

# Knowledge and Document Management System (KDMS) – System Scope and Request for Proposal (RFP)

## 1. Introduction to GIB

The UK Green Investment Bank plc (GIB) is wholly owned by HM Government and has been established to accelerate the UK's transition to a green economy as an enduring institution. GIB primarily invests in UK projects which are both green and commercial, where our capital is "additional" to available private sector finance. GIB was formed as a public company in May 2012 and became fully operational in October 2012 when it was granted State Aid approval by the European Commission to make investments on commercial terms.

## 2. System Vision Statement and Overview

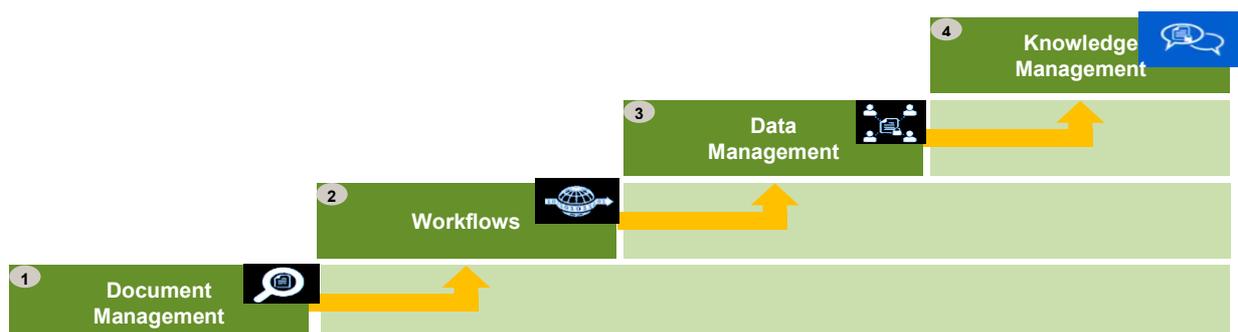
*To implement systems whereby GIB employees and key counterparties can; create, record, share, and collaborate on; documents, emails, tasks, data and knowledge libraries, thereby formalising and recording institutional know-how and enhancing organisational efficiency.*

GIB intends to implement a best in class system appropriate to an organisation of its scale and complexity. It views document (and email) management (DM) as being the first 'building block' of any appropriate Knowledge and Document Management System (KDMS). This foundation will then be augmented by the formalisation of tasks and workflows, and the standardisation and visualisation of data. The final building block to the KDMS will be a formalised approach to Knowledge Management (KM) – this will be via tools to capture both explicit and tacit knowledge.

Given the fast-paced and detailed nature of GIB's investment process, it is critical that the KDMS implemented is highly intuitive, fully integrated with the Microsoft Office software suite, versatile and robust, and does not limit or reduce the functionality and processes that are currently in place at GIB. It is GIB's intention that all c. 120 members of staff between its Edinburgh and London offices will have access to and be regular users of the KDMS. These users will be undertaking activities commensurate with those at any infrastructure fund or legal firm and will therefore be utilising documents of considerable size. With this in mind, the system should perform under this level of usage but also be scalable both in terms of users, content management and performance as GIB continues to grow.

GIB has sought to build on best practice at a range of organisations, predominately drawing on the skillsets of counterparties it has encountered during the course of the investment making process and followed up with detailed scoping and interview work at a selection of these counterparties. Lessons learnt and best practice identified has substantially pertained to specific sectors; legal firms have been identified as having detailed systems for document and email management in 'matters centric' frameworks, investment fund managers have exhibited strong automated workflow practices and financial data management tools, whereas organisations specialising in engineering and operations have exhibited strong frameworks for operational data management as well as technical lessons learnt and knowledge management. Each of these 'building blocks' are viewed as critical in a successful KDMS implementation.

**Figure 1: KDMS 'Building Blocks' Strategy**



### 3. Tender Process

GIB is issuing an Invitation to Tender (ITT) for a KDMS from a System Developer that has the ability and experience to design, develop, implement and test this system. Joint bids or bids for any subset of the work contained within the system scope will be considered, however, preference will be given to the provider(s) that can deliver the maximum level of functionality and systems integration across the KDMS at an appropriate cost.

The tender process for the KDMS will be as follows:

- i. **Invitation to Tender 28<sup>th</sup> July 2015**  
Tender documentation submitted by the GIB Procurement Team to HM Government Contracts Finder website (<https://www.gov.uk/contracts-finder>). Developers with pre-existing relationships with GIB will be notified of contract being posted to Contracts Finder.
- ii. **Bidders to Submit clarification questions** by 5pm 3<sup>rd</sup> August. Please note that all clarification questions and the answers will be shared with all bidders. All reference to a particular bidder will be removed
- iii. **GIB issue responses** to clarification questions 5pm Wednesday the 5<sup>th</sup> of August.
- iv. **Bids Due 11<sup>th</sup> August 2015**  
Bids due for submission to Contracts Finder for evaluation.
- v. **Bid Evaluation 11-14<sup>th</sup> August 2015**  
Bids will be evaluated by GIB Procurement and KDMS Project Team.
- vi. **Further Investigation 12-19<sup>th</sup> August 2015**  
Optional further questioning stage with preferred bidder(s) – bidders must be available for a follow up meeting and to answer questions. Meetings can be held remotely but with video conferencing and screen share capability.
- vii. **Selection of Provider 21<sup>st</sup> August 2015**  
GIB selects a System Developer, notwithstanding reserving the right not to select a provider if no bids are considered satisfactory.

### 4. Tender Selection Criteria

Bids will be assessed using MEAT criteria (Most Economically Advantageous Tender) using the requirements listed below. Minimum security requirements will be mandatory and treated as pass or fail, only bids meeting the minimum requirement will be taken forward for full evaluation.

Bidders must make clear what components of the system can and cannot be provided and each item assigned an approximate cost within each Phase. Functionality requirements are outlined in Appendix 1 with each schedule ranked from highest to lowest in terms of core system requirements, for example, the basic document/email management components of the KDMS are the first item on the first schedule, signifying greatest importance.

#### Bid Requirements Checklist

i.	<b>Timing</b>	<b>31<sup>st</sup> December 2015</b>	Delivery of KDMS and successful UAT by this date – training can follow in multiple stages afterwards
ii.	<b>Security</b>	<b>IL2 or equivalent <u>minimum</u> standard</b>	In line with HM Government requirements for 'protect', 'Official' or equivalent documentation and ISO 27001
iii.	<b>Functionality</b>	<b>(See Appendix 1)</b>	Maximise delivery of functionality requirements as set out in Appendix 1 whilst minimising cost

iv.	<b>Cost</b>	<b>Cost/Benefit Basis</b>	Assessed against delivery of functionality – clear budgeted proposals are critical to bid success
v.	<b>Accessibility/ Performance</b>	<b>Intuitive and Rapid</b>	Systems must be intuitive to users and provide equivalent speed of access as current systems and be scalable maintaining high levels of performance and be accessible by an appropriate range of devices
vi.	<b>Testing</b>	<b>Full User Acceptance Testing</b>	Comprehensive User Acceptance Testing must be conducted and passed to GIB's satisfaction
vii.	<b>References/ Experience</b>	<b>Must have implemented equivalent systems previously with two relevant client references</b>	Two references <u>and</u> a case study provided as part of tender documentation, available either written or call/meeting, must be available within one week of the bid being received
viii.	<b>Training</b>	<b>Available and qualified to provide training</b>	Developer must also provide an indicative cost of providing training sessions on the KDMS to GIB employees and have appropriate competence and experience in delivering training

## 5. Costs and Contractual Framework

System Developers must provide cost quotations on the basis of full functionality delivered at the end of each Phase (as defined in the Development Roadmap later in this document). These can either be on a fixed price basis per Phase or an indicative estimate of time and materials per Phase. This flexibility is to ensure that smaller suppliers are not discriminated against via the contractual structure.

In the instance where a fixed price is quoted, this will be payable only upon successful completion of the Phase Testing, or, if time and materials have been quoted, a 30% retention of all invoiced work will be made and will only be payable upon successful completion of the Phase Testing, furthermore no invoiced costs above the quoted price will be payable unless that work has been expressly approved by GIB in writing. Furthermore, any costs not directly incurred by the Developer but deemed necessary to successful system implementation; whether hardware, licenses, or 'bolt-on' third-party software must be expressly included in the estimate/quotation but be clearly indicated as an external cost.

Indicative estimates of system costs should be compiled on a Phase-by-Phase development basis but also include estimates of the ongoing maintenance, licensing and hosting of the system – annual costs should not be excessive and preferably be value accretive versus GIB's current Office 2010 and Microsoft Exchange licensing arrangements – information on which is available upon request.

Each Phase, whilst tendered and bid for collectively, will be deemed distinct and independent of each other in terms of contractual obligations and payment. GIB reserves it right to assess the success of each Phase on its own terms prior to making a decision on whether or not to commence next Phase of work. All bids and quotations will be utilised for subsequent phases and any fixed quotations for subsequent Phases will be contractually binding on the Developer.

Non-negotiable contractual requirements are:

- i. The Developer enters into a Mutual Non-Disclosure Agreement with GIB.
- ii. All intellectual property generated during the KDMS development process is owned by and for the sole benefit of GIB.
- iii. A proportion of payment (or all in the case of a fixed price contract) will be withheld until successful delivery the KDMS and passing the Phase Delivery Milestone to GIB's satisfaction – notwithstanding whether costs are billed on a fixed or daily rate basis.
- iv. GIB reserves it right to discontinue the project at the end of each Phase.

- v. The Developer may not, unless with express written permission from GIB, incur costs above the budgeted amount for each Phase of the project – if the Developer does incur further costs without express written permission, these will be for its own account and not payable by GIB.

## 6. Project Management Tools

GIB requires that the Developer utilises appropriate project management tools for the KDMS project. This must be a minimum of a Risks/Opportunities, Actions, Issues and Decisions (RAID) Log and a project management plan (Gantt chart). These should be made available as soon as possible either via email or on the KDMS platform when appropriate. It is the developer's responsibility to track, mitigate and close out key issues on the project.

The project will be tracked and progress monitored using these tools, therefore the successful bidder will be required to update versions on a weekly basis and to issue them to GIB prior to weekly meetings. The format and timings to be agreed between the two parties.

## 7. Systems 'As Is' Situation

Whilst GIB's systems have been adequate to this point in time, its rapid growth and development as an organisation has led to these systems no longer being sufficient to meet its complex document and knowledge requirements. Aspects of the current systems in place include:

- GIB currently uses the Microsoft Office 2010 suite of programmes alongside a basic intranet. GIB will seek to maintain Microsoft Office as the primary suite of software for the production of content.
- Documents are stored and managed on a hosted server drive, with limited version control and audit functionality.
- Emails are generated and stored in Microsoft Exchange with some emails copied to the local drive for reference/posterity.
- Workflows are managed through formal procedures but are approved via manual, paper-based signoff and scanning processes.
- Data management is performed via Excel, with data formats varying between teams and individuals within the organisation.
- Knowledge Management is undertaken on an *ad hoc* basis and primarily managed through emails and tacit personal knowledge held by and transferred between individuals.

Further information on GIB's current systems is available upon request if bidders wish to assess current systems compatibility with the proposed KDMS.

## 8. Problem Definition and Solution Benefits

GIB is in the position where non-standardised documentation is held in locations which are often hard to navigate and impossible to search. This has resulted in unclear document management and inefficiencies in locating and managing files. Information and knowledge held within email is also of limited use to GIB as it is generally held within personal email inboxes and is rarely archived. Frequently data and key investment information is held in silos and other members of staff are unclear on what basis data is produced and whether it is accurate and up to date. Finally, institutional learning at GIB is limited and, when evidenced, generally *ad hoc* – most knowledge resides within the minds of the individuals originally involved in a relationship, project or piece of work.

A successful implementation of the KDMS will result in a situation where documents and email are stored in an intuitive and readily searchable structure. Users will be prompted to use the latest templates and be directly to the latest information and data on projects. All content will be fully searchable and readily retrieved. Individuals will be encouraged and empowered to classify content as 'knowledge' by highlighting key information within GIB's systems

which is a knowledge asset to the wider organisation. Furthermore, lessons learnt, issues encountered and resolved, key counterparty information and legal best practice will be stored in a 'Wiki' Knowledge Library such that learning is captured and retained for the wider benefit of the organisation. This will not just be limited to formal knowledge capture but will be open to user comment, discussion and updates.

The system's key aims are to be relevant in terms of content, integrated into all GIB's working practices, trusted by users, and intuitive to learn and use. It cannot be successful without user adoption and 'buy-in' – this will be achieved by appropriate training, evidencing benefits that the KDMS can deliver to each user and by structurally embedding it into GIB's systems, procedures and culture.

Benefits of the KDMS include;

### **Efficiency Savings:**

Enhance efficiency of processes with easily located documentation from current and past investments – use of template documentation, search functionality, standardised folders. This will save individuals time and effort and therefore help to optimise resource allocation.

### **Institutional Learning:**

Embedding of learnings into documentation, meta-analysis of key investments, and review of KPIs to inform management decisions. Wiki libraries and Forums, Lessons Learnt and Root Cause Analysis documentation. This will allow GIB to grow and retain its knowledge base, sharing knowledge across as many individuals as possible.

### **Audit Trail:**

Benefit to both Internal Audit team, NAO external auditors and any regulatory requests/requirements. This will allow GIB to evidence its controls and to assess if its procedures are adhered to.

### **Associated Projects/Costs:**

The system will likely deliver synergies with current IT systems and drive cost savings. Public areas of Sites can likely replace requirement for standalone data rooms. Long-term efficiencies of documentation filing and distribution will likely be realised.

### **Due Diligence Benefit:**

There is a benefit to attract potential investors in projects and GIB itself – by evidencing best in class knowledge and document management systems, GIB will add another justification to why it is a highly-credible and expert counterparty to invest in or alongside.

## **9. Functional Requirements Overview – Systems 'As Should Be'**

### **Documentation:**

Robust document management systems utilised across the whole of GIB, including:

- **Core DMS Functionality** – standardised folder structures, advanced search, preview files
- **Version Control** – automatic versioning, comments on versions, retrieve/restore, audit trail
- **Metadata** – document taxonomy, automatic metadata, user input metadata; preferably automated
- **Import/Export** – intuitive 'drag and drop' and bulk import/export including folder structures
- **Templates** – integrated standardised templates for new files
- **Email** – fully integrated email management, providing a seamless interface between Outlook and the DMS
- **Security** – user groups and privileges, restricted folders/sites, public and private areas of site
- **Archiving** – all emails and documents created/received must be saved to the DMS (or supporting archiving system) – this can either be achieved via a mandatory user prompt or automated archiving (preferred option)
- **Compatibility** – system must support all file types used at GIB, including MS Project, images and large Excel files
- **External Access** – system can facilitate external access to specific sites, acting like a data room / investor portal

### **Workflows:**

Functionality such that formalised processes and ad hoc tasks can be assigned to and undertaken by users, including:

- **Tasks** – create tasks, assign to users with deadlines, integrate to Outlook/Exchange calendar, link/attach files from the DMS
- **Key Issues List** – generic key issues categories (as tasks) to be set up for each investment
- **Approvals** – standardised templates for approval docs, approval hierarchy built in to mirror GIB governance

## Data and Dashboards:

Curate data in integrated Excel and database tools (predominately SQL) on a standardised basis to track and benchmark performance and information management decisions, including:

- **Sites** – each investment and team to have a web-based site landing page for files, communication and dashboards
- **Dashboards** – ‘surface’ key performance indicators from MS Excel to sites for ‘live’ access and review
- **Lists** – key high level data such as information on investments to be held in ‘list’ form and be easily searched, queried and retrieved on an aggregated/filtered basis
- **Databases** – the KDMS must be able to be fully integrated with SQL databases for comprehensive data management for more complex forms of data
- **Web Integration** – be able to retrieve and display information from a website within a site

## Knowledge Management:

Facilitate knowledge sharing via across both of explicit and tacit forms of knowledge. Foundation of KM must be appropriate DM with advanced search and metadata functionality, this will then be built on with the following components:

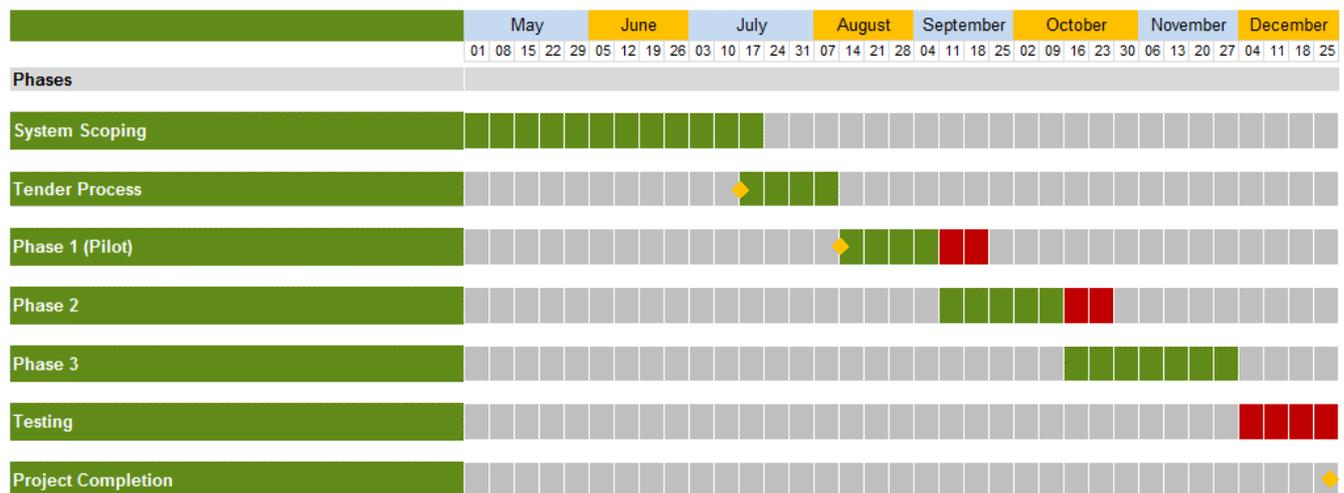
- **Wikis** – user-friendly pages where information on knowledge topics can be documented, with links to DMS/external websites/other wiki pages – in a standardised template format and searchable via DMS
- **Forums** – OOTB forum functionality for users to create discussion topics – also fully searchable
- **Newsfeeds/Announcements** – areas to provide updates on investments/teams/GIB
- **Metadata** – incorporate knowledge taxonomy into metadata for document tagging and retrieval purposes

A comprehensive set of functionality requirements is included in Appendix 1 of this document.

## 10. Implementation Timetable

GIB has a strict timetable for the implementation of the KDMS. Below is an indicative development plan for the system implementation and testing. As noted above, the final deadline for all implementation and user acceptance testing to be complete is the 31<sup>st</sup> of December 2015. Below is an overview of the development process, with key milestones represented as yellow kite symbols and the iterative and final testing phases identified in red.

**Figure 2: Implementation Process Gantt Chart**



## **11. Pre-Tender Process Work – Proof of Concept Phase**

Please note that a Proof of Concept (POC) system has already been developed. Microsoft Office 365 Sharepoint ('Sites') was selected as a platform for the POC Phase KDMS. The POC system is comprised of an example Investment site, an exemplar Workflow, indicative 'surfaced' data from Excel, and indicative 'Wiki' pages capturing sample institutional knowledge. The POC phase is now being used as a limited pilot for the specific investment to which it pertains – this is proving highly successful. Please note that the selection of Sharepoint for the POC Phase was for the purposes of creating an indicative system in order to evaluate future development options – it does not constitute a requirement for Developers to bid on the same technology platform.

If bidders wish to review the Proof of Concept Sharepoint sites to further investigate examples of system requirements, a webcast or meeting to provide an overview can be arranged with the GIB Procurement and KDMS Project teams, example screen layouts are included in Appendix 1.

## **12. Implementation Methodology**

GIB's preferred development and implementation methodology is 'Waterfall AGILE' such that each Phase is implemented and then tested in an iterative process by which the project team and pre-determined users will provide live feedback to the Developer in order to ensure an efficient process with each Phase implemented and provisionally tested. Once each phase is implemented, relevant users should be 'onboarded' to the new aspect of the system in order to commence pilot testing and also deliver immediate functionality benefits to the organisation. As previously noted, the successful completion of each Phase Testing will be a condition of payment for work undertaken during that phase.

A full phase-by-phase development roadmap is included in Section 15 of this document.

## **13. Intended Systems Architecture and 'Bolt On' Software**

Bidders must provide minimum and recommended specifications for desktop machines, internet connectivity and any other relevant system requirements for 120 users accessing the system as well as indicating if this would need to be adjusted if there was a doubling in system users and traffic.

The KDMS must be compatible with all systems and file types routinely used at GIB. An indicative list of these systems and file types is included in Appendix 3.

GIB is aware that a single, foundational software solution may not meet all of the KDMS functionality requirements in an 'out of the box' (OOTB) capacity. It is therefore sought that the Developer provides detailed information regarding aspects of the KDMS where material development work can be avoided and functionality enhanced by 'bolt-on' third-party software solutions, thereby enhancing project cost/benefit.

Any bids proposing to utilise bolt-on solutions should make this intention clear, propose a solution, outline any system/development requirements for the integration and identify costs associated. For the avoidance of doubt, these costs must be included in the Developer's proposed KDMS development budget. GIB is open to suggestions from bidders as to whether a fully 'wrapped' solution whereby all bolt-on licences are provided via the Developer, a 'pass through' solution whereby the Developer procures third-party licences on behalf of and provides them to GIB, or a 'bilateral' model whereby GIB procures its own third-party licences on a bilateral basis with the third-party. Consideration should be made to maximising value for GIB in bid proposals. In any instance, it is critical that licences are the property of and for the benefit of GIB and GIB alone.

## **14. Security Scope (External and Internal)**

GIB is seeking bids from Developers who can readily interpret and deliver the security requirements of our organisation. The sensitivity of information held within GIB is that of a normal commercial institution that would require that this information is kept secure from hacking or industrial espionage. GIB also handles personal information and is

therefore bound by the UK Data Protection Act – the KDMS must also conform to all legal requirements regarding the handling of such information.

From research undertaken during the POC Phase, GIB believes it likely that all of its documentation and email falls within the equivalent category of 'Official' (previously 'Protect') under the UK Government Security Classifications, requiring security standards that conform to the equivalent of the UK Government G-Cloud standard of 'IL2'. However, it is required that the Developer to be appropriately qualified and have prior experience of this level of security standard and therefore is appropriately expert in advising GIB on the most appropriate security standards for it to adopt.

Internal security standards require that specific areas of the KDMS can be restricted to certain user groups, with access able to be assigned in privileges by a system administrator. Specific sites that may handle personal or highly sensitive information must be partitioned from the core system if there is any material likelihood of unauthorised access by a system user. Privileges must be assigned and edited on an individual user basis or configured and applied to specific customised user groups.

The KDMS must also have full audit trail on document access and edit history and alerts should be configurable on document access and editing. Security and permission configuration must be configurable by System Administrators and also have alert/notification features when these permissions are changed.

## 15. Performance and Accessibility

GIB is seeking a system that is intuitive to users and provide equivalent speed and ease of access as current locally hosted systems and be scalable maintaining high levels of performance. We seek that Bidders provide suggested system performance standards as part of their bid documentation – these should include target page loading times and overall system availability over a specific timeframe. Access from portable devices should be possible, with full functionality and compatibility on all devices currently supported by Microsoft.

The KDMS must also be able to facilitate external user access with likely read but also potentially edit functionality. These users ought also to be able (given the appropriate permissions) to engage in specific workflows. This requirement will likely only be required towards the end of GIB's development roadmap, however, the long-term strategy is to use the system as a 'data room' tool for disclosure purposes as well as integrating external reporting (both outward and inward). Whilst this is not within current bid scope, bidders must indicate how the system is compatible with these requirements and be willing to detail how this would be delivered.

## 16. Data Hosting and Controls

All data stored on the KDMS must conform to all applicable law and regulatory requirements. Specifically, information must be held in keeping with European Union and United Kingdom data protection and privacy rules and directives. All information must be held on servers solely located within the European Union. Document retention must be able to be configured on the KDMS to apply latest GIB's Document Retention Policy and also retain any deleted files for no less than 60 days in a 'recycle bin' format.

## 17. Archiving and Recovery

Comprehensive archiving of all documents created and all emails sent and received must be configured as an automatic activity undertaken within the system, creating an archive accessible to system administrators. The Developer must indicate how this functionality is undertaken alongside the systems required to produce periodic recovery versions of the system that could be used to restore the whole system (or components therein) if necessary. This applies equally to document retention policy as well as disaster recovery scenarios where content recovery functionality is always available, archiving content for an agreed timeframe (current policy is seven years). In the instance of a disaster recovery / business continuity scenario, there must be a clear and seamless failure process designed and implemented – an outline of which must be included in the tender proposal.

The system must be able, as a default, to be set to disable content deletion by users to ensure appropriate archive controls and protections. Administrators should have the ability to permanently delete content, however, for 'standard' deletions by users, these must be retained, even if hidden, in order to protect content but optimise user experience.

## **18. Testing**

Specific Delivery Milestones are to be agreed between GIB and the Developer at the start of each Phase. These will be used to assess successful delivery of a Phase and also be used to determine whether full payment for services rendered should be made to the Developer.

At the end of each Phase, the Delivery Milestones are to be tested both by general user feedback and with specific pre-agreed test 'scripts' or activities that real or automated users undertake. Tests also must include an element of quantitative UAT stress testing whereby simulations are run to simulate high system demand in order to determine the limits of system performance. The Developer will maintain a 'Bug Log' whereby each issue identified during testing (including by all GIB users) are logged and discussed between the Developer and GIB Project Manager. Each bug must be assessed as to whether it is indeed an issue and whether it is in contravention of the system scope or project milestones.

GIB seeks that the Developer proposes specific targets and milestones that capture user experience and system performance but that these are discussed and agreed upon prior the commencement of each Phase. Examples of certain tests may include assessments of page loading speeds, overall system availability, specific user activity test scripts *et cetera*.

## **19. Training Requirements**

The System Developer should preferably be able to quote for (on a per session basis) and provide training to all GIB members of staff across multiple sessions and dates. It is necessary that these sessions are held via video conferencing systems in either the GIB London or Edinburgh offices to facilitate training across the whole of the organisation. It would be expected that the training fee also includes production and provision of relevant overview training documents.

A high-level guide to the system ought to also be produced in collaboration between GIB and the Developer for training and knowledge management purposes.

## 20. System Layout

An indicative 'Landing Page' represented below. This is intended to indicate the functionality split in the KDMS. The centre tile/link is for Investments/Projects that GIB either has made or is in the process of making, these are the clear focus of our activities and therefore the predominant feature of the system.

**Figure 4: Indicative Landing/Homepage**



An Investments site would be required that would list out all investments split by investment stage (In Progress or Complete) and then by Sector (four categories) and Investment Class (three categories). There will initially be c. 20 PIM (completed) investments and c. 20 IB investments (in progress), however, the system must be able to scale to accommodate and perform well with at least ten times this number of investments.

Each specific Investment would then require its own set of sites and sub-sites which would be broadly standardised but require adjustment when an investment process begins, with sites being standardised within the specific sector and asset class in question. Each site for a specific investment must contain overview information on the investment and have five sub-sites – detailed information about the contents of these sub-sites is captured in Appendices 2 and 3.

The tiles/links around the centre are links to the teams that are involved in investment activities. Any information related to team activities or generic information pertaining to the investment process but not to a specific investment will reside in these particular sub-sites. Team sites should generally be structured to all contain a public and private structure of sub-sites. This will ensure that sensitive material can be restricted but that any information created for broader consumption can reside in the public section of the site. Some team sites such as Senior Leadership Team will be fully restricted and only accessible by a member of that team.

The Knowledge Library noted in the diagram above will contain both Wiki, Forum and Announcements functionality to allow users to access a single location and review, edit and create content that captures knowledge within GIB. Whilst the exact access/edit protocols to each site will be developed as the system is designed and tested, it is envisaged that forums will be open to all users to create and edit threads, announcements will be administered by the GIB Communications Team and that specific wiki pages will be administered by working groups. For example, the Policy wiki pages will be administered by the Policy team, whereas the Technical wiki pages will be administered by relevant member of the Technical/Risk team. This way it can be ensured that more *ad hoc* content is captured but that more formal content is curated and reviewed by a credible source with accountability for its accuracy.

## 21. Phase-By-Phase Implementation Plan

Below is an indicative development roadmap with further detail below:

**Figure 5: Development Roadmap**



### Phase 1 (Pilot Phase) Detailed Implementation Methodology

Phase 1 is intended to provide GIB with a sufficient level of systems development for adequate testing prior to commencing more detailing phases of development. Therefore, the development requirements have been selected in order to best showcase system functionality, draw on a wide range of activities across GIB and provide a sufficiently broad testing user group in order to appropriately evaluate system benefit and inform the decision to continue to Phase 2. This development Phase will be on an accelerated basis and continuous testing, in an AGILE 'sprint' format in order to achieve rapid delivery of the system against its Phase 1 objectives.

The detailed testing roadmap is presented below, with relevant GIB users who will be responsible for content upload, site management and providing feedback to the KDMS Project Team:

	Item	Team	Individual Responsible	Detail
i.	<b>Rampion Investment Site</b>	PIM	George Walley	Partially complete as part of POC – to be refined in line with other sites
ii.	<b>Wakefield Investment Site</b>	PIM	Jane Kay	Standard debt/waste investment site – must be replicable
iii.	<b>Speyside Investment Site</b>	PIM	Deirdre Murphy	Standard equity/waste investment site – must be replicable
iv.	<b>SDCL Investment Site</b>	PIM	Fiona Stewart	Standard funds/EE investment site – must be replicable
v.	<b>PIM Team Site</b>	PIM	Andrew Alkiviades, Iain Steele	Surfaced dashboard data and team document library and tasks
vi.	<b>Selected Waste Transaction</b>	IB	Chris Holmes (to delegate)	Investment site for ongoing transaction – must conform to PIM sites but primarily utilise document filing
vii.	<b>Selected OSW Transaction</b>	IB	Nick Gardiner (to delegate)	Investment site for ongoing transaction – must conform to PIM sites but primarily utilise document filing
viii.	<b>Compliance Team Site</b>	Compliance	Lindsey Young/Peter Ferguson	Standard team site – tasks and document library
ix.	<b>Compliance Public Site</b>	Compliance	Lindsey Young/Peter Ferguson	Public site with Gifts and Hospitality Workflow fully developed from POC

x.	<b>Rampion Lessons Learnt</b>	IB/PIM	George Walley/Ilya Nozhnik	Template transaction lessons learnt site to be populated and replicable
xi.	<b>Policy Wiki Pages</b>	Policy	Graham Meeks	Template Policy wikis that will be completed by Policy Team
xii.	<b>IT Team Site</b>	IT	John Watson	Standard team site – tasks and document library

In addition to the users named above, Martin Langham (as Head of the KDMS project) and two members of the Legal Team who will be supporting the investment process will also require access to the system.

### Phase 1a – Investment Sites (Completed Transactions)

The first development and implementation phase ('Phase 1a') is intended to first build on the example Investment Site (Rampion) in the POC Phase by rolling out similar sites to 4 further completed investments that GIB has in its portfolio which are managed by the Portfolio Investment Management (PIM) Team. These will follow broadly the same structure and functionality but differ slightly depending on asset class (equity, debt or funds). These sites will then have current documentation and data uploaded to them and it is intended that the PIM Team will commence using these sites for investment management as soon as they are complete – this will also serve as the initial testing for Phase 1a. All data and documentation has been retrieved from the pre-existing systems and is ready for PIM to transfer to the new investment sites when appropriate. Two current transactions from the IB team will also be then selected and populated to simulate system use during a 'live' transaction situation. The site structures will follow exactly the same layout as those used by PIM but testing will be much for focused on fast user experience and IB-specific functionality testing.

The majority of site functionality is already evidenced and designed in the POC Phase, therefore the key deliverable in this sub-Phase will be to be able to roll out sites on an automated basis to specific types of transaction and to adapt the Investment Site template to accommodate the needs of the users testing the sites in an iterative feedback process.

A full overview of sample Investment Site is included in Section 23.

### Phase 1b – Key Tasks and Sample Workflow

Phase 1b will be the initial rollout of standardised types of tasks across the Investment and Team Sites. These will take the form of a 'Key Issues List' that resides on each Investment and Team Site and provides the backbone of basic task management across the KDMS. Generic task categories will be: General/Admin, Key Issue, HSE, Governance and Project Milestone. Tasks should also be able to be 'rolled up' by user such that tasks assigned to that user are readily viewed and edited in a centralised location.

In addition to this basic task management framework, the Gifts and Hospitality Approval workflow that was part of the POC Phase will be reviewed by the Compliance Team and developed to provide full functionality as per the appropriate governance process. This will then be tested from a functionality, user experience and security/access point of view as users ought to only be able to access/create their own workflows or those delegated to them by other users. Compliance Team members should then have access to the full record of all workflows undertaken within their site. The workflow should reside on dedicated team site – in the case of Compliance, this aspect of the site must be available to all users in a public domain (whereas all other Compliance information should reside in a separate partitioned site with restricted user access).

GIB does not have highly complex workflows, however, the workflow functionality must include the ability for workflows to be conditional on specific input fields, generate standard forms, allows for multiple authorisations (either in series or at the same time), incorporates repeating input fields and allows for delegation of authorisation. The most complex workflows would generally be the creation of a form or links to documents and the passing this task through a number of approval gates, potentially with multiple outcomes depending on each user's decision.

### Phase 1c – PIM, Compliance and IT Team Sites

Phase 1c will be to 'surface' PIM Team KPI data to a PIM 'Complex' Team site – this will be pre-determined by the PIM Team and available in a pre-formatted Excel output sheet – named ranges can be added as advised. These will likely be c. five graphs and five tables of basic data. The intention here is to pilot a team dashboard where key information is presented clearly to a broad range of stakeholders within GIB.

Basic DMS and email functionality will also be rolled out to the Compliance and IT teams in 'Simple' Team sites – this will solely consist of a pre-agreed folder tree in a team-specific site, allowing the teams to commence using the KDMS for basic document management and also building a foundation for more complex knowledge sharing and workflow functionality that both teams will be engaged in shortly. However, it should be noted that both of these team sites must have a 'partitioned' functionality such that there is a public and private aspect to the site architecture.

### **Phase 1d – Policy and Lessons Learnt Wikis**

Phase 1d is to build on the pre-existing Wiki templates captured in the POC phase but to refine the templates into specific formats suited to each Knowledge Category. The developer will be expected to assist GIB's Policy Team in developing a Wiki template format that is fit for purpose and allows the Policy Team to capture and disseminate knowledge regarding c. five key policy topics in the sector. Further templates for 'Lessons Learnt' curated by the PIM, Legal and IB teams (in the first instance) will likely be very simple in nature and, in the first instance, will be provided on the Rampion transaction as an example of knowledge capture from the investment process. These Wiki sites must all contain a document library, data tables, contact list, links to external websites, a tasks list, a milestones list and a component of social content in the form of a discussion forum.

### **Phase 2a – In Progress Investments plus Automated Workflow**

Phase 2a will be a similar process as 1a but being to capture more investments that are starting to be negotiated with pre-selected teams within IB as well as providing sites for another c. 15 pre-existing PIM-managed investments. A workflow will need to be developed such that a system user can set up a generic type of investment site from a pre-determined list and be prompted to input key transaction information. This phase will mimic Phase 1a and ought not be particularly onerous or costly in terms of development work as it predominately consists of preparing a single workflow for the IB Team to then create and populate their own investment sites (with assistance from the KDMS project team).

### **Phase 2b – Workflows (PIM, IB, Compliance)**

Phase 2b will consist of the rollout of workflows to the PIM, IB and Compliance Teams (c. 30 workflows). Some of the approval processes may be slightly more complex and require multiple documents to be linked/attached/referenced in the workflow process, however, they still are relatively simple in terms of clear, pre-existing governance and procedures to follow in their design. These will be based on pre-existing templates and Microsoft Visio flow diagrams. The request forms associated with these workflows must be fully integrated into the workflow process in an intuitive format and allow in some cases for multiple outcomes depending on information input into the submission forms. These will then be provided to a pre-determined user group of PIM and Compliance Team members who will test the workflow functionality for the respective teams.

### **Phase 2c – Complex Team Sites for IB, Risk, Finance and Legal plus Simple Team Site for Communications**

In the same fashion as the Complex Team Site design and implementation for the PIM Team, an equivalent site will be created for the IB Team – this will also need to be partitioned into three sub-sites for the Offshore Wind, Waste and Energy Efficiency IB sub-teams. Each of these sites must surface KPI data provided by the relevant team as well as providing similar task management and document library functionality as the PIM Team Site. In addition, the IB Team Sites will need to track potential new investments by criteria such as stage of development, counterparty, due date for completion *et cetera*. This investment tracking functionality must be provided at each sub-team site but then be able to be 'rolled up' to the top site level and be able to be sorted and exported. It is suggested that this is achieved via List or Task functionality but this is for discussion with the Developer upon commencement of this Phase.

The Risk Team Site will need to be split into sub-team sites (Investment Risk, Operational Risk) and have both a public and restricted document library as well as standard team site functionality such as task tracking and document libraries as well as surfaced KPI data as determined and provided by the Risk Team.

The Finance Team site will be a relatively simple single site consisting of document library, task management and data surfacing functionality.

The Legal Team Site will require a public and private area but predominately provide simple document and task management functionality, with the exception of a public area where template and 'best practice' documents are curated.

### **Phase 2d – Wikis for Technical, Risk and Legal**

This Phase will build directly on the functionality utilised in Phase 1d. Templates will be provided for Technical, Counterparty and Legal wiki areas. These wikis must also be able to be generated by users via an intuitive workflow process.

### Phase 3a – Complex Data Queries and Automatic Metadata

This Phase will focus on enhancing and delivering the ability for users to customise queries to interrogate lists and tasks across multiple sites and aggregating/exporting the results. It will also seek to optimise metadata in the system – preferably via automatic NLP metadata and some pre-selected taxonomy categories (to be agreed with the Developer).

### Phase 3b – Compliance, Risk, Finance, Green and Other

Another c. 30 workflows will be delivered as part of this Phase on the same terms as Phase 2b. The only exception to the prior relatively limited level of complexity is that a Green Team workflow may need to seek external data submissions (likely via an email-based form) and revert with this data to be populated into an SQL database.

### Phase 3c – Complex Data (IB Deal Flow and Green Calculations)

As noted above, there are requirements to both track the IB Team’s ‘deal flow’ and the Green Team’s quantitative information from counterparties. In order to allow for these to be queried and extracted appropriately, it may be necessary for the Developer to implement SQL databases, lists, or basic calculations in the background of those specific sites in order to allow for the relevant data to be calculated and extracted.

### Phase 3d – Wikis for IB Sectors and General ‘How To’ and Root Cause Analysis Wikis

This Phase fully replicates prior Wiki Phases 1d and 2d and expands coverage to IB Sector Commentary, ‘How To’ and ‘Root Cause Analysis’ wikis. It will also include meeting notes of critical meetings held with specific counterparties. These meeting note templates should be fully searchable by relevant counterparty metadata and should be able to be saved and linked to document libraries, tasks, workflows and wiki sites.

Please note that more detailed lists of indicative functionality, workflows and team requirements are available in the Appendices of this document.

## 22. Roadmap Overview by Number of Standardised System Features

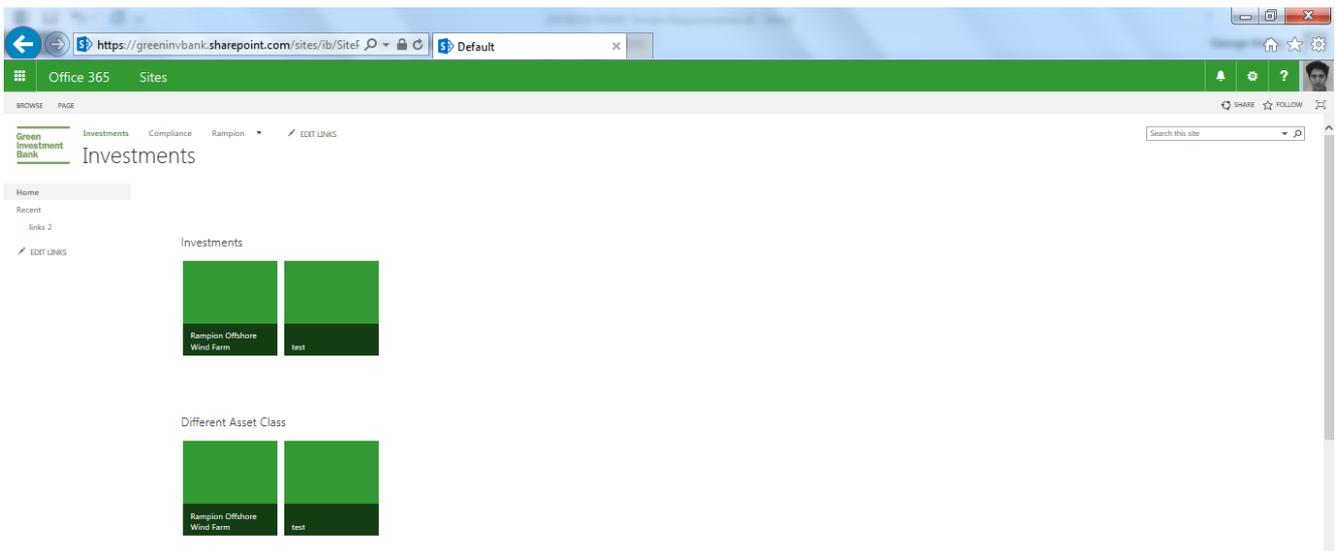
	Investment Sites	Complex Team Sites	Simple Team Sites	Workflows	Wiki Templates
<b>Phase 1/Pilot</b>	6	1	2	1	2 + Wiki Homepage
<b>Phase 2</b>	c. 25	4	2	c. 30	4
<b>Phase 3</b>	n/a	1	6	c. 30 (more complex)	3

## Appendix 1: Indicative Investment Site Design (from POC)

This is provided for illustrative purposes to show examples of the expected screens and functionality, it is not an indication of a particular platform or solution preference.

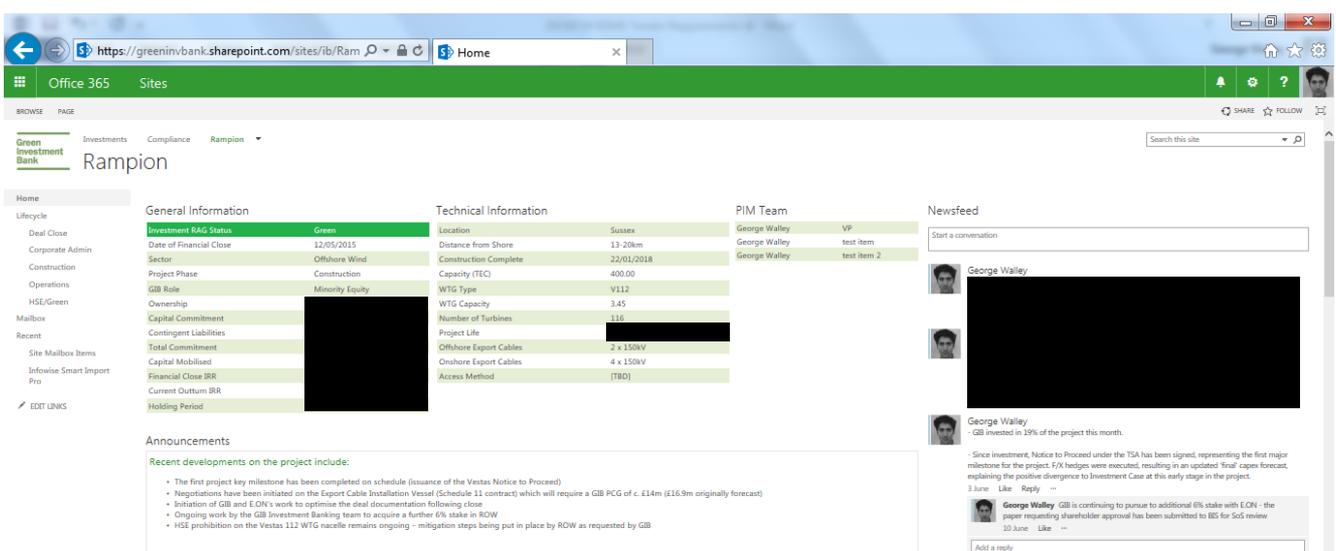
**Figure 6: Top 'Investments' Level**

Tiles representing Investments must be sorted by PIM (Complete) / IB (In Progress), Sector (OSW, WBE, EE, CSR), Asset Class (Equity, Debt, Funds) – must automatically move category once classified as complete.



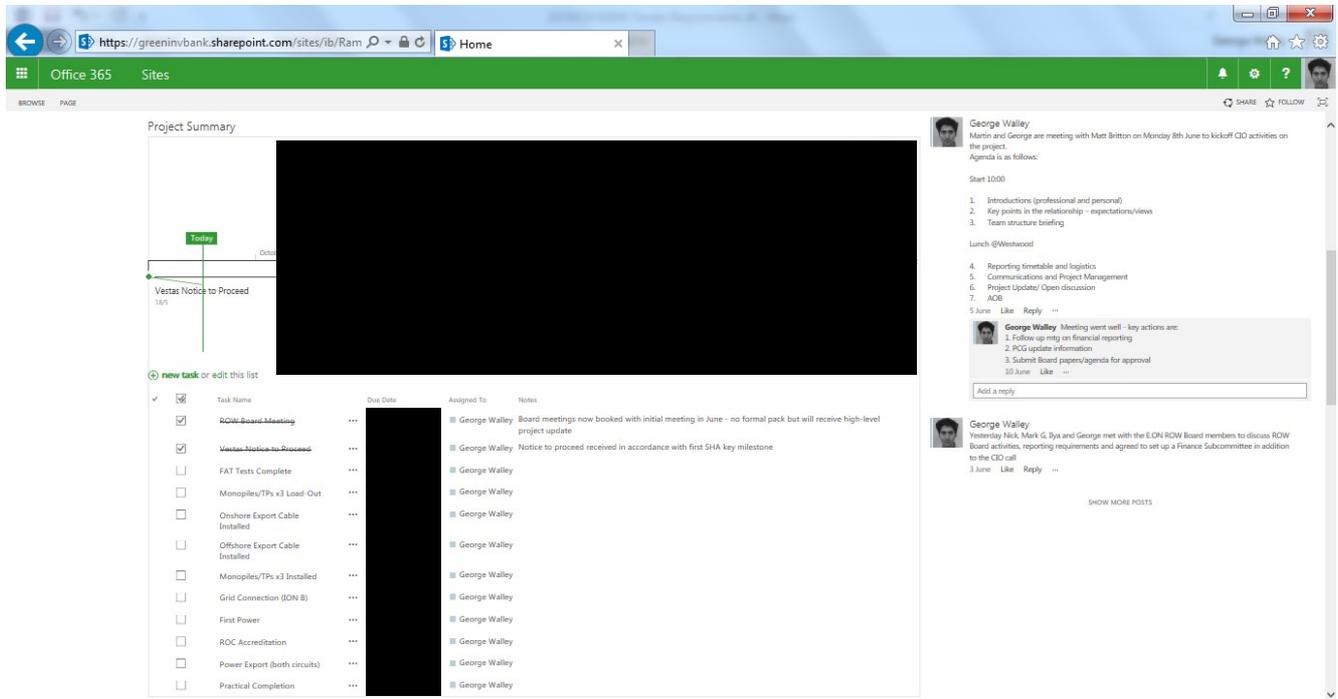
**Figure 7: Investment Site (Top Level)**

Contains list view of high level investment information that will require aggregation/query functionality. Element of social interaction functionality (newsfeed/forum) incorporated for knowledge capture and team coordination. Sub-site structure indicated in left-hand side ribbon (please note that commercially sensitive information has been redacted).



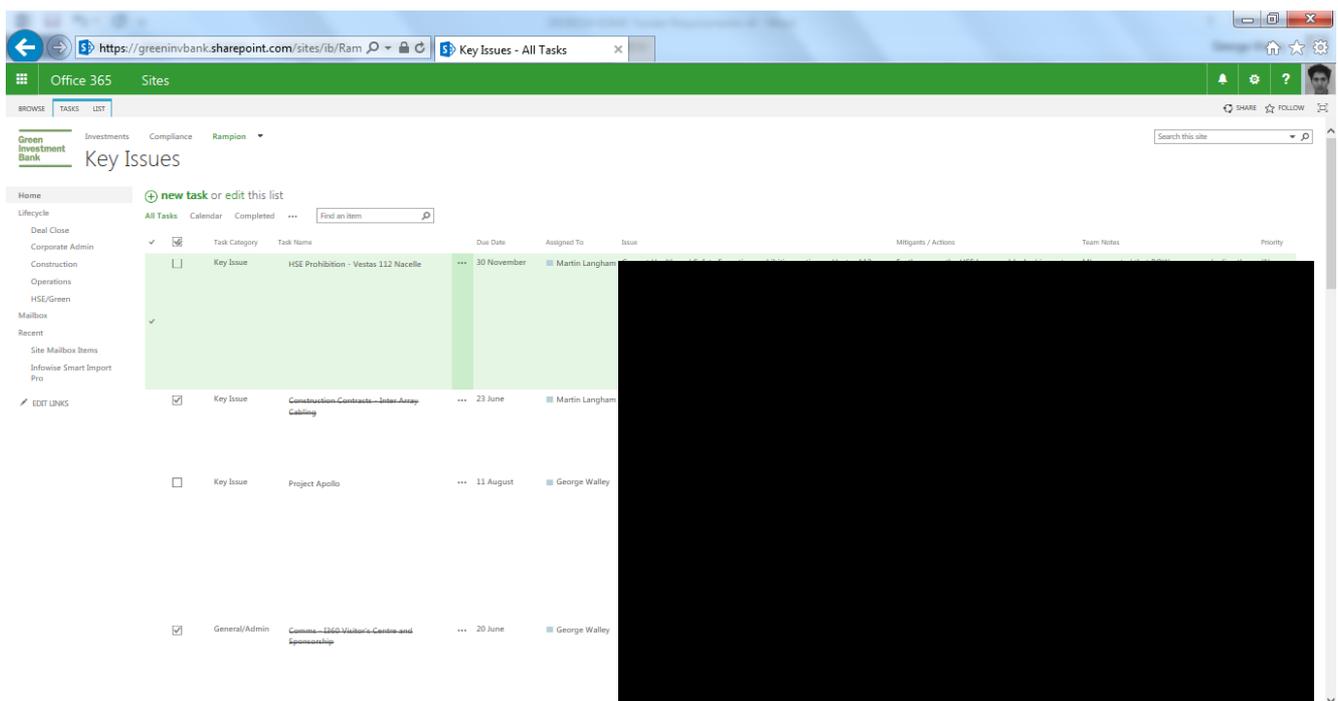
**Figure 8: Investment Site (Top Level) (continued)**

Representing project milestones (likely to be moved to Construction Site) – must be configurable as tasks or linked directly from MS Project (or equivalent).



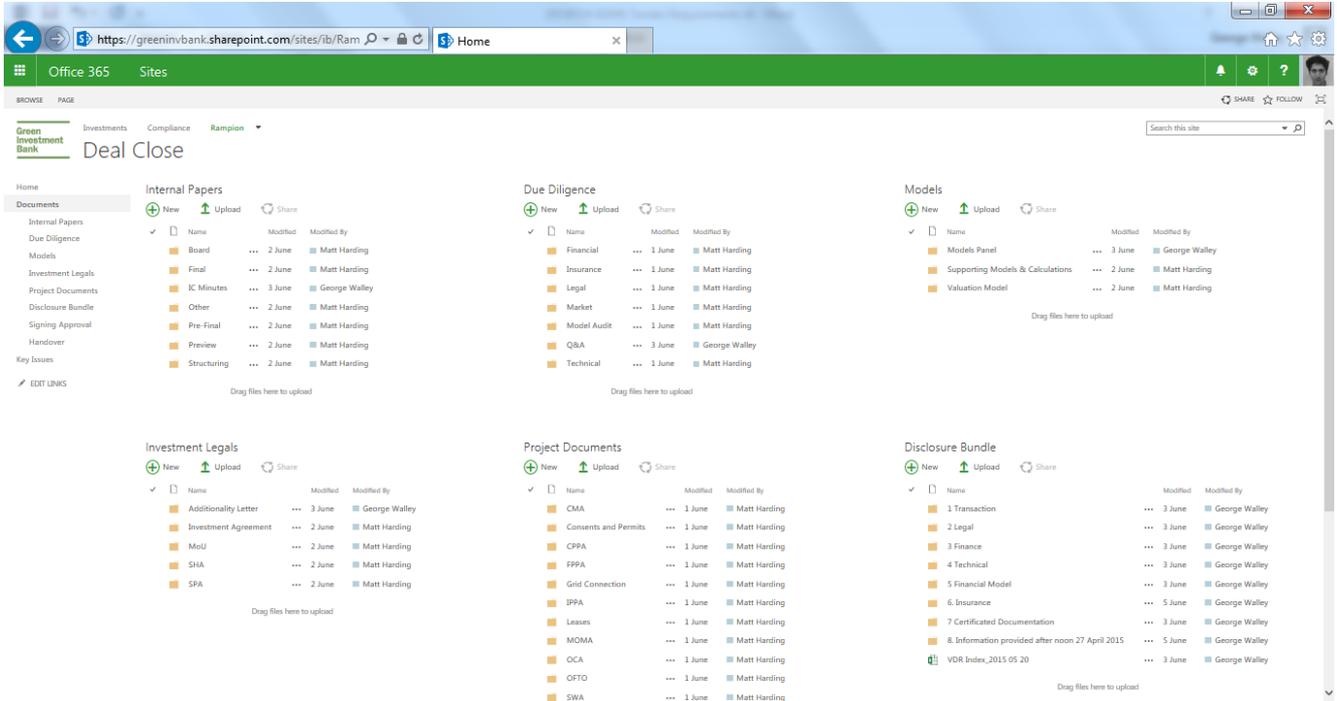
**Figure 9: Investment Site (Top Level) (continued)**

Key Issues List with generic categories – should be able to be filtered, exported, 'rolled up' for specific tasks assigned to users and queried across sites i.e. for top level risks.



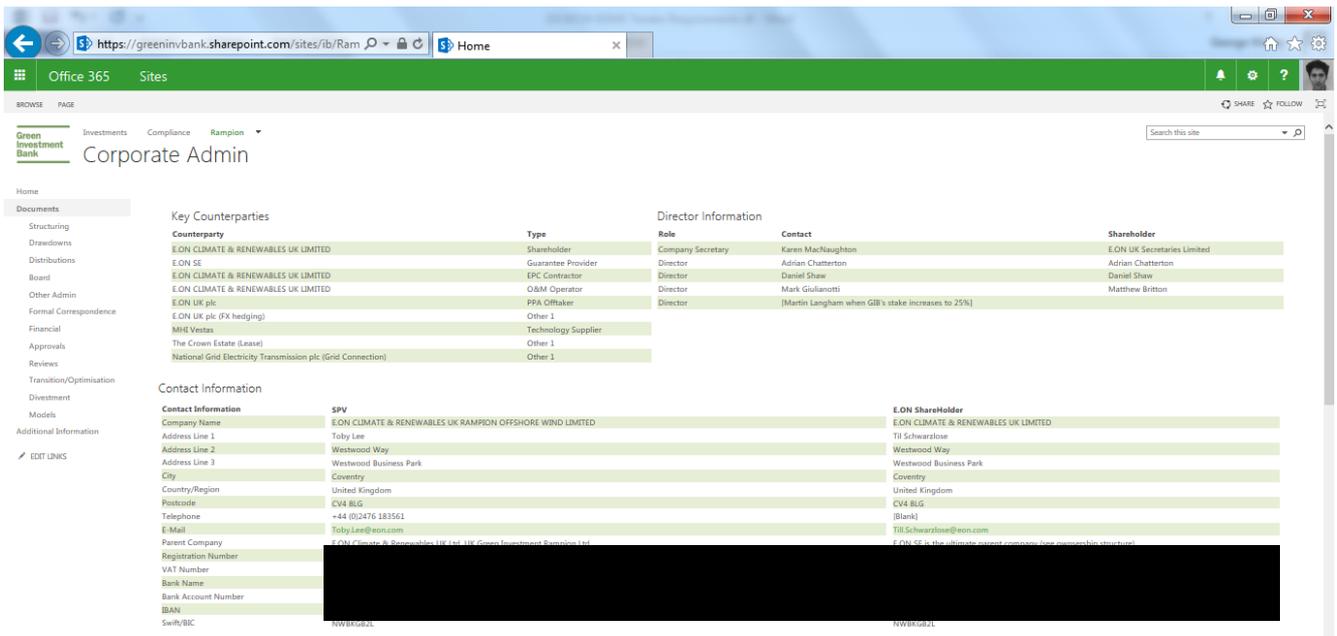
**Figure 10: Deal Close Investment Sub-Site**

Folder structure presented for easy navigation and drag and drop filing of key documentation during investment process.



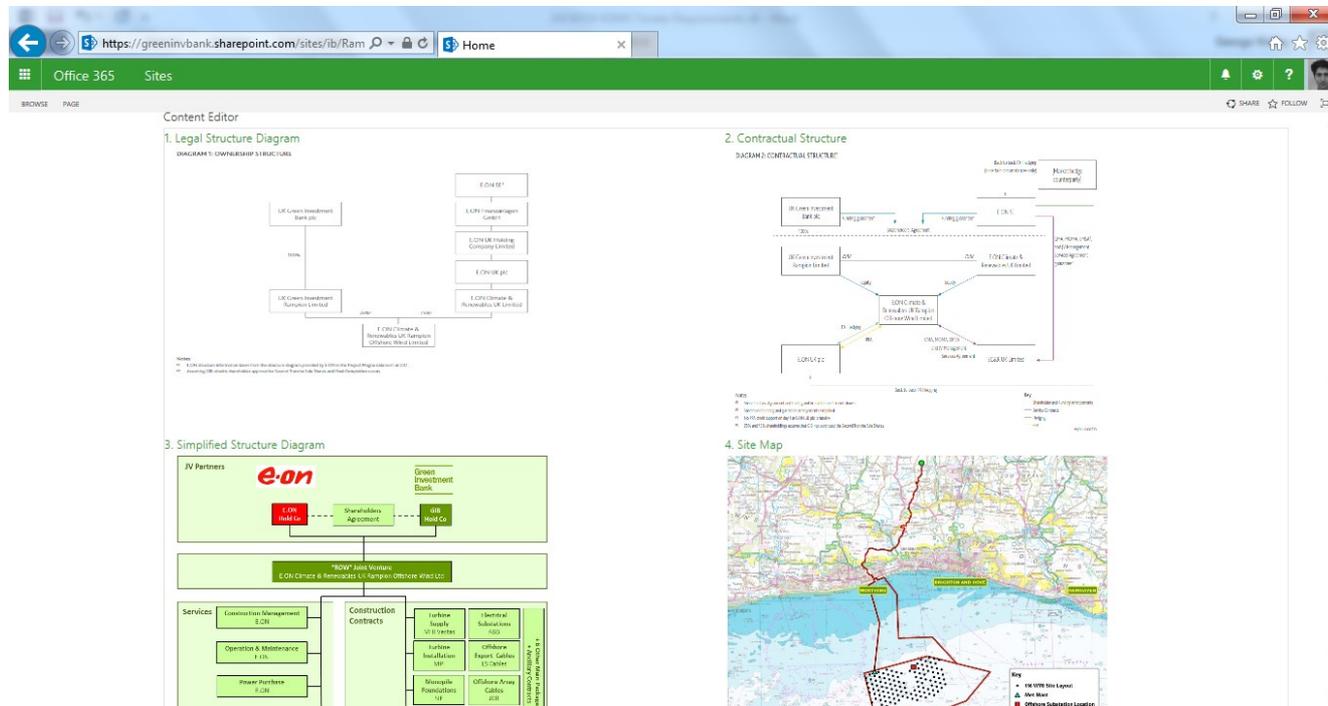
**Figure 11: Corporate Admin Investment Sub-Site**

Lists containing relevant company information – also requires query and aggregation functionality across sites. Folder structure indicated in left hand ribbon.



**Figure 12: Corporate Admin Investment Sub-Site (Continued)**

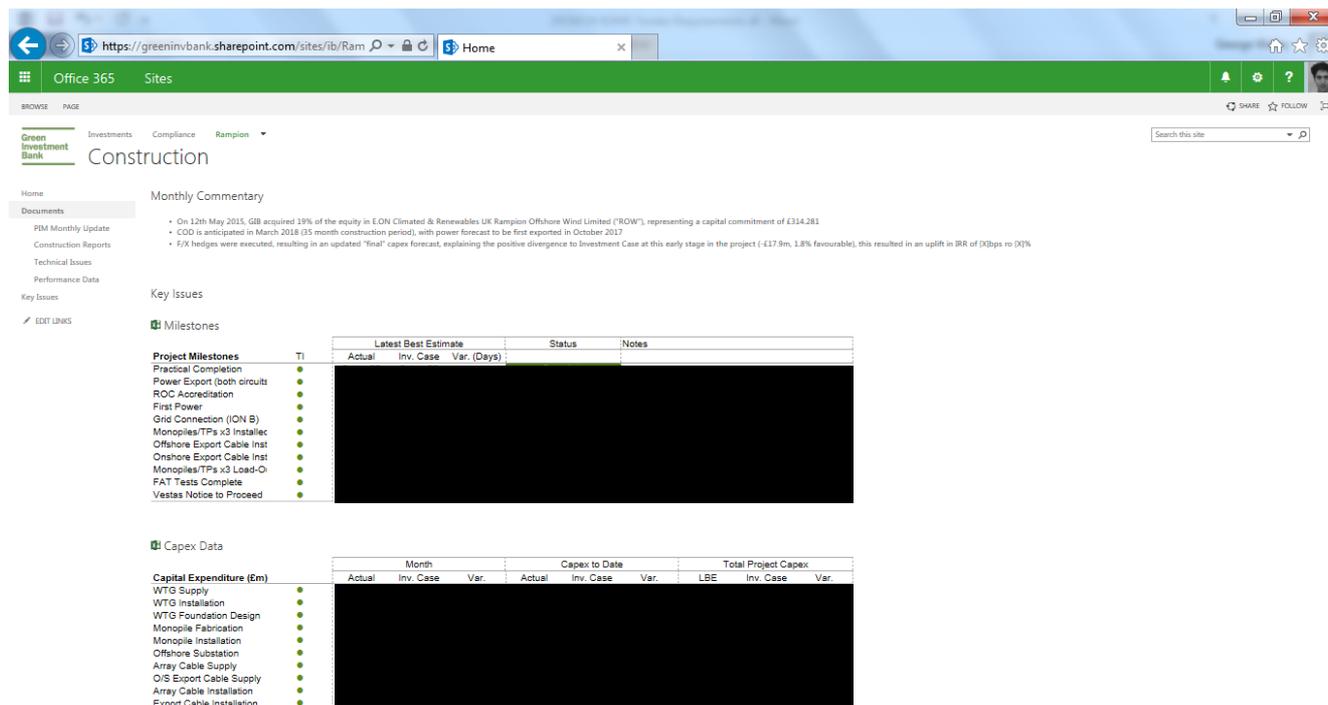
Pictures and other information surfaced from document library within Corporate Admin Site.



**Figure 13: Construction Sub-Site (Continued)**

Surfaced data and graphs from MS Excel, with announcements fields and likely additional list content for query.

Equivalent pages are also included in a similar layout for both the Operations phase of the investment and Health, Safety, Environmental and Green information.



## Appendix 2: Functionality Scope

### Document Management

	Item	Detail
i.	<b>Document Saving</b>	Save down documents of all relevant formats in system
ii.	<b>Document Preview</b>	Quick view of all file types available within the system browser
iii.	<b>Document Retrieval</b>	Files can be readily opened or downloaded/exported including bulk import/export functionality via drag and drop (where required)
iv.	<b>Email Integration</b>	DMS to fully integrate with Outlook email system – messages captured within KDMS in a user-friendly Outlook interface
v.	<b>Search</b>	Documents can be searched and filtered by type/date/user and also have full free text indexing search at document level, including scanned PDFs - highlighting of key words in returned search items. Advanced search in metadata fields
vi.	<b>Standardised Folder Tree</b>	Agreed standard high-level folder tree structure across system (by phase of investment/type of investment/team site), however, can be customised at a lower level in the tree by users
vii.	<b>Version Control</b>	Ability to save multiple time/date stamped versions with checkout/checkin and ability to label versions as 'draft' and 'final'
viii.	<b>Audit Trail on Version Control</b>	Version changes, checkin/checkout log can be viewed/exported as audit trail
ix.	<b>Monitoring/Alerts</b>	Ability for users to monitor a file and set alerts on when it is updated (both via email or within the system)
x.	<b>User Privileges</b>	Hierarchy of user privileges and responsibilities (read, write, approve), for specific folders, sites, libraries
xi.	<b>Group Documents</b>	Ability to group documents in a Set for bundled search and approval functionality
xii.	<b>Compatibility</b>	Compatible with SQL database software and MS Office package as well as Internet Explorer interface. DMS can store all file types used and up to large file sizes (Developer must confirm maximum sizes of commonly used file types)
xiii.	<b>Document Taxonomy/ Metadata</b>	Documents can be labelled using a pre-agreed description taxonomy for easy to search/extract functionality. This should also be customisable over time by system admin.
xiv.	<b>Additional Document Tags/ Metadata</b>	Add specific tags - multiple types and levels to indicate 'Knowledge' resources within the system - option to have these curated by a system administrator
xv.	<b>Automatic Metadata Upload</b>	Basic metadata can be automatically added to documents on upload
xvi.	<b>NLP Automatic Metadata</b>	Preference for metadata to be auto-populated by a system utilising a Natural Language Processing methodology – must be highly accurate and conform a taxonomy recognisable to system users
xvii.	<b>Data List Querying</b>	Ability to query specific lists across multiple sites and allow for that data to be aggregated and exported as required – both standard and ad hoc queries to be created
xviii.	<b>Custom Default Templates</b>	Upload standardised templates with intuitive default selection feature
xix.	<b>Standard Legal Templates</b>	Repository of legal templates/best practice examples with commentary fields

## Workflows/Task Management

	Item	Detail
i.	<b>Workflow</b>	Any documents associated with formal processes are associated with a workflow, whether IC or monthly reporting - action code attribution to users/groups
ii.	<b>Key Issues List</b>	Generic Key Issues List to be used throughout investment lifecycle by IB/Risk/PIM – set up as Tasks within KDMS and to follow a pre-determined list of categories and information fields
iii.	<b>Approvals</b>	Allocate specific users rights to approve certain docs/ signoff certain workflows - electronic signatures
iv.	<b>Task Rollup</b>	Aggregate all task across sites for investments and individuals for centralised reviews and reminders
v.	<b>Standardised Forms</b>	Specific workflows (where appropriate) will have integrated forms with the KDMS (i.e. Gifts and Hospitality Declaration Form) into which users can enter information
vi.	<b>Aggregated Signoff Evidence</b>	Signoffs can be aggregated in a custom form with links to specific documents linked/attached/referenced. This will constitute an internal approval certificate
vii.	<b>Audit Trail Workflows</b>	Workflow functions, times/dates, users can also be viewed/exported as audit trail
viii.	<b>Reminders/Alerts</b>	Any workflow items requiring attachments/signoffs can have a deadline associated with them and either in-system or emails can be sent to users (whether the user undertaking the task or the supervisor)
ix.	<b>Events</b>	Specific events, whether ad hoc or recurring can be logged in the system and associated with certain information – can be integrated into Outlook calendar where required
x.	<b>Groups</b>	Users can be grouped by multiple categories - teams, investments. Multiple actions for multiple users can be attributed to one document
xi.	<b>Event Log</b>	Report run on specific portfolio/investment events with i.e. waivers
xii.	<b>HSE Reporting</b>	Events tracker with open/closed items - each event requires RCA docs to be attached and metadata to be tracked per asset
xiii.	<b>Site Creation</b>	Create workflow such that IB team can create new Investment sites as required during their investment process (at Preview Paper stage) and for replication of Wiki pages – this must include 'feature stapling' such that the references to underlying templates and surfaced data remain valid
xiv.	<b>Importable/Exportable Workflow Diagrams</b>	Workflows can be imported/exported to system in diagram format so that these can be updated periodically by users/teams and reviewed by Op. Risk

## Sites

	Item	Detail
i.	<b>Investment Sites</b>	Each Investment (either in progress or complete) to have a standardised Site – to follow standardised format/layout pertaining to asset class and sector
ii.	<b>Public Sites</b>	Team sites to contain public information, announcements, templates, workflows and non-sensitive documentation
iii.	<b>Private Sites</b>	Partitioned sites and access for sensitive/restricted information and users
iv.	<b>Dashboard per Team</b>	Landing page integrates data feeds, KPIs and 'surfaced'/linked information from other documents in the system – as per team requirement
v.	<b>GIB Knowledge Library</b>	Landing page for internal GIB announcements (replace intranet?)

## Data and Dashboards

	Item	Detail
i.	<b>Investment Sites</b>	All relevant KPI data for Investments is surfaced to the Investment site – GIB to provide KPI information in Excel workbooks with named ranges
ii.	<b>Dashboard per Team</b>	Landing page integrates data feeds, KPIs and 'surfaced'/linked information from other documents in the system
iii.	<b>IB Pipeline Tracking</b>	Visualisation and tracking of IB pipeline represented within IB team site
iv.	<b>External Data Upload Automation (Data Import) Operating Data</b>	Upload data in the form of key operating data directly to the system in a pre-determined format i.e. construction project plans in MS Project
v.	<b>SCADA Data Feed Import</b>	SCADA data feeds can directly populate database within system or SCADA web interface be linked to a web part within a relevant site
vi.	<b>Compile and Query 'Metadata' Databases</b>	Allow users to input key information into 'metadata' databases i.e. PPA pricing, transaction multiples - can be reviewed, queried and retrieved by groups of users
vii.	<b>Export Metadata Databases</b>	Databases can be exported in pre-determined or customisable/query builder format to Excel
viii.	<b>Green Reporting</b>	Green information to be stored or surfaced in the system - calculations likely to remain in Excel but require option to have full SQL database integration

## Knowledge Management

	Item	Detail
i.	<b>Forums</b>	Open access OOTB Forum functionality for all users to create, edit and participate in forum threads within the Knowledge Management Site
ii.	<b>Announcements</b>	Administered announcements section of KM Site for top-down information sharing/broadcast
iii.	<b>Newsfeed</b>	Each Investment and Team site to have a Newsfeed app to allow for rapid updates and information sharing in an ad hoc/informal context
iv.	<b>Metadata</b>	Metadata fields must include 'tagging' for knowledge types/categories for quick indication that a document is a knowledge asset to GIB
v.	<b>Lessons Learnt Wiki</b>	Integrated 'Wiki' style pages for Lessons Learnt during investments - template form for lessons learnt – curated by IB/Legal/PIM teams
vi.	<b>Policy Wiki</b>	Integrated wiki pages for major policy changes i.e. CfD - could also contain macro forecast datasets i.e. Poyry/OBR – curated by Policy team
vii.	<b>Technical and Counterparty Wiki</b>	Information held on technical issues and technologies as well as key project counterparties – curated by Risk and Technical teams
viii.	<b>Legal Wiki</b>	Repository for legal templates, matters notes, section for regulatory information – curated by Legal team
ix.	<b>GIB General/ 'How To' Wiki</b>	General Wiki page for specific topics that do not fit into the above – miscellaneous and 'how to' information on how to undertake a particular piece of work/project – curated by PIM team
x.	<b>Meeting Notes</b>	Filing by date and counterparty – simplified, searchable database of key meetings

**Appendix 3: Applications and File Formats**

	<b>Item</b>	<b>Detail</b>
i.	<b>Excel</b>	Standard .xlsx and other database format files – critical to support very large file sizes (up to c. 50MB), plus legacy formats i.e. .xls – data should be surfaceable to sites
ii.	<b>Word</b>	Standard .docx format plus support of all legacy formats
iii.	<b>Powerpoint</b>	Standard .pptx plus support of all legacy formats
iv.	<b>Project</b>	Standard .mpp – tasks should be surfaceable to sites
v.	<b>Visio</b>	Standard .vsd files plus any legacy types
vi.	<b>Media</b>	Standard media contents (although of limited number) – such as pictures (.jpg, .tiff) plus video formats (e.g. .mpeg)
vii.	<b>Adobe</b>	Scanned and Full Text Adobe Acrobat .pdf and associated formats – preference for high performance text recognition of scanned text content for search functionality
viii.	<b>Email</b>	Standard .msg and .eml formats – full Outlook integration and compatibility
ix.	<b>SQL</b>	SQL, MDF and other relevant database formats

## Appendix 4: Business Areas and High-Level Requirements

	Team	Users	Detail
i.	<b>PIM</b>	10	<ul style="list-style-type: none"> <li>c. 20 Investment Sites</li> <li>Complex Team Site</li> <li>c. 15 Workflows (simple governance)</li> <li>Shared 'Lessons Learnt' Wiki</li> </ul>
ii.	<b>IB</b>	32	<ul style="list-style-type: none"> <li>c. 20 Investment Sites</li> <li>Complex Team Site</li> <li>c. 10 Workflows (simple governance)</li> <li>Shared 'Lessons Learnt' Wiki</li> </ul>
iii.	<b>Legal</b>	4	<ul style="list-style-type: none"> <li>Complex Team Site with private section</li> <li>Legal Wiki</li> </ul>
iv.	<b>Risk</b>	8	<ul style="list-style-type: none"> <li>Complex Team Site with private section</li> <li>Counterparty and Technical Wikis</li> <li>c. 10 Workflows</li> </ul>
v.	<b>Finance</b>	9	<ul style="list-style-type: none"> <li>Complex Team Site, will also utilise Investment Sites</li> <li>c. 10 Workflows</li> </ul>
vi.	<b>Green</b>	4	<ul style="list-style-type: none"> <li>Complex Team Site</li> <li>c. 2 Workflows</li> </ul>
vii.	<b>Compliance</b>	4	<ul style="list-style-type: none"> <li>Simple Team Site (but with partition)</li> <li>c. 10 Workflows</li> </ul>
viii.	<b>Communications</b>	4	<ul style="list-style-type: none"> <li>Simple Team Site</li> <li>c. 2 Workflows</li> </ul>
ix.	<b>Human Resources</b>	3	<ul style="list-style-type: none"> <li>Simple Team Site</li> </ul>
x.	<b>Operations/IT</b>	3	<ul style="list-style-type: none"> <li>Simple Team Site</li> </ul>
xi.	<b>Government Policy</b>	1	<ul style="list-style-type: none"> <li>Simple Team Site</li> <li>Policy Wiki</li> </ul>
xii.	<b>Executive Teams</b>	3	<ul style="list-style-type: none"> <li>Simple Team Site</li> </ul>
xiii.	<b>Strategy</b>	2	<ul style="list-style-type: none"> <li>Simple Team Site</li> </ul>
xiv.	<b>Capital Markets</b>	6	<ul style="list-style-type: none"> <li>Simple Team Site</li> <li>Potential for future external portal access but not in current plan</li> </ul>
xv.	<b>Internal Audit</b>	2	<ul style="list-style-type: none"> <li>Simple Team Site</li> </ul>
xvi.	<b>Administration</b>	7	<ul style="list-style-type: none"> <li>(Access for assistants to relevant Team Sites)</li> </ul>
xvii.	<b>OSW Fund</b>	6	<ul style="list-style-type: none"> <li>(Likely future requirement for Complex Team Site, Workflows and Investment Sites – not included in current KDMS Tender)</li> </ul>
xviii.	<b>International Fund</b>	4	<ul style="list-style-type: none"> <li>(Likely future requirement for Complex Team Site, Workflows and Investment Sites – not included in current KDMS Tender)</li> </ul>

## Appendix 5: Project Key Risk Register

Title	Risk Description	Prob.	Level of Impact	Ability to manage	Mitigant
Limited user uptake	Users do not adopt the system, leading to limited file population - example of CRM system	Medium	Medium	Medium	System design fit for purpose. User guidance and monitoring
Poor systems design	System is not fit for purpose and does not function as per business requirement – avoid eFront Phase 1 example	Medium	Medium	High	Developer tender to secure appropriate resource, appropriate process mapping
Systems catastrophic failure	Systems fail either permanently or for a material period of time, stopping/limiting access to GIB's information	Low	High	Medium	Comprehensive IT scoping and operational risk assessment to be undertaken. Backups of server held separately
Project cost overrun	Project costs are higher than the approved level in the BSR	Low	Low	High	Mitigate with budget controls, budget forecasting and approval from CFO
Software no longer supported	Software developer either doesn't support or update software platform, leading to bugs/obsolete systems	Low	Medium	Medium	Select software platform that is widespread in usage and developed by a stable company
System security breach	System is hacked or compromised via virus/malware leading to data loss or theft	Low	High	Medium	Comprehensive IT scoping and operational risk assessment to be undertaken. Backups of server held separately. Consider cloud security options or local server
User error in systems inputs	Users of system mis-label or mis-file documents incorrectly, leading to limited system functionality	Medium	Medium	Medium	Hold training courses, ensure system is intuitive with taxonomy/processes mirroring current GIB practices
Sensitive information disseminated internally	Certain sensitive information (personal or commercial) is accessible by staff who should not have access	Low	Medium	High	Ensure system has specific user privileges to 'ring fence' certain areas of documentation - commercial/compliance/HR
User error in deleting/editing documents	Users either delete or inappropriately edit documents leading to data loss	Low	Medium	Medium	Backups of information are held on system for a specific amount of time (TBD) in order to restore files
File corruption	Files held on servers become corrupt and cannot be read	Low	Medium	Medium	Backups of information are held on system for a specific amount of time (TBD) in order to restore files
Project time overrun	Project becomes delayed due to greater time requirements than originally planned	Medium	Medium	Medium	Ongoing review of project scope and project management resourcing
Project complexity	Systems become too complex in Phase 1 and therefore difficult to both implement and train users on	Low	Medium	Medium	Adopt AGILE project management technique - Phased/Sprint approach whereby systems are selected to be simple but allow bolt-on functionality
System path dependency limits future functionality	Adoption of a system limits future Phases of the project	Medium	Medium	Medium	Ensure that future Phases (conceivable) are not limited by system adoption - i.e. data feeds/customisations/external investor interface can be catered to

## **Appendix 6: Internal Project Management Governance and Resourcing Plan**

The Project Team will be advised by the 'Knowledge Management Forum', this will be structured as follows:

- Martin Langham (Chair and PIM/Technical Representative)
- Edward Northam (Co-Sponsor)
- Peter Knott (Co-Sponsor)
- Mark Giulianotti (IB Representative)
- Sara Arhaim (Compliance Representative)
- Chris Saunders (Legal/Project Moore Representative)
- Matt Gosling (Finance Representative)
- Sean Harkin (Risk Representative)
- Adrian Barnes, Emma Strong (Green Representatives)
- George Walley (Project Manager)
- John Watson (IT Manager)

All material project governance decisions will be advised on by the Knowledge Management Forum. Budget approval decisions will be made by Peter Knott (CFO). Members of the Knowledge Management Forum will be required for fortnightly Forum meetings and ad hoc document review.

Day to day project work will be undertaken by the following individuals with the following percentage time allocations:

- George Walley (Project Manager) (30%)
- John Watson (IT/Systems) (20%)
- Martin Langham (Project Oversight) (10%)
- Brendan Carolan (IB Representative) (5%)
- Jane Kay (Project Support) (15%)
- Andrew Alkiviades (Project Support) (15%)
- Iain Steele (Project Support) (15%)

This group (or subset thereof) will meet on an at least weekly basis to discuss project progress and assess current RAID objectives and project plan. George Walley as Project Manager will have responsibility for non-material project decisions.

Representatives of all of GIB's teams will be required for a week of systems testing prior to system acceptance.