Item: 13

Policy and Resources Committee: 19 February 2019.

Electronic Document and Records Management System.

Joint Report by Chief Executive and Executive Director of Corporate Services.

1. Purpose of Report

To set out the proposed project approach, resourcing and governance in respect of the Electronic Document and Records Management System project.

2. Recommendations

The Committee is invited to note:

2.1.

That, in December 2017, the Council agreed to part fund development of an Electronic Document and Records Management System.

2.2.

That the aim of the project is to deliver a system for all electronic documents and records created and used by officers, with the exception of documents and/or records that start in, or once they enter, a specific case management system, for example Human Resource or social care systems.

2.3.

That the project rationale encompasses legislative and regulatory requirements, corporate policy, strategy and plans and operational requirements.

2.4.

That a staged, user centric approach is being taken for the project, with stakeholder engagement and communications an integrated part.

2.5.

The risk associated with delivering the project using only existing resource, which is being mitigated through recruitment of a temporary project officer utilising existing funding.

2.6.

That robust operational governance is provided by a cross-service project board, led by the Executive Director of Corporate Services, with project assurance provided by two officers on the project team reporting to the project board.

It is recommended:

2.7.

That the project approach and governance in respect of the Electronic Document and Records Management System project, referred to at paragraphs 2.4 to 2.6 above, be endorsed.

3. Introduction

3.1

At its meeting held on 28 November 2017, the Policy and Resources Committee noted:

3.1.1.

That the General Data Protection Regulation, which was due to come into force on 25 May 2018, would impose a number of obligations on the Council, with key obligations and other key provisions impacting on the Council listed in Appendix 1 to the report by the Executive Director of Corporate Services.

3.1.2.

That an Electronic Document Records Management System would support compliance by the Council with its statutory obligations in terms of the General Data Protection Regulation.

3.1.3.

That all public authorities in Scotland were required by the Public Records (Scotland) Act 2011 to submit a Records Management Plan to the Keeper of the Records of Scotland for approval.

3.1.4.

That, in 2016, the Council submitted its Records Management Plan, which was approved by the Keeper of the Records of Scotland on the basis that the Council would take further steps to ensure continuing compliance with its obligations in terms of the Public Records (Scotland) Act 2011.

3.1.5.

That a number of steps which the Council was obliged to take in terms of the Records Management Improvement Plan could be achieved and supported through implementation of an Electronic Document Records Management System.

3.1.6.

That the original portal project to develop a document management system through the Portal had been suspended due to technical challenges.

3.1.7.

That a balance of £61,059 remained within the budget allocated to develop the original portal project, which could be transferred to the new Electronic Document Records Management System project linked to the Office 365 project.

3.1.8.

That further elements of the Electronic Document Records Management System project funding would be considered as part of the budget setting process.

3.1.9.

That, in February 2017, the Council resolved that, where an earmarked reserve was no longer active and had served its original approved purpose, the fund be wound up with any residual balance returned to the main donor fund.

3.2

The Committee recommended that the balance of £61,059 be transferred from the Portal Development Fund to the Office 365/Electronic Document Records Management System project to part fund development of an Electronic Document Management system for the Council.

4. Background

4.1.

Development and implementation of an Electronic Document and Records Management System has been an ambition of the Council for several years, initially as part of the development of the Portal.

4.2.

The rationale for the project is outlined in Appendix 1.

4.3.

The aim of this project is to deliver an Electronic Document and Records Management System for all electronic documents and records created and used by Council officers except for documents / records that start in, or once they enter, a specific case management system, for example Human Resource or social care systems.

4.4.

For officers the vision for the Electronic Document and Records Management System can be summarised as a system to support and assist staff in doing their job and collaborating with others.

4.5.

The system is about more than technology, or the tools officers will have at their disposal. It is about a fundamental change as to how officers work with documents.

4.6.

A system can be defined as an interdependent group of items, people and processes working together towards a common aim. This project will address all three areas as follows:

- Items:
  - The tools officers will have at their disposal.
  - The documents and records officers use and work with.
- People:
  - Officer requirements which enable them to do their jobs.
  - Training and support with the new tools and way of working.
- Processes:
  - The ways in which officers work with documents and records.
  - The ways in which officers will use the available suite of tools.

5. Project Approach

5.1.

A user centric approach is being taken for this project. While digital tools will be used to deliver the system, a key consideration is the processes surrounding these tools and how users will effectively interact and use them. Users will therefore be involved and considered during all stages of the project.

5.2.

To support this user centric approach a stakeholder analysis and engagement plan will be developed for this project. At a simplistic level every officer who uses a computer will be a stakeholder in this project.

5.3.

A staged approach is being taken as detailed in Appendix 1 and outlined as follows:

- Stage 1 – discovery:
  - Research and fact finding.
- Stage 2 – design, including testing and piloting.
- Stage 3 – agile development and implementation:
  - Implemented for core, cross service, corporate processes.

- Stage 4 – agile development and implementation:
    - o   Implementation of service area solutions.
- Stage 5 – project close out:
    - o   Completed transfer to business as usual.

6. Resources

6.1.

Delivering the project using only existing resource is a risk. To help mitigate this a temporary project officer is being recruited to support project delivery using existing project funding. .

6.2.

A cross service project team is being assembled. The project manager will be the Senior Project Officer, Change Programme. While the requirements of the role will fluctuate during the life of the project, the availability of the Senior Project Officer for this project work will be limited to an average maximum of 2 days per week.

6.3.

The Change Programme project management resource has been identified given this project is to deliver a major change to the way the Council manages its records and documents. The Change Programme resource is entirely appropriate however it must be highlighted that use of this resource will not contribute to the savings targets of the Change Programme.

6.4.

It is acknowledged that this level of dedicated resource will have an impact on delivery timescales.

7. Risks

7.1.

This is a high-risk project with a variety of significant risks to manage. Some implementations at other Scottish local authorities have stalled, paused or not realised the anticipated benefits. Risk management is therefore an important integral part of this project.

7.2.

As part of risk mitigation, the Council is working with a group of five other local authorities who are at similar stages in the implementation of an Electronic Document and Records Management System. The purpose of the group is to support each other by working collaboratively and sharing knowledge, experience and lessons. In addition to working remotely it is planned the group meets face to face every three months.

7.3.

A workshop involving the core project team will be undertaken to:

- Flesh out the major risks identified.
- Take a closer look into other project risks.
- Plan for how the risks will be mitigated.
- Assist the team in understanding the severity of the risks to the project.

8. Project Governance

8.1.

Given the nature of this project robust governance is a prerequisite and will be delivered as outlined below.

8.2. Political Governance

Political governance will be provided by Elected Members through the Policy and Resource Committee and the Change Management Forum.

8.3. Operational Governance

Operational governance will be provided by a cross-service project board, which has been assembled for the project with the following structure:

- Executive – representing the needs of the business:
  - o Corporate Services – Executive Director.
- Senior user – representing needs of those using the system:
  - o Head of Children and Families and Criminal Justice.
  - o Head of Executive Support.
  - o Head of Legal Services.
- Senior supplier – representing those producing / delivering the products:
  - o Head of IT and Facilities.

8.4. Project Assurance

Project assurance will be provided to the project board by the following officers who will be part of the project team:

- Information Governance Officer.
- Information Security Officer.

8.5. Governance delivery

Project governance will be delivered through the following mechanism:

8.5.1. Change Management Forum

Progress reports shall be submitted by the Executive (or delegate) at regular meetings, as appropriate. This presents an opportunity for Elected Members to review project progress and influence future project activities.

8.5.2. Information Services Programme Board

Reports will be submitted, as required, to the Information Services Programme Board.

8.5.3. Project Board

Initially, the Project Board will meet every month, with the project manager presenting an update for scrutiny.

8.5.4. Digital and IT Project Board

The project will report, as required, to the Digital and IT Project Board.

8.5.5. Assurance

Project assurance (Information Governance Officer and Information Security Officer) will form part of the core project team and should escalate issues to the Project Board where they feel appropriate.

8.5.6. Highlight reports

The project manager will provide a highlight report each calendar month. The report will be issued to the Executive for review in advance of its general distribution.

8.5.7. Other project reports

The project manager will produce reports, for example exception reports, for submission to the Project Board and Project Assurance as required.

9. Corporate Governance

This report relates to governance and scrutiny and therefore does not directly support and contribute to improved outcomes for communities as outlined in the Council Plan and the Local Outcomes Improvement Plan.

10. Financial Implications

10.1.

There are no immediate financial implications arising from the report recommendations.

10.2.

The cost of an Electronic Document and Records Management System has previously been estimated to cost up to £95,000 for initial installation and up to £45,000 annually for software licences.

10.3.

The Council has previously agreed to re-provision £61,059 from the Portal Development Fund to the Office 365/Electronic Document Records Management System project. A baseline revenue budget service pressure of £50,000 was approved during the budget setting process for 2018 to 2019.

11. Legal Aspects

This project supports the Council's compliance with a number of statutory obligations and legislative and regulatory requirements as set out in the following:

- Public Records (Scotland) Act 2011.
- Data Protection Act 2018 and the General Data Protection Regulation (GDPR).
- Freedom of Information (Scotland) Act 2002 and Environmental Information (Scotland) Regulations 2004.

12. Contact Officers

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13. Appendix

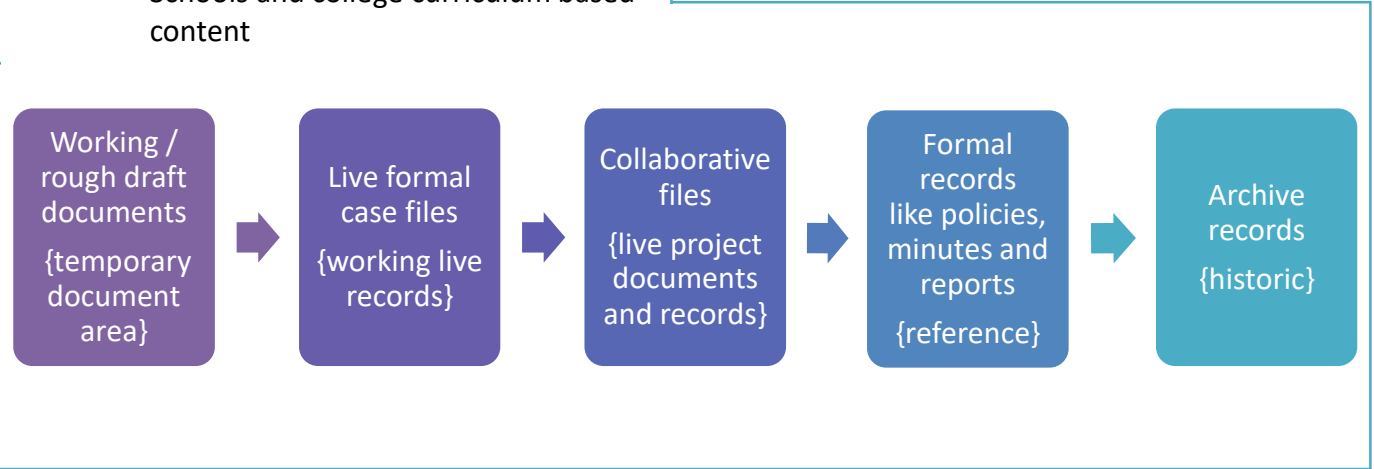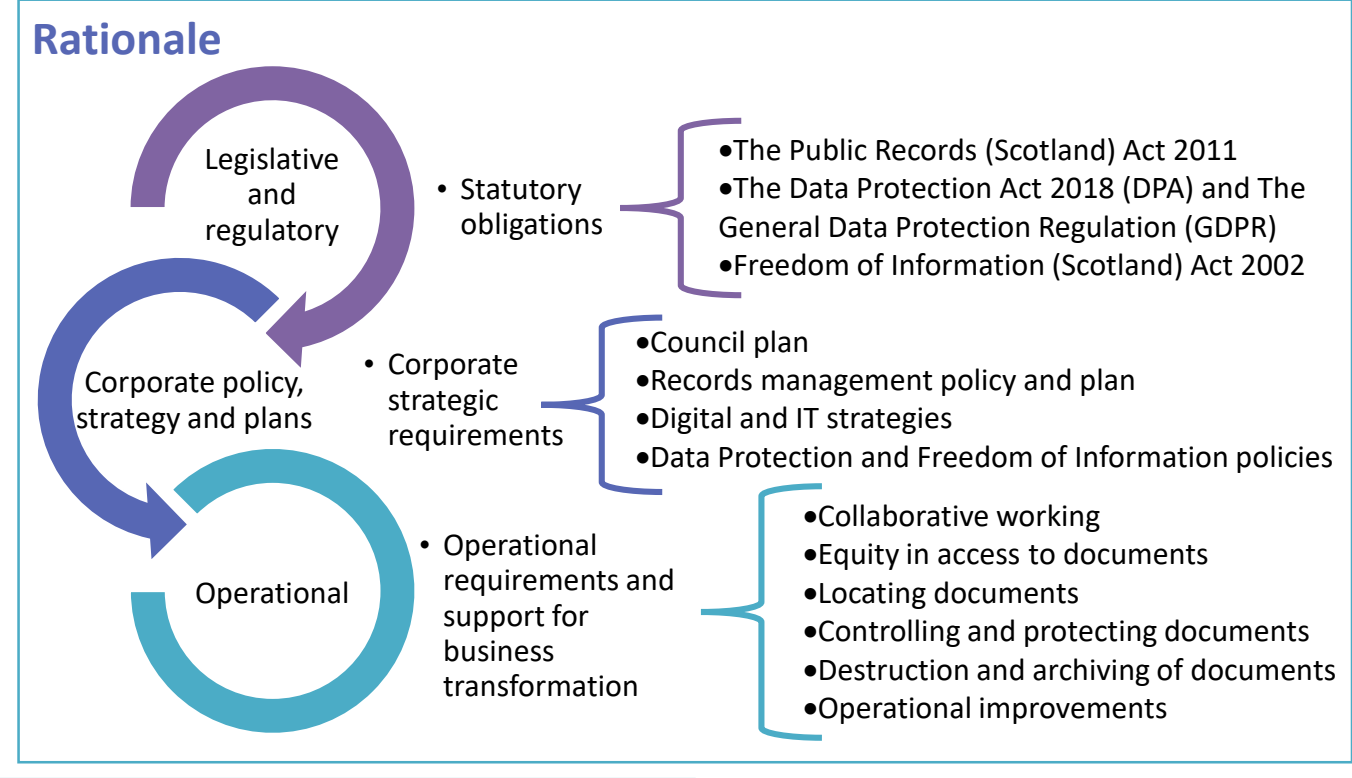Appendix 1: PE0314-PRJB-004 - EDRMS Project Overview.

PE0314 | Electronic Document and Records Management System (EDRMS)
"A system to support and assist you in doing your job and collaborating with others"

1 | 2

ORKNEY ISLANDS COUNCIL

Aim

- To deliver an Electronic Document and Records Management System for all electronic documents created and used by council officers.

Scope

- All electronic documents and records created and used by council officers during their full lifecycle (as per the diagram below).

- This excludes:
  - Documents that start in, or once they enter, a specific case management system e.g. HR or Social Care systems
  - Arms length organisations
  - Orkney Ferries
  - Schools and college curriculum based content

Rationale

Legislative and regulatory

- Statutory obligations
  - The Public Records (Scotland) Act 2011
  - The Data Protection Act 2018 (DPA) and The General Data Protection Regulation (GDPR)
  - Freedom of Information (Scotland) Act 2002

Corporate policy, strategy and plans

- Corporate strategic requirements
  - Council plan
  - Records management policy and plan
  - Digital and IT strategies
  - Data Protection and Freedom of Information policies

Operational

- Operational requirements and support for business transformation
  - Collaborative working
  - Equity in access to documents
  - Locating documents
  - Controlling and protecting documents
  - Destruction and archiving of documents
  - Operational improvements

Working / rough draft documents {temporary document area} → Live formal case files {working live records} → Collaborative files {live project documents and records} → Formal records like policies, minutes and reports {reference} → Archive records {historic}

Key operational benefits

- The EDRMS will support and assist officers in effectively working with, and collaborating on, documents and records as part of doing their job
- Documents will be accessible to all OIC employees on a controlled basis
- It will be clear where documents live
- This will deliver overall efficiency and effectiveness improvements and is an enabler for CR06 Modernising IT

PE0314 | Electronic Document and Records Management System (EDRMS)
"A system to support and assist you in doing your job and collaborating with others"

2 | 2

Changes

Looking at best practice and input from specialist consultants the changes required is:

- Cultural shift regards to records management
- Implementation of a principles based approach to documents and records management
- New set of tools to manage records and documents
  - Tools to bring additional features and realise benefits
- Use of categorisation and retention inbuilt into files
- Training (both for implementation and ongoing)

Team and leadership

Governance
- Project board
  - Executive, senior users and senior supplier
- Project assurance
  - Information security and governance officers
- Information Services Programme Board (ISPB)
- Digital and IT Projects Board (DITPB)

Project team
- Project manager
- Project assurance
- Cross organisation key stakeholder
- Subject matter expert consultants

The project is working with consortium of 5 local authorities who are at a similar stage.

Risks

This is a high risk project with a variety of risks to manage

Activities | project approach

Stage 1 | research and fact finding

- Complete stakeholder analysis and engagement plan
- Identify and document available "tool kit" / categorisation options
- Identify and document "user cases" (case studies / examples) detailing current ways of working and types of record and documents used
- Create simplified retention schedule format
- Identify and develop implementation assumptions and draft implementation plan
- Complete Equalities Impact Assessment (EqIA) and Privacy Impact Assessment (PIA)
- Identify performance and success metrics

Stage 2 | design

- High level codification of "tool kit" (what will be used for what)
- Design EDRMS structure / configuration
- Installation and set-up of EDRMS infrastructure (as required)
- Document example implementations based on "user cases"
- Potential to use a pilot to help develop the solution / principles
- Detailed development of implementation mechanisms
- Create relevant principles (and other) document(s) to support implementation

Stage 3 | Agile development and implementation (core corporate)

- Implementation for core corporate processes (list TBC)

Stage 4 | Agile development and implementation (from prioritised list)

- Service area / process development prioritisation
- Agile development and implementation from the prioritised list
- Locking of G and H drives so no further data can be added

Stage 5 | project close out

- Close of the project
- Transfer to services for ongoing development and continuous improvement