

REPORT TO	ON
CABINET	Wednesday, 22 January 2020



TITLE	PORTFOLIO	REPORT OF
IDOX Enterprise and Capability Review Project	Cabinet Member (Finance, Property and Assets)	Director of Customer and Digital

Is this report a KEY DECISION (i.e. more than £100,000 or impacting on more than 2 Borough wards?)	Yes
Is this report on the Statutory Cabinet Forward Plan ?	Yes
Is the request outside the policy and budgetary framework and therefore subject to confirmation at full Council?	No
Is this report confidential?	No

PURPOSE OF THE REPORT

1. After several years of fairly static investment and as part of the implementation of the council's Digital to Improve Programme we have assessed existing and new technology requirements. It is recognised that there is a need to upgrade and expand software technologies where appropriate. The purpose of the report is to seek approval for the IDOX Enterprise and Capability Review Project. The project will provide several operational improvements, as well as providing an improved experience for residents and businesses who interact with us digitally.
2. The initial investment required is anticipated to be partly offset over time with the reduction in required back office administration and channel shift towards online methods of interaction.

PORTFOLIO RECOMMENDATIONS

3. Cabinet to approve commencement of the IDOX Enterprise and Capability Review Project under the Digital to Improve Programme, and approve the scope of the project as outlined in this report and **Appendix 1**.
4. Cabinet to approve the use of £146k capital, an increase of £3k to the annual maintenance and support contract within the ICT revenue budget and 20k from the 2019/20 revenue underspends to fund data migration costs.

5. Cabinet agrees to use a framework agreement which would allow a compliant direct award.
6. Cabinet agrees to delegate approval to the Director of Customer and Digital in consultation with the Portfolio Holder to allow a direct award to the provider.

REASONS FOR THE DECISION

7. The reason for the decision is to provide the systems and solutions to enable service delivery. Improved system capability will also empower staff to work dynamically using a broad range of devices.
8. Included within the scope of this project is the introduction of additional services to assist in compliance with Data Protection Legislation.
9. The project will also rationalise systems and provide further system alignment with Chorley Borough Council which will provide benefits as shared services progresses.

EXECUTIVE SUMMARY

10. As part of the council’s Digital to Improve Programme it is proposed to initiate a project to review, and expand on the capabilities offered by IDOX, a system used by several services within the council.
11. The project will look to introduce new functions, integrate and consolidate other systems into the IDOX suite of modules. Through the implementation of this project there will be significant culture change to streamline end to end processes and also ensure efficiencies are realised. This will be supported by a learning and development programme.
12. There are one-off indicative capital costs of £146k and additional indicative revenue requirements of £3k associated with this report. It is anticipated that this will be partly offset by efficiency improvements over time. There will also be significant improvements in back office workflow and customer self-service experience as a result of this project.
13. The report also confirms the creation of a new post within existing budgetary frameworks which will include amongst other duties the delivery of this project in line with the agreed scope. Upon project completion and realisation of the anticipated benefits the newly created role will act as a system supervisor to provide continuous improvement in processes.

CORPORATE PRIORITIES

14. The report relates to the following corporate priorities:

Excellence, Investment and Financial Sustainability	✓
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Health and Wellbeing and Safety	
Place, Homes and Environment	✓

Projects relating to People in the Corporate Plan:

Our People and Communities	
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BACKGROUND TO THE REPORT

15. After several years of fairly static investment and as part of the implementation of the council's Digital to Improve Programme we have assessed existing and new technology requirements. It is recognised that there is a need to upgrade and expand technologies where appropriate.
16. IDOX software applications are currently used by several departments to provide back office and front facing client applications. As part of the council's Digital to Improve Programme it is proposed to initiate a project to review, and expand on the capabilities offered by IDOX, and further consolidate other systems into the IDOX Uniform solution. This will provide benefits both in terms of back office efficiencies and benefits to residents.
17. Whilst this project is included within the Digital to Improve Programme as its own entity, there are several other projects which will be beneficially impacted by the delivery of this project, such as:
- Agile working (Including culture and process improvement)
 - Paperless Office
 - Security and Compliance
 - System consolidation
 - Integration and Automation
 - Electronic Document Management
 - Self-Service Customer Improvements
18. Through the implementation of this project there will be significant culture change to streamline end to end processes and also ensure efficiencies are realised. This will be supported through the Learning & Development initiative within the Digital to Improve Programme with training capacity available through the ICT Training Officer and the proposed IDOX Project Co-Ordinator / System Supervisor.
19. Currently the below IDOX solutions are used within the council:
- Uniform**
- Planning – including Tree Preservation Orders, Appeals, Enforcement, Listed Buildings.

- Building Control – including Dangerous Structures, Competent Person Scheme, Demolitions.
- Environmental Health – including Accident Reports, Commercial Premises, Service Requests, Housing.
- Estates – including Asset Register, Acquisition and Disposal, Valuations.
- Local Land and Property Gazetteer - which uploads to the National Land and Property Gazetteer street naming and numbering system.

LALPAC

- Licensing – Private Hire Vehicle Licences, Hackney Carriage. Licences, Premises Licences.

TLC

- Land Charges, Constraints

IDOX Elections

- Elections, Canvassing, Electoral Register Management.

PROPOSALS (e.g. RATIONALE, DETAIL, FINANCIAL, PROCUREMENT)

20. This project will essentially undertake an IDOX capability review and rationalise systems where appropriate, as well as introducing additional modules. The IDOX Document Management System will modernise the document management process and deliver workplace efficiencies whilst offering benefits to the customer. Aligning core systems such as migrating the Licensing systems into IDOX will provide benefits to officers and reduce the training need.
21. Regulatory services such as Planning, Environmental Health and Licensing will benefit from strict process controls and measures, to allow cases to be processed and tracked in line with agreed service level agreements, and allow key performance indicators to be tracked and reported more accurately.
22. It is proposed to consolidate the Licensing system into Uniform, which will allow the utilisation of mobile applications by licensing for inspections and field work. Public Access for Licensing will also provide residents, businesses and other organisations a more accessible service.
23. It is also proposed to upgrade the existing Uniform system to include additional modules such as those listed below:
 - IDOX Document Management System – To provide integrated document management and public access to documents.
 - IDOX Enterprise – To provide performance management, workflow and automation.
 - IDOX Data Management Tool – Providing Data Protection and GDPR compliance.

24. The services using the new modules will also benefit from improved process and performance management, and the removal of manual processes will reduce risk of error, increase mobile working and improve data protection within these services.

Within Scope

25. As part of the scope of this project each process which utilises the existing or proposed system will undertake a process mapping exercise to assist in post project benefits realisation as well as assisting in recognising areas to drive efficiencies.
26. Several new modules will be introduced including IDOX Enterprise, providing back office workflow, IDOX document management providing seamless integration with both back office and front facing applications as well as the introduction of the IDOX Data Management Tool which will assist in the compliance with GDPR and Data Protection legislation.

27. The below provides further details of each of the key milestones and benefits:

Undertake IDOX Health Check

28. The IDOX Health Check would utilise technical support by IDOX to review our current use of the system to compare both process and system usage against best practice. The Health Check would also include consultation with key users and provide a written report detailing findings, recommendations for improvement and implementation suggestions. Each core module would require 2 technical support days at an indicative cost of £950 per day plus an additional 1.5 days project management. In total an indicative figure of £9k would be required to review all core modules. The Health Check will also be used as an enabler to baseline any pre-requisites required to implement the other stages of the project.
29. The benefit of completing this health check prior to commencing the roll out of Enterprise is critical in assessing the current position, ensuring that the Foundations (i.e. all modules) are suitable before introducing IDOX Enterprise. Any priority remediation work will be undertaken prior to the introduction.

Introduce IDOX Enterprise

30. The introduction of IDOX Enterprise will have associated indicative costs of £26k as an initial investment, followed by an indicative annual maintenance of £3k per annum. Initial investment costs will include software licences, associated services and training.
31. Lincolnshire Building Control saw an efficiency saving of approximately 170 hours per month on administration. This is now automated as part of the IDOX Enterprise function.

Introduce IDOX Document Management System

32. During the council's Public Sector Network (PSN) accreditation process in 2019, it was highlighted that the current web portal provided by Civica is out of date and requires upgrading to provide continued PSN compliance and reduce risk to the organisation. To continue using the Civica product capital investment in the region of £15k would be required and also additional indicative revenue of £1.6k pa. If a migration to IDOX document management system for Planning was implemented there would not be a need to carry out the Civica upgrade. The indicative costs associated with IDOX document management system are £64k as an initial investment with £4k annual revenue costs.
33. Moving to IDOX document management system for Planning would reveal the following business benefits:
- Streamlined integration and workflow with IDOX Enterprise and other IDOX modules.
 - Simpler authentication and single sign-on, by being reliant on a single vendor's systems, resulting in an improved user experience, reliability and efficiency.
 - Support from a single vendor end-to-end for Planning resulting in improved supportability and efficiency.
34. It should also be noted that whilst the IDOX document management system requires increased revenue when compared to the existing Civica system, the proposed solution will deliver document management capabilities to all services using IDOX whilst Civica only delivers document management capabilities to planning officers.
35. There would also be associated costs of approximately £20k to migrate the existing data from Civica to IDOX and this will be funded via the 2019/20 revenue underspend.

Consolidate Lalpac into IDOX Licensing

36. The proposal included within this project is to consolidate the existing Lalpac Licensing solution into Uniform. This will provide benefits for the licensing service by reducing manual back office functions, providing mobile and remote inspection and enforcement capabilities, as well as providing a single property view (Licensing, Environmental Health, and Planning history in one accessible location). There will also be benefits to external stakeholders by improving public access and aligning this to the same look and feel as the Planning public access portal.
37. The costs associated with this consolidation require an initial indicative investment of £38k plus an indicative annual cost of £16.5k. This would be offset by a removal of the annual charge of £16.5k currently provisioned for the Lalpac licensing system.

Introduce IDOX Data Management Tool

38. Costs associated with this module will involve an initial indicative investment of £9k including training, with a further £1k estimated per annum for support

and maintenance. Whilst no cashable efficiencies are expected to be received from this investment, it is required to ensure compliance with GDPR and Data Protection. This will strengthen the Council's compliance position with a positive impact on risk profile levels as data is being actively managed against known legislation and data cleansing rules.

Out of Scope

39. Whilst IDOX Elections and Total Land Charges are both provided by IDOX, under the scope of this project there will be no changes or updates to either system, this is due to both products sitting outside of the Uniform system and there being limited scope for additional functions at this moment in time.

40. A further project within the Digital to Improve Programme scheduled for 2021/22, will look to introduce electronic canvassing to support the council's agile and paperless ambitions.

41. Please see **Appendix 1** for further details on the scope of this project.

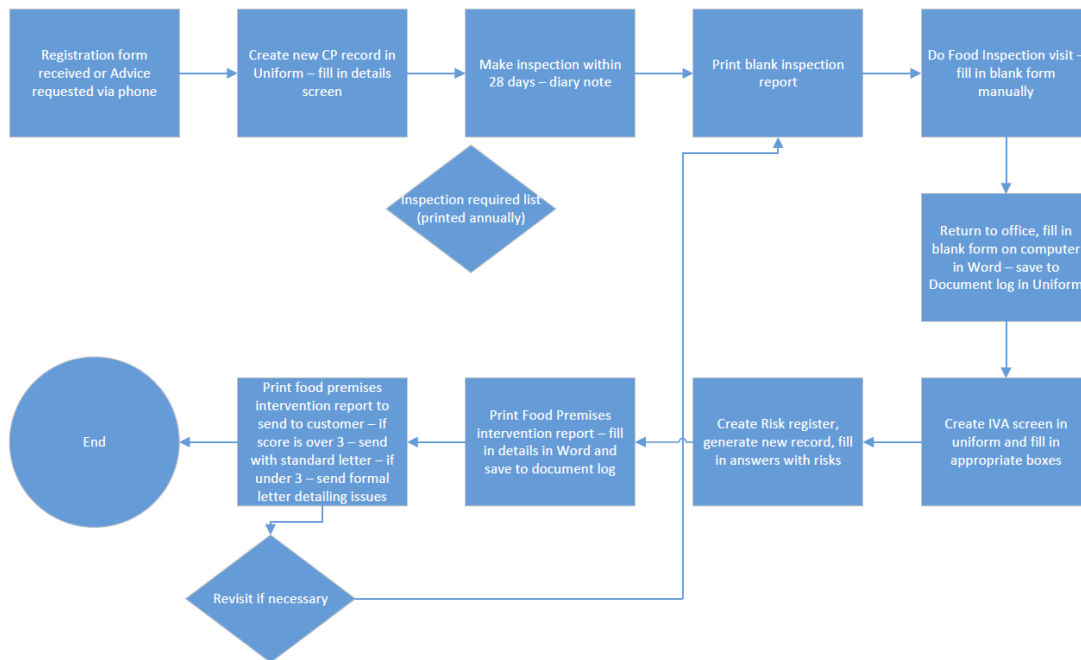
Benefits Realisation Approach

42. As part of the scope of this project current and new processes will be mapped. Robust process maps will ensure that IDOX Enterprise can be configured to promote the most efficient and direct workflow and will also support the post project benefits realisation review.

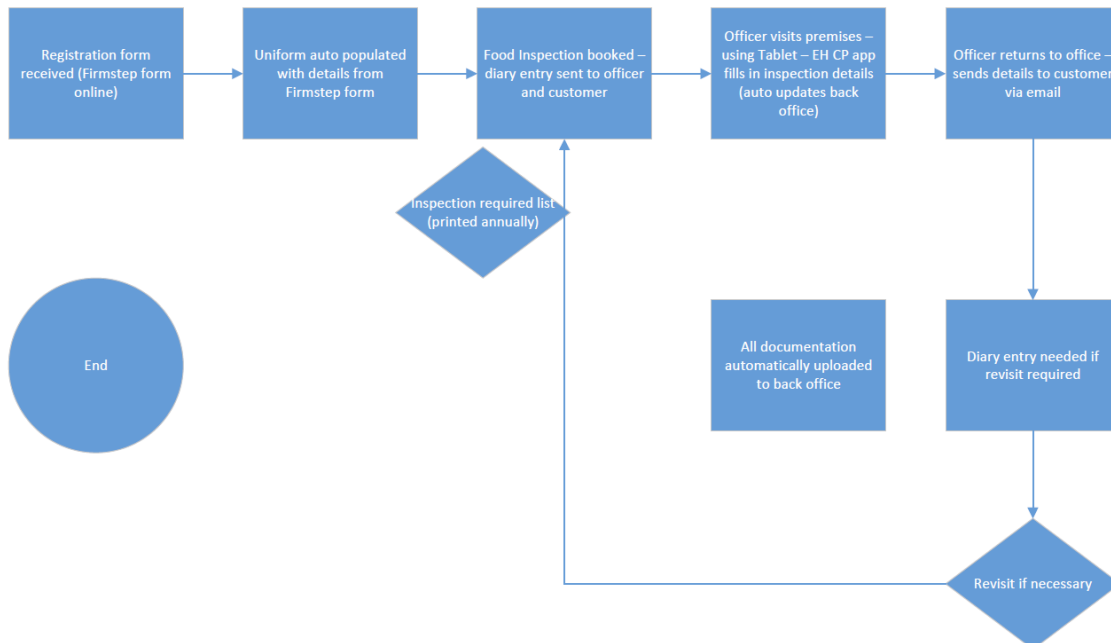
Cashable Efficiency Savings

43. Two Environmental Health processes have been mapped pre-project which show the potential for efficiency savings through the introduction of IDOX Enterprise, IDOX document management system, mobile applications, training and workflow automation. One process for commercial premises is detailed below by way of example.

Current Process Flow



New Process Flow



44. The initial estimated cashable efficiency savings associated with the two environmental health processes amounts to approximately £10k. Once the new processes have been embedded it will be the responsibility of service leads to drive the efficiencies from their services and ultimately realise the benefits from the project.

45. The above process mapping exercise demonstrates the potential cashable efficiency savings that could be realised. Further work is required in this area

however it is reasonable to assume that similar cashable efficiency savings could be realised in a number of other service areas potentially generating a further £40k in efficiency savings.

Other Efficiency Savings

46. The Project Team have spoken to other councils who have implemented IDOX Enterprise and document management system. Solihull Council implemented both in 2014 which enabled several key benefits, including:

- All Planning and Building Control documents to be fully digitised, creating a paperless service
- The reduction in paper and document storage also enabled the service to move to smaller premises
- Enterprise is used to streamline the planning application process and assign tasks to officers more easily
- Performance can be monitored in real time to provide accurate KPI data amongst individuals or groups

47. The North Yorkshire Building Control Partnership chose IDOX Uniform as their core back office system following a merger of 5 local authority building control services, the merger along with the implementation of IDOX Enterprise enabled the below efficiencies:

- 55% of applications received electronically
- £7,000 per annum saved on printing and postage
- 93% completion certificates issued within 5 working days (up from 78%)
- Positive environmental impact due to officers no longer needing to visit the office to access the IDOX system

Project Management

48. In line with the Digital to Improve Programme the senior responsible officer for this project will be the Director of Customer and Digital. Due to the intensive project management requirements necessary to deliver this project, a new post has been created to act as project manager and provide system supervisor duties once the project has been completed and benefits realised. The newly created role has been funded from existing budgets in the Neighbourhoods and Development and Planning and Property directorates and will consolidate the system supervisor responsibility from each service area using Uniform into this role. The Environmental Health System Supervisor role is vacant and has been replaced by the newly created role. Due to the current lack of capacity for IDOX system development, support and training, this role is required regardless of whether the IDOX Enterprise and Capability Review project is undertaken.

49. A 'Train the Trainer' approach will also be taken to ensure that all officers are trained on any new software or function.

50. The project will be managed in line with the council's Project Management Framework and all milestones and objectives will be monitored and reported on using the InPhase project management system.

51. Similarly the associated risks will be entered into InPhase following the Risk Management Framework adopted by the council.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

52. As the proposals included within this report recommend the upgrade of existing software, only the current supplier will be able to deliver the required service.

53. A second option considered and rejected was not to undertake the project. This would maintain the existing service position and would not progress on the ambitions within the Digital to Improve Programme. This option would also mean the systems alignment with Chorley Borough Council would not be realised.

54. A third option considered and rejected was to go to market for a full system replacement. Considering the cost of change, and associated risks, this option was rejected.

55. Another factor in considering alternative options is if we were to retain the existing Civica document management system this would require investment to both maintain and upgrade the system. See table below.

Initiative	Indicative Capital Investment	Current Revenue Investment	Indicative Revenue Investment
Civica Documents & Public Document Access	£15,000 (Upgrade would be required to existing system if IDOX route is not chosen)	£3,771.41	£1,600.00 (Upgrade would be required to existing system if IDOX route is not chosen)

The above was rejected as an option as the proposed Civica annual revenue costs (£5,371) are more than the indicative IDOX solution (£4,380). The IDOX solution will also deliver a higher level of service.

FINANCIAL IMPLICATIONS

56. Table 1 below details full indicative costs associated with this project

Initiative	Indicative Capital Investment	Current Revenue Investment	Indicative Revenue Investment
Civica Documents & Public Document Access	£0	£3,771	£0
IDOX DDE Civica Link	£0	£1,378	£0
Lalpac	£0	£16,543	£0
IDOX Uniform existing modules	£0	£60,622	£60,622
Health Check	£9,025	£0	£0
IDOX Document Management System	£63,850	£0	£4,380
IDOX Enterprise	£26,725	£0	£2,800
IDOX Licensing	£37,800	£0	£16,543
IDOX Data Management	£9,250	£0	£1,000
Total:	£146,650	£,82,314	£85,345

57. As can be seen from the above once introduced there will be additional indicative revenue requirements of £3,031 which will need to be added to the ICT Revenue Budget. The indicative capital requirements of £146,650 could be allocated from the 2019/20 ICT capital fund drawing on future year's ICT capital provisions if required. Also in 2017 the City Deal partners capacity funding from Homes England aimed at ensuring speedy delivery of new housing. Clearly running an efficient planning service enables planning applications to be processed more speedily. Discussions are ongoing between the City Deal partners about using some of this capacity funding towards investing in IDOX to support the Planning Service in South Ribble. If the use of these funds is agreed then the capital cost to the council could be reduced.

58. In addition to the above it is expected that there will be costs of 20k to migrate data from the existing Civica system to the new IDOX environment. These costs will be funded from the 2019/20 revenue underspend.

LEGAL IMPLICATIONS

59. As the provisions included within the scope of this project can only be supplied by the current supplier IDOX, it is proposed to directly award the contract via the crown commercial services framework.

AIR QUALITY IMPLICATIONS

60. There are no detrimental air quality implications to consider with this report, however the project will provide improvements in terms of agile working which should reduce the number of required journeys to and from council offices.

61. There should also be indirect benefits for air quality by increasing the number of paperless processes and reducing the number of hard copy prints used within the authority.

HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT IMPLICATIONS

62. There will be considerable process and culture changes through the introduction of IDOX Enterprise which will need to be supported through training and support. HR will be involved throughout this project and have been assigned a role on the project team to provide advice and support.

63. A new post has been established and a job description is attached at **Appendix 2**. This role is to be funded on a full time, permanent basis from existing resources.

64. Chorley have already implemented IDOX Enterprise and IDOX document management system and are a user of IDOX Licensing and Public Access for Licensing. This project will further align the systems between both councils acting as an enabler for any future shared services. It is also proposed that any newly negotiated IDOX contract will be over a 12 to 18 month period to align South Ribble and Chorley contract dates.

ICT/TECHNOLOGY IMPLICATIONS

65. Utilising Public Access for Licensing and IDOX document management system will also ensure that residents and businesses are experiencing the same systems between the two Councils.

PROPERTY AND ASSET MANAGEMENT IMPLICATIONS

66. Whilst there are no detrimental property and asset management Implications to consider as part of this report. Property and Asset Management is included

within the scope of this project to ensure the system meets the requirement of the service. Improvements in workflow and efficiency should be realised following the implementation of IDOX Enterprise.

RISK MANAGEMENT

67. Risks will be monitored in line with the councils adopted Risk Management Framework and entered into the council's corporate project management solution.

68. Risks will be logged using a 4x4 risk matrix rating likelihood against impact / severity:

The Risk Matrix				
Impact	4	8	12	16
	3	6	9	12
	2	4	6	8
	1	2	3	4
Likelihood				

69. Project risks have been identified with initial estimated risk scores. Measures will be implemented to reduce risks where possible and within financial capacity. External risks will be mitigated with appropriate measures introduced where necessary.

EQUALITY AND DIVERSITY IMPACT

70. There are no Equality and Diversity Impacts associated with this report.

RELEVANT DIRECTORS RECOMMENDATIONS

71. This project provides the benefits as detailed within the body of the report. The project will further align systems to Chorley Borough Council acting as an enabler as we move to create a joint Digital Strategy. There are also benefits that will be provided to residents in terms of an improved online experience.

COMMENTS OF THE STATUTORY FINANCE OFFICER

72. The total capital costs of this project are estimated to be £147k. The Capital Programme includes an allocation for the ICT costs of the Digital to Improve Programme. In 2019/20 there is £107,000 available from the £200,000 total budget which can be allocated to this project. Therefore £40,000 will be required to be allocated from the 2020/21 ICT capital budget. In addition, £20,000 will be set aside from the 2019/20 revenue underspends to fund data migration costs.

73. Based on experiences in other local authorities, there are potential cashable efficiency savings that could be realised. Further work is required in this area and therefore no revenue budget savings have been assumed at this stage in the medium-term financial strategy. However following implementation of new systems and processes, efficiency savings can be delivered and will be reflected in future budget forecasts.

COMMENTS OF THE MONITORING OFFICER

74. As the provisions included within the scope of this project can only be supplied by the current supplier IDOX, it is proposed to directly award the contract via the crown commercial services framework. The body of the report explains the thinking of why on a practical level it makes overwhelming sense to continue with our current supplier.

75. The report also seeks delegated authority to award the contract directly. Normally of course the award of a high value contract would be a decision for Cabinet. However, in the circumstances of this project it is considered sensible to delegate that final decision to the Director and Portfolio holder once the details have been finalised.

76. Formal contractual documentation will be entered into of course which will be thoroughly checked by the council's Legal services team prior to completion.

77. Moving forward it is crucial that all affected teams are fully engaged and involved in the implementation of the project. We must ensure that all legal and regulatory requirements will continue to be fully complied with.

BACKGROUND DOCUMENTS

South Ribble Borough Council Digital Strategy: Digital to Improve

APPENDICES

1. IDOX Enterprise and Capability Review Project Scope.
2. IDOX Project Co-Ordinator / System Supervisor Job Description.

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