# Project Documentation

Enterprise Document Management (EDM) – **phase 1.5**

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Project Documentation

## Part B – Business Case, Project Background / technical issues

### B 1 - General

Phase 1 of the transformation programme has now been completed. Before we can start on Phase 2, we need to ensure that we have the necessary systems and technology in place.

This phase (1.5) will be to put in place the systems required to create a corporate EDM resource, ready to cope with the integration and rollout to services (together with other technical infrastructure) which will comprise 'Phase 2' of the transformation Project.

Expert advice has been provided by Socitm on the most appropriate solution for having regard to:

- integration with existing back office systems
- Existing EDM infrastructure and its adaptability
- Cost (both o new product and integration)

**The advice of SOCITM is to adopt a hybrid approach of 2 systems\*:**

  (i)     **An new IDOX solution (allowing ease of integration with a wide range of existing IDOX systems used in the Council)**

  (ii)    **Adaption and enhancement of our existing 'Opentext' system, for all 'non-IDOX' functions**

  **(\* : see part B4 below)**

**Phase 1.5 would also include the implementation of the IDOX EDM for Planning Applications: the current online system is unsupported and the replacement (in our possession) requires a new EDM in order to function. This EDM will have been provided in Phase 1.5 and it would be good practice to implement and test it in a service environment.**

**Similarly, the project will endeavour to configure the corporate EDM (livelink) to allow for the storage of Committee papers (agendas, reports, minutes etc), and working within the related CMS (website) project, facilitate their display on the Councils website, again to fulfil a specific requirement for access to these documents and to test the corporate system in a live environment.**

### B 2 – Function

The EDM project intends to provide a corporate solution. Phase 1.5 will prepare the systems ready to achieve this aim in Phase 2.

However, the decisions as to the content of Phase 2 have not been taken and the phase is concerned with providing the necessary infrastructure for phase 2.

## B 3 – Strategic fit

The business need for a corporate EDM has already been established, primarily arising from the "digital by default" vision, the Government welfare reform changes, self-serve via the website, and the desire to have a single view of the customer. In terms of securing efficiencies against the revenue budget, the EDM once rolled out corporately and linking with back office systems will bring noticeable improvements to individuals, their departments and the Council as a whole.

**OBJECTIVES**
**Project Objectives**
As previously agreed, the overall objective of the EDM project is to roll out a corporate document management system that will:

- Scan all incoming post and deliver it electronically to service areas for processing
- Index documents as they arrive in the service area, this links them to the back office system and a workflow alerts staff to process them
- Integrate with back office systems and capture all outgoing documents and emails so that all documents relevant to a customer / case can be accessed:
    - Via EDM or the business system
    - By anyone – staff / CSA / Customer
    - So there is only a single copy of each document that is held in the EDM
- Enable relevant documents to be made available to the public via the MBC website
- Hold all files currently stored on network drives.


**Objectives for Phase 1.5**
The objectives for Phase 1.5 for the EDM project are:

- To deliver a corporate EDM solution to enable the above and future objectives. This will be based on advice provided by Socitm on the most

appropriate setup for an EDM system for MBC. It will consider the capability of EDM systems to integrate with our existing back-end systems and also to provide a web interface to internally-held documents for customers. This will require adding new EDM systems and modules and adding further hardware / storage.

**What is NOT included in Phase 1.5:**
Phase 1.5 will provide a corporate EDM environment. It will **not** deliver:
- Rolling out into service areas (including scanning)
- Digital mailroom
- Transfer of network files
- Integration of backend systems (other than that associated with delivering the Northgate e-Suite)

**WHY IS IT NEEDED NOW?**

Phase 1.5 needs to be implemented now so that the infrastructure is ready for the demands of Phase 2, which will see many of the objectives set out in 3.0 realised.

**KEY BENEFITS TO BE REALISED FROM PHASE 1.5**
- At the end of Phase 1.5 MBC will have a corporate EDM system which is ready to cope with the integration and rollout which will be demanded in Phase 2. Phase 2 will then realise the benefits of an integrated, corporate EDM, which will include:
  - A web interface which will provide easy, 24/7 access to all relevant information and documentation around each customer/ case – for staff, CSAs and customers from any location. This in turn should lead to fewer calls to Customer Services as customers learn to trust the digital channel.
  - Integration with back-end systems which will be more efficient, save space and allow for faster retrieval of information.
  - Less paper, leading to less information being misplaced
  - A reduction in the number of calls from Customer Services to service area staff because CSAs will be able to find information quickly and efficiently themselves.
- An additional benefit of using the IDOX EDM is that the planning online service will be maintained as it will be possible to upgrade to the latest version of Uniform (which will not work without an EDM system to store its content)

- Configuration of corporate EDM solution (livelink) to hold Committee papers and their presentation on the website.

**CRITICAL SUCCESS FACTORS AND HOW THEY WILL BE MEASURED**
**Critical Success Factors for Phase 1.5:**
- Implementation of an enterprise EDM environment as per Socitm recommendations, e.g. new software, modules (e.g. web portal), hardware, storage will be in place
- IDOX 'public access' for planning applications is installed and functional
- Livelink is configured to contain Committees document and is linked to the CMS to allow access to them via the website.

**Measurement of Critical Success Factors for Phase 1.5**
- **Document retrieval time**
- Baseline retrieval times taken prior to the EDM system integration compared to retrieval times post integration.
- This will be measured by picking a (benefits, revenues, billing) document and a 'clipboards and stopwatch' approach to timing how long it takes to find it. Also measure from a customer viewpoint. (It should be quicker to access via the website than by phone)
- Web page statistics for planning on line ('public access')
- Website functionality for Committees papers

**B 4 - Options appraisal**

**Corporate EDM**
For the delivery of a corporate EDM, Socitm evaluated three separate EDM suppliers:
- Open Text Content Server (our current EDM supplier, recently upgraded)
- IDOX EDRM (IDOX currently supplies the Regulatory Services systems, including Planning, Environmental Health etc)
- Northgate Information@Work (Northgate currently supplies the Revenues & Benefits and Housing systems)

Both Northgate and IDOX state that their EDM systems can integrate seamlessly with their own backend systems. However, in Phase 1 we successfully integrated our existing Open Text EDM with the Northgate Revenues & Benefits system. We have demonstrations planned from IDOX and Northgate to see if their EDM integration can offer more than we have achieved internally. Unless

this proves the case, Socitm recommends the following set-up:

***Open Text Content Server to remain the corporate EDM system, with IDOX EDRM implemented for Regulatory Services.***

*(see App 1 – Socitm report – particularly* <u>Socitm opinion</u> *in 6.6, and* <u>Recommendation</u> *in S 8)*

It should be noted that this recommendation from Socitm has still to be confirmed following demos from the suppliers, hence costs at this stage are indicative, and there is a prospect that an alternative approach may emerge. In this event, a further Business Case will be presented to a future meeting of the Committee.

SOCITM's options analysis compared the available systems and their appropriateness for MBC through assessment of a series of considerations including cost (of acquisition and implementation), cost of integration (including the extent to which MBC has in house capability); systems properties and qualities, website compatibility etc (nb list not inclusive of all factiors). The relative evaluation was presented by means of a 'weighted matrix' incorporating all of the considerations , which illustrates both the  favoured solution and the margin of preference. This  matrix is attached as Appendix A.


**COSTS**

To date, £10,800 has been invested to upgrade to the latest version of the Open Text software, Content Server 10. This ensures that the EDM is running on the latest technology to support the integration work and deliverables in phase 1.5 and subsequent phases.

**Costs for the delivery of a corporate EDM**

 Indicative costs for the delivery of a corporate EDM, as recommended by Socitm would be as follows:

Fixed costs:

| | |
|---|---|
| IDOX EDM software licence for Regulatory Services (10 users) | £22,000 |
| Implementation services for Regulatory Services | £19,000 |
| SQL dual processor server licence  for IDOX (TBC - estimate £2,000) | |
| Open Text Public Portal software & corporate licence (200 users) | £20,000 |
| CS front end server | 2,000 |
| **Total fixed costs** | **£65,000** |

Annual support and maintenance costs:

| | |
|---|---|
| Open Text (additional cost to existing agreement) | £4786 |
| IDOX EDM | £4750 |

| Total annual costs | £9536 |
|---|---|

Indicative costs for corporate EDM implementation from Open Text per service area is £21,600(reduced if MBC carries out some of this work) These costs will apply in Phase 2, when we roll out the EDM to service areas.

**NB All costs are indicative and need to be confirmed.**

**Total Costs**
Based on the information above, the investment required to provide the software and licences for a corporate EDM which is ready for integration with backend systems, ready to rollout to service areas, and ready to provide the public with documents via the MBC website is as follows:

**Current understanding is £64,600 plus £9536 annual support and maintenance**

## B 5 -  Achievability

This is a complex project that will rely on the expertise of third party software suppliers. It is an expensive project; new software itself is costly and integrating two or more systems is expensive.
It will require ICT resources to assist with the installation of the software and it will particularly require a significant amount of MBC's Systems Analyst and CRM Development Officer time to understand and implement the E-suite integration. The change team will be required to project manage the work.

If the data-matching and CMS support workpackages are to be included in this phase, they will require System Analyst, CRM Development Officer and Change Team officer time, as well as resource from the Digital Channels project.
If Melton Borough Council has the resources to fund the software purchase and there are no conflicting priorities for the staff resources outlined above, the project is achievable.

Please note however, that Cassandra Marshall (Change Team Officer – Project Manager) will be on maternity leave for a large part of the duration of this project from mid-August 2013. As of this date, Sarah Goodwin (job-share) is available for approx 2 days per week to project manage this work. This will significantly lengthen the timescales required to achieve this project.

## B 6 -  Legal Issues (if applicable)

Procurement requirements (advice being sought)

**B 7    Specification**

Please refer to part B4 above

**B 8 - Financial Implications**

It should be possible to estimate the financial benefits and Return on Investment attributable to this project as part of Phase 2.
This could determine which service areas the EDM is rolled out to as part of a corporate system.

**B 9 – Project Scoring Matrix**

| Scoring – for your project – calculate the points | | | |
|---|---|---|---|
| Criteria | 1 Point | 2 Points | 3 Points |
| Cost £ (budget, time and human resource) | <£10k | £10k - £50K | >£50K |
| Timescale | < 6 months | 6 – 12 months | > 12 months |
| Impact if project failed on the organisation | Minor disruption | Moderate | Major |
| Melton's Track Record | Done Successfully Many Times Before | Done Successfully Once or Twice Before | New Area of Working |
| Stakeholder Interest (internal and external) | Minimal | Moderate | Major |
| Project Complexity | Straight-forward | Moderately Complex | Highly Complex |

**Projects scoring 6 – 10 points - Formal methodology not necessary**
**Projects scoring > 10 points - Formal methodology is necessary**

The EDM project scores 15 points meaning that formal project methodology is necessary.

**Note**

**The business case must be submitted initially to the Programme Board and will allow schemes to be prioritised and feasibility to be assessed.**

**APPENDIX 1 – Report from Socitm**

**The following table provides a comparative ranking of the capabilities of all three vendors using the scoring mechanism below. Accelerated ratings for Must, Should and Nice are included within the table.**

4 points = Fully Compliant with added value
3 points = Fully compliant
2 points = Compliant via third party software
1 point = Partially compliant
0 points = Not compliant

| Capability | Idox | | | Northgate | | | OpenText | | | OpenText & Idox Combined | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Score | Total | Comment | Score | Total | Comment | Score | Total | Comment | Score | Total | Comment |
| **MUST (x3 weighting)** | | | | | | | | | | | | |
| Mail room scanning solution | 3 | 9 | | 2 | 6 | No OCR | 3 | 9 | | 3 | 9 | |
| Flexible filing, organisation and profiling | 4 | 12 | Category library | 3 | 9 | | 3 | 9 | | 4 | 12 | |
| Metadata and full text search | 3 | 9 | | 1 | 3 | No full text search | 3 | 9 | | 3 | 9 | |
| Office integration | 3 | 9 | | 3 | 9 | | 3 | 9 | | 3 | 9 | |
| Outlook integration | 3 | 9 | | 3 | 9 | | 3 | 9 | | 3 | 9 | |
| Version Control etc | 3 | 9 | | 3 | 9 | | 4 | 12 | | 4 | 12 | |
| Techncial document viewing and management | 4 | 12 | | 2 | 6 | | 2 | 6 | | 4 | 12 | |
| Own public portal | 3 | 9 | | 3 | 9 | | 4 | 12 | Includes authentication | 4 | 12 | |
| Integration with CAPS Public Access | 4 | 12 | | 3 | 9 | | 3 | 9 | | 4 | 12 | |
| Generic systems integration via web services | 3 | 9 | | 3 | 9 | | 3 | 9 | | 3 | 9 | |
| Proven Integration with (x 2 weighting): | | | | | | | | | | | | |
| Northgate eSuite (eRevenues, eBenefits, eService) | 0 | 0 | | 4 | 8 | | 0 | 0 | | 0 | 0 | |
| Northgate Revenues and Benefits | 3 | 6 | | 4 | 8 | | 3 | 6 | | 3 | 6 | |

| | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Northgate Front Office | 3 | 6 | | 4 | 8 | | 3 | 6 | | 3 | 6 |
| Northgate Codeman Housing | 3 | 6 | | 4 | 8 | | 0 | 0 | | 0 | 0 |
| Idox CAPS Uniform | 4 | 8 | | 1 | 2 | | 3 | 6 | | 4 | 8 |
| Oracle Financials and Payroll | 3 | 6 | | 1 | 2 | | 3 | 6 | | 3 | 6 |
| CHRIS HR and Payroll systems | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 |
| Strand Electoral Software (now Idox) | 4 | 8 | | 1 | 2 | | 0 | 0 | | 4 | 8 |
| Integral workflow | 3 | 6 | | 3 | 6 | | 3 | 6 | | 3 | 6 |
| Audit trail | 3 | 6 | | 3 | 6 | | 3 | 6 | | 3 | 6 |
| Robust security | 3 | 6 | | 3 | 6 | | 3 | 6 | | 3 | 6 |
| **SHOULD (x2 weighting)** | | | | | | | | | | | |
| Océ MFD compatibale scanning software | 3 | 6 | | 2 | 4 | | 2 | 4 | | 3 | 6 |
| Integral records management | 3 | 6 | | 3 | 6 | | 4 | 8 | | 4 | 8 |
| **NICE (x1 weighting)** | | | | | | | | | | | |
| Team collaboration | 1 | 1 | | 0 | 0 | | 4 | 4 | | 4 | 4 |
| Web content management system | 2 | 2 | | 2 | 2 | | 4 | 4 | | 4 | 4 |
| **FUNCTIONAL TOTAL** | | 172 | | | 146 | | | 155 | | | 179 |
| **PRICING (3, 6, 9 and 12 points according to cost)** | | | | | | | | | | | |
| Software and service pricing including yr 1 support | | 12 | | | 3 | | | 9 | | | 6 |
| **PRICING TOTAL** | | 12 | | | 3 | | | 9 | | | 6 |
| **OVERALL TOTAL** | | 184 | | | 149 | | | 164 | | | 185 |