impact Assessment (DPIA) – Screening Questions

<b>Project/Process Title</b>	<b>4021 Library Management System-Re-procurement</b>		
<b>Directorate / Service Area</b>	<b>Community Development-Culture, Arts and Leisure</b>		
<b>Overview of Project/Process</b>	<p>To procure a Library Management System (LMS) due to current contract ending in March 2025. This contract has been in place since 2015 so using the full 7 years with a further extension agreed in 2022 to cover the LGR implementation period. A further extension would not be compliant or necessarily desirable.</p> <p>This procurement is for an improved but essentially a replacement product with no major impact on working practices, the minimum requirements for the system to manage and monitor the service remaining largely unchanged from the previous system specification. There is, however, increased customer expectation around their ability to self-serve and the ease of access to do so which should inform the Quality part of the tender questionnaire. A range of peer networks and events has allowed service managers to maintain current awareness of products and developments in the market and hosting Discovery Days will highlight new developments to further inform the process.</p> <p>It is anticipated that the current service budget is sufficient to cover costs including implementation.</p>		
<b>Screening Questions</b>	<b>Yes</b>	<b>No</b>	<b>Justification for Answer</b>
<p><b>Will your project/app/system involve processing of information about individuals which includes special category or criminal conviction data? Please note this does include ‘anonymous’ data within these categories if unique identifiers such as initials or reference numbers are also processed.</b></p> <p><i>If you are processing any of the below types of personal data your answer should be YES:</i></p> <ul style="list-style-type: none"> <li>• <i>Racial or ethnic origin</i></li> <li>• <i>Political opinions</i></li> <li>• <i>Religious or philosophical beliefs</i></li> <li>• <i>Trade union membership</i></li> <li>• <i>Genetic data</i></li> <li>• <i>Biometric data</i></li> <li>• <i>Data concerning health</i></li> <li>• <i>Data concerning a person’s sex life</i></li> <li>• <i>Data concerning a person’s sexual orientation</i></li> <li>• <i>Criminal conviction data</i></li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The system will hold info on name, DOB and where a person lives. No special category info will be collected.

<p><b>Will you be collecting new personal information about individuals, or information which, if breached could have a significant impact on an individual?</b></p> <p><i>Examples where the answer would be YES:</i></p> <ul style="list-style-type: none"> <li>• <i>This a new system/process processing personal data that has not been previously collected</i></li> <li>• <i>This is an existing system/process processing personal data but additional data must be collected due to a change in scope of the system/process</i></li> <li>• <i>Data which has routinely been collected is being collected in a new way, this data is very sensitive and would cause distress to the data subject if it was breached</i></li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Information collected will extend to Name, DOB, address and email address. It will not necessarily result in new info being gathered but this is not yet scoped as to what the new service could offer. Whilst initially this is a like for like procurement extra self serve offers may be available for use of the customer.</p>
<p><b>Will information about individuals be disclosed or shared with organisations or people who have not previously had routine access to the information?</b></p> <p><i>Example of where the answer would be YES:</i></p> <ul style="list-style-type: none"> <li>• <i>There is a requirement to share information with an external 3rd party who has not previously had access to the data. This would also result in the need for a Data Sharing Agreement (DSA).</i></li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Yes, this is a potential change dependent on who is successful at tender. Should the current provider not re submit interest or not be successful then all info will need to be shared with the new provider.</p>
<p><b>Are you going to use information you already hold about individuals for a purpose it is not currently used for?</b></p> <p><i>Example of where the answer would be YES:</i></p> <p><i>Matching information from different systems/data sources, where purpose/lawful basis of original data collection may differ</i></p> <p><i>Details of the Information Asset in question will be contained within NYCC's Information Asset Register (IAR) and the purpose for processing, along with the legal basis for processing will be recorded. The way information will be used in this new system/process must match the existing purpose/legal basis, otherwise a DPIA is required</i></p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Information will need to be transferred from one provider to another if not the current one.</p>
<p><b>Does the project involve using technology which might be perceived as privacy intrusive or monitoring any publicly accessible areas? For example, CCTV, facial recognition, use of biometrics* such as thumb prints, Vehicle number plate recognition or location tracking.</b></p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
<p><b>Does any phase of project/system/ app use automated decision making based on information provided by the individual or received from a 3<sup>rd</sup> party? Automated individual decision-making is a decision made by automated means without any human involvement (e.g. online credit checks).</b></p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

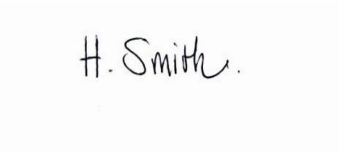


<p><i>Example of where the answer would be YES:</i></p> <ul style="list-style-type: none"> <li>• A new piece of software is being implemented which checks an applicant's geographical location, age and household income and automatically offers a free service to eligible applicants when certain conditions are met</li> </ul>			
<p><b>Will the project include marketing or contacting individuals which may be considered intrusive?</b>  <i>By phone, by email or by post, where they have not be informed/are not expecting that this contact will take place.</i></p> <p><i>Example of where the answer would be YES:</i></p> <ul style="list-style-type: none"> <li>• I have access to a list of email addresses which were collected for the purpose of setting people up as users of their local library. I'd like to send them a notice about a new transport services available that operate near the library.</li> </ul>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>The changes to the service should be minimal and managed through staff. Staff and volunteers should be supported to offer support to customers who may be struggling with any changes that occur.</p> <p>There is a possibility that other info will be shared with users of the library.</p>
<p><b>Will the project include data matching from different sources or profiling?</b> <i>Combining, comparing or matching personal data obtained from multiple sources.</i></p> <p><i>Example of where the answer would be YES:</i></p> <ul style="list-style-type: none"> <li>• Matching data from two/three different children's systems to understand which children may be eligible to join a new learning programme.</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Should the provider change from the current one then yes we will look to match data to transfer rather than ask people to re subscribe.</p>
<p><b>Will you be conducting large scale processing, this includes numbers, duration and geographical spread?</b></p> <p><i>Example of where the answer would be YES:</i></p> <ul style="list-style-type: none"> <li>• Processing data related to all/most children who reside in North Yorkshire</li> <li>• Tracking all/most individuals using public transport systems in North Yorkshire</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Yes, this system will relate to all customers who use the library in North Yorkshire and therefore will have a large scale processing.</p>

If you have answered **YES** to any of the questions above then a full DPIA must be carried out.

If you have answered **NO** to **ALL** of the above screening questions then a DPIA is not necessary. Please complete the declaration below and email a copy to the Data Governance Team, email: [datagovernance@northyorks.gov.uk](mailto:datagovernance@northyorks.gov.uk).

<b>Date of Assessment</b>	<b>4/7/23</b>
<b>Project Sponsor Name</b>	<b>Hazel Smith</b>

<b>Project Sponsor Signature</b>	
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**Note: If the scope of work changes in any way then the pre-assessment MUST be repeated.**