

 Executive Committee 15th October 2008		Agenda Item No.
Title	EDRMS Project	
For further information about this report please contact	Karen Pearce 01926 456307	
Service Area	Organisational Development and Performance Improvement	
Wards of the District directly affected	None	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006	No	
Date and meeting when issue was last considered and relevant minute number	Audit and Resources 14 th October 2008	
Background Papers	Audit and Resources Committees: 5 th June 2007, 18 th March 2008, 15 th July 2008 Working Party papers; internal and external review papers	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	No

Officer/Councillor Approval		
With regard to officer approval all reports <i>must</i> be approved by the report authors relevant director, Finance, Legal Services and the relevant Portfolio Holder(s).		
Officer Approval	Date	Name
Relevant Director		
Chief Executive	25 th Sept 08	Chris Elliott
CMT		
Section 151 Officer	25 th Sept 08	Mary Hawkins
Legal	30 th Sept 08	Simon Best
Finance	30 th Sept 08	Roger Wyton
Portfolio Holder(s)	29 th Sept 08	Michael Doody Les Caborn
Consultation Undertaken		
Please insert details of any consultation undertaken with regard to this report.		
Member working group: Cllrs Vincett; Tyrrell; Doody and Dhillon		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		
Recommendations to Executive 15th October		

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1. SUMMARY

- 1.1 A wide ranging review has taken place both by officer and members and with external input to determine the way forward for document management within the Council. The proposal is to de-scope the original project into a smaller programme consisting of three projects to be delivered by March 2009. These will provide the Council with a robust approach for the future which can be applied to individual service areas as their business needs dictate.

2. RECOMMENDATIONS

- 2.1 That Executive agree to support the new approach to Document Management Solutions(DMS).
- 2.2 That a two phase programme is adopted as set out in the report with phase one being completed by March 2009.
- 2.3 the balance of the budget remaining at the end of Phase 1 is returned to the council's general capital resources
- 2.4 decisions regarding the funding of DMS Phase 2 projects are considered by the Executive and Council as part of the setting any future capital programmes
- 2.5 that the Councils revenue budget for Document Management Solutions be reduced by £70,600 from 2009/10 onwards.
- 2.6 Service Area's DMS business cases to be considered in phase 2 are submitted to the ICT Steering Group
- 2.7 That Executive agree that Councillor Vincett monitors progress against phase one of the programme and reports to Audit and Resources as required

3. REASONS FOR THE RECOMMENDATIONS

- 3.1 The member working party investigating the previous EDRMS project are satisfied that lessons have been learned and applied to the proposals for taking document management forward.

4. ALTERNATIVE OPTION CONSIDERED

- 4.1 There is not an alternative option to reporting on the review that has taken place as the committee have requested a report

5. BUDGETARY FRAMEWORK

- 5.1 The full budgetary explanations are provided in Appendix G to this report. The proposals for phase one of the new programme are estimated to cost £62,000. The balance of the budget, provisionally £87,000, will be returned to the council's general capital resources. The proposals for phase one will produce annual revenue savings from 2009/10 of £70,000.

6. POLICY FRAMEWORK

- 6.1 The proposals support the Corporate Objective of improving the efficiency of service delivery to our customers

7. BACKGROUND

- 7.1 The background papers are set out in an executive summary and seven appendices (A – G). The executive summary follows below.

1. Background

The Electronic Document and Records Management System (EDRMS) project commenced with a clear vision to improve service delivery within the council. Hampered by an immature market place, Warwick DC sought to develop a corporate EDRMS solution using a technology partner. Although this approach was described as 'visionary' and was commended for its 'good choice of technology' by an independent consultant, progress on the project was slower than anticipated. Faced with increasing costs and extended delivery times, the project Board decided to undertake a review of the project.

This report attempts to distil the outcomes of the review and describes the way forward for the introduction of document management within the council.

2. Outcome from the review

A review of the project was undertaken by the project board, a member's working party and by an independent consultant. The role of the consultant was to review the council's vision and technology choices, while the project board and members identified lessons learned and a new vision for EDRMS.

The independent consultant made the following comments about the council's EDRMS project: (The full report has been previously made available to Members)

Warwick District Council (WDC) has taken a bold and visionary approach to EDRM. At a time when for many central and local government organisations, EDRM was something they 'ought not to ignore', WDC sought to be pro-active, and to exploit this new technology in improving the quality of services offered, and to create a better place to work.

WDC has not been fully rewarded in its approach: despite good preparation, good choice of technology, sound executive commitment and good choice of technology partner, delivery of the solution has been slow.

This is not however due to any failure in key components of the strategy: rather, WDC was ambitious in its targets and underestimated the scale of the task it undertook, and the technology risks that existed.

The conclusions from the broader review were:

The suite of technology that had been bought for scanning storage and manipulation of documents was the industry standard and had been a sound investment. During the two years of the project the technologies had developed and were now moving towards a convergence that might overtake the integration work that had been undertaken.

The decision to extend the level of integration within the workflow product significantly increased the complexity of the project. Despite reassurances from vendors about the openness of their systems, much of the work required bespoke amendments which increased cost and introduced long delays.

The scope of the project has grown incrementally as the council customer access strategy had developed and some of the initial drivers such as Freedom of Information did not turn out to be as

important as first thought. This led to diversion of resources into related but not key areas and an over ambitious project.

There had been a large investment in the project to date but this reflected equipping the Council with a set of tools akin to Microsoft Office; electronic document management and storage was intended to become part of managing day to day work in the office in a similar way that email, Word documents and Excel spreadsheets are now.

The overriding conclusion of the review was that the project needed to be re-scoped to a more manageable objective which allowed the technology to be used across the council within a reasonable timescale.

Further information about the original vision for EDRMS and the lessons learned are at Appendix A

3. New Programme

3.1. Overview

The original EDRMS project sought to improve service delivery by integrating documents with improved business processes and records management. At the commencement of the project this could not be provided by the suppliers of business applications. The review has proven that many of the council's original aims remain valid. However, the increasing maturity of business applications over the past five years and the new challenges facing the council, such as shared services, have led to a change of approach.

Significantly, the review has recognised that the additional complexities and costs of the original approach to records management cannot be justified. On this basis the EDRMS Project Board are proposing a new approach.

3.2. New approach

The approach has been renamed Document Management Solutions (DMS) and it is intended to implement three projects in Phase 1. The scope of DMS includes improving ways of working and using Document Management technologies.

i) Using DMS to improve service delivery

Service Areas will take the lead on the adoption of Document Management Solutions by producing documented business cases which demonstrate a positive financial return on investment. Service Areas are required to identify the benefits of adopting DMS to support their service delivery, but the adoption of a technology solution is not mandatory.

The council will not be prescriptive about the DMS, enabling service areas to choose a solution which is directly aligned to their business applications.

Service Area's with specific business systems require:

- a DMS that integrates case documents directly with their business application
- Complex business logic built into document related processes

Teams without a business application require:

- A scan and store solution with lightweight workflow
- An archive scanning service

ii) Improving the council's internal practices and procedures:

The corporate information management requirements are:

- Team collaboration
- Centralised, structured electronic document storage
- Project Management

- Records Management, where appropriate

4. Programme Delivery

DMS will become a small programme that will allow Service Areas to use technologies to meet their business needs whilst also providing a solution for storing records electronically and managing work produced collectively either within service areas or across the council.

The programme will be divided into two phases:

Phase 1: November 2008 to March 2009

- Scan and Store Project in Housing Strategy (see Appendix B)
- Implementation of IDOX document management solution in Development Control (see Appendix C)
- Deployment of Microsoft Office Sharepoint System (MOSS) within ICT Services and Policy and Performance Teams (See Appendix D)

Phase 2: April 2009 onwards

- Availability of corporate scan and store solution to Service Areas
- Availability of archive scanning service to Service Areas
- Service Areas requiring a DMS which integrates with their back office systems are to submit business cases to ICT Steering group
- Migration of archive documents from existing document stores into MOSS
- Roll out of Moss as a collaborative tool across teams within Service Areas

5. Programme Governance

Governance will be established for the programme to ensure:

- there is a clear view of the aims and benefits
- the Programme definition shows how it will affect and change the council
- there is a strong framework for monitoring and coordinating the various projects within the Programme
- the Programme moves forward
- the organisational impact of the Programme is managed
- at closure, the Programme has achieved its ends and its successes are acknowledged

The governance arrangements for the Programme are set out in more detail at Appendix E.

6. Technology

6.1. Service Area DMS

Service Areas will be able to implement a DMS which is directly integrated with the business application, provided there is a business case which demonstrates a return on the investment. Any proposed DMS products will still need to comply with the underlying technology standards adopted by the council.

6.2. Scan and store/ corporate information management

Having redefined the business drivers the Board have evaluated the Council's existing technologies to determine their suitability. This evaluation took into account complexity of the solution and the future revenue and capital costs.

During this evaluation it emerged that the two most significant decisions for the Board were:

- i) Whether to keep the corporate workflow system, and
- ii) Whether to keep the Meridio Document and Records Management System

The corporate workflow system broadly met the requirements set out in 2003. However, its continued use is not consistent with the Service Area led approach. The system had proved time consuming to deploy and created operational difficulties for staff in Planning. The future costs of maintaining the system were also prohibitive. For these reasons the Board decided not to keep the system. One of the consequences of abandoning the Trinity workflow system is that a suitable replacement system is needed for Planning. Further information about that project is at Appendix C.

The purchase of Meridio in 2004 was driven by an ambition to improve records management practices within the council. The impending Freedom of Information Act (FOI) played a big part in influencing that decision. Since 2004 records management has been added to Microsoft Sharepoint and the FOI has not had such a big impact. The Board have concluded Meridio should not be kept. MOSS will become the corporate records management system. Further information about the rationale for the decision is at Appendix F.

Several teams do not have a Business System supplier which can offer a DMS. To meet these teams' requirements a simple 'Scan and Store' solution will be developed. This will utilise two existing products, Kofax (scanning software) and MOSS (document store and lightweight workflow).

7. Costs

The assessment of the capital costs for Phase 1 of DMS is in Table 1. The budget confidence figure is the degree of confidence that the stated amount will not be exceeded.

Table 1: Assessment of DMS Phase 1 capital costs

No.	Description	Amount	Budget Confidence	Status	Explanation
1.	Replacement DMS for Planning team	£44,000	95%	Quote	IDOX are the Preferred Suppliers
2.	Develop 'scan and store' solution with lightweight workflow (MOSS)	£8,000	100%	Estimate	Estimates provided by Trinity and Formscan, but more detailed scoping required before price finalised.
3.	Corporate information management using MOSS	£10,000	100%	Estimate	In anticipation of some technical consultancy being needed from Trinity to deliver this project.
	Total	£62,000			

Table 2: DMS Programme budget expenditure and the forecast position at the end of Phase 1.

DMS Programme	Amount
Initial Programme budget	£200,400
Already spent or allocated	£50,732
DMS Phase 1 expenditure	£62,000
Forecast budget remaining at end of DMS Phase 1	£87,668

The solution delivered in DMS Phase 1 provides net revenue savings of £70,000 per year compared with the previous EDRMS solution. Appendix G contains more information on the budget and costs for the new programme. It also contains an expenditure analysis for the original EDRMS project.

Regarding Phase 2 of the programme, the scan and store solution, scanning archiving service and deployment of MOSS will require no further funding from the Programme. However, Service Areas needing integrated DMS solutions or document migration will need to produce business cases to secure capital and revenue funding.

It is recommended that

- i) the balance of the budget remaining at the end of Phase 1 is returned to the council's general capital resources
- ii) decisions regarding the funding of DMS Phase 2 projects are considered by the Executive and Council as part of the setting any future capital programmes
- iii) Service Area's DMS business cases are submitted, in the first instance, to the ICT Steering Group