

Decision Maker: RESOURCES PORTFOLIO HOLDER

For Pre-Decision Scrutiny by the Executive and Resources PDS Committee on:

Date: 13 July 2017

Decision Type: Non-Urgent Executive Non-Key

Title: DOCUMENT MANAGEMENT – AMENDED REQUEST FOR RELEASE OF FUNDING

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Chief Officer: Executive Director of Environment and Community Services

Ward: Bromley Town

1. Reason for report

On 26 January 2016 the Resources Portfolio Holder approved the release of funding in the sum of £200k to meet the costs of document management to facilitate the Civic Centre Programme. The funding was approved for the appointment of a Document Management Project Manager and for additional work as outlined. The delivery of the document management work stream has been reviewed and this report seeks to amend the previous approvals to reflect the new proposals.

2. **RECOMMENDATION(S)**

The Resources Portfolio Holder is asked:

1) to approve funding for the appointment of Inform Consult Ltd in the sum of £55k to deliver the services outlined in paragraph 3.8.

2) to delegate authority to the Executive Director of Environment and Community Services to authorise other expenditure in the sum of £145k for other required work.

Impact on Vulnerable Adults and Children

1. Summary of Impact: N/A
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Corporate Policy

1. Policy Status: Existing Policy
 2. BBB Priority: Excellent Council
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Financial

1. Cost of proposal: £200k
 2. Ongoing costs: Non-Recurring Cost
 3. Budget head/performance centre: Earmarked Reserve
 4. Total current budget for this head: £200k
 5. Source of funding: Earmarked Reserve
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Personnel

1. Number of staff (current and additional): 0
 2. If from existing staff resources, number of staff hours: N/A
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Legal

1. Legal Requirement: N/A
 2. Call-in: Applicable
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Procurement

1. Summary of Procurement Implications: N/A
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Customer Impact

1. Estimated number of users/beneficiaries (current and projected): N/A
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Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
2. Summary of Ward Councillors comments:

3. COMMENTARY

- 3.1 On 26 January 2016 the Resources Portfolio Holder approved the drawdown in the sum of £200k from Central Contingency to meet the costs of document management. The report requesting the drawdown was scrutinised by the Executive and Resources PDS Committee on 4 January 2016.

The funding was approved for:

- appointment of an experienced Document Management Project Manager for a period of 1 year in the sum of £105k. The appointment to be made by Amey Community Ltd, the Council's Total Facilities Management provider, who will be delivering the Civic Centre Programme
- expenditure in the sum of £95k for additional work, such as temporary staff for boxing up and indexing documents for disposal and off site storage and some scanning with the delegation of authority to the Executive Director of Environment and Community Services.

- 3.2 As a result of recruitment difficulties and in light of other related work being undertaken by I S Services, it is now proposed to deliver the document management work stream in a different way.

Project Manager Role

- 3.3 It was originally anticipated that the Project Manager's work would be twofold. Firstly they would have considerable experience and expertise in the field of Document Management and would be expected to develop and introduce the Document Management guidance and protocols required to move to a paper light operational environment. Secondly they would then work with departments on the physical reduction of their files. It is now proposed to separate out these two functions.
- 3.4 The Civic Centre Programme Board is working with IT colleagues so that a joint approach to Information Management and Governance can be developed that benefits the Council as a whole, ensures compliance with statutory regulations and satisfies the requirements of the Civic Centre Programme.
- 3.5 I S Services with the support of In-form Consult Ltd are already working on a number of initiatives that will facilitate better document management and electronic working. They are introducing an Asset Register to record key information about the Council's records; they have identified and are training Information Asset Owners and Assistants, who will be responsible for reviewing and implementing document retention policies for their departments and they are working towards up-grading SharePoint.
- 3.6 A high level gap analysis of the current initiatives and future requirements has identified the need for a co-ordinated Information Management Strategy and Framework, which, together with the above mentioned initiatives, will provide the foundations for the Council's new working practices.
- 3.7 As In-form Consult Ltd is already working with the Council, they have been asked to submit a proposal for the additional work required.
- 3.8 Their fee proposal is in the sum of £51,150 plus expenses and their key deliverables will be:
- To deliver a comprehensive framework for information governance and management

- To provide a vision for how information should be managed through an Information Management Strategy
- To develop an enterprise approach to Information Architecture
- To provide a Target Operating Model for an information management function
- To identify how current initiatives including the Civic Centre Programme and the SharePoint Implementation can be improved and how these initiatives can be fitted into a wider programme of information management improvements
- To deliver a report outlining a series of pragmatic recommendations, detailing where appropriate, the associated estimated costs, effort, impact, risk and benefits of each

3.9 The benefits of appointing In-form Consult Ltd are:

- Their work with the Council means they will not require a lengthy period of familiarisation, which has benefits in terms of the programme and the cost
- It is important to have the framework in place quickly and before staff are moved out of Stockwell Building as the Information Management Strategy and Framework will, along with the Information Asset Register and Document Retention Policies, provide the basis for the immediate reduction of paper files and introduction of new working practices
- The Implementation Report will provide the Council with a roadmap and identify the resource implications for the further work required to achieve its new working practices
- They have provided a good service to the Council to date
- They have delivered similar services for other Councils, who have provided good references

3.10 It will still be necessary for project management to be undertaken but, with the above work completed separately, the project management skills will be generic rather than specialist probably at a lower cost.

3.11 The Resources Portfolio Holder is requested to vary his earlier decision and approve funding for the appointment of In-form Consult Ltd in the sum of £55,000 including expenses.

Expenditure for Additional Work

3.12 The additional work outlined in the report to the Resources Portfolio Holder on 4 January was very specific and reflected the methodology that seemed most appropriate at the time. It is now becoming clear that, as the Civic Centre Programme and the recently formed Information Management and Governance Programme Boards develop their programmes in tandem, the original methodology by which to implement document management goals should be subject to further review.

3.13 It is still essential that this funding is available to facilitate moving staff and their records out of Stockwell Building and flexibility in its use is requested.

3.14 Going forward, the lessons being learnt from other authorities, who have already introduced paper light working, indicate that whereas some of the additional work already proposed will be essential, the Council may want to move away from its earlier position and restrict any further use of off-site storage.

3.15 The proposal from In-form Consult Ltd also includes the provision of an Implementation Report, which will inform any future plans.

3.16 It requested that the Portfolio Holder delegates authority to the Executive Director of Environment and Community Services to authorise expenditure for the remaining sum of £145k in the most appropriate way, including project management and other related work as

required. Details of the proposed expenditure and regular monitoring reports will be presented to the Civic Centre Programme Board, whose membership includes the Resources Portfolio Holder and if requested updated can be provided at the Executive and Resources Policy Development and Scrutiny Committee.

4. POLICY IMPLICATIONS

4.1 The Council is facing challenging economic times and has to make significant savings from the budget over the next few years. It is also seeking to achieve the rejuvenation of its Town Centres. Two of the strategies that will contribute to meeting these key challenges are:

- The Council’s vision for delivering services as expressed in its Corporate Operating Principles
- A robust property review process accompanied by an active acquisition and disposal programme.

4.2 The Council has outlined its future vision for the delivery of its services in Building a Better Bromley’s Corporate Operating Principles. The Corporate Operating Principles describe the Council as a commissioning organisation and states its intention “to deliver services by testing the benefits of:

- Having our services delivered by others
- Commissioning in partnership with others
- Delivering services in partnership with others
- Delivering services on behalf of others”

4.3 The commissioning process is underway with many services being soft market tested or tendered at the moment. The commissioning of services will impact on the Council’s future office requirements and the way in which it occupies its offices and manages its documents.

5. FINANCIAL IMPLICATIONS

5.1 This report is seeking approval to amend how the £200k held in an Earmarked Reserve will be spent. This sum was set aside to meet the cost of document management. The table below summarises the revised estimated costs for this project: -

	£'000
Inform Consult Ltd	55
Other expenditure , incl Project Management and/or other related work as required	145
	<hr style="border: 0.5px solid black;"/> 200 <hr style="border: 0.5px solid black;"/>

5.2 Should the approval be given to appoint In-form Consult Ltd, the cumulative spend with this company would total £80k.

5.3 Any additional work will be procured either by Amey Community Ltd or by the Council and the appropriate authority in accordance with the Council’s CPRs and Financial Regulations will be sought.

6 LEGAL IMPLICATIONS

- 6.1 Any appointment will comply with the Council's Contract Procedure Rules and any document management guidance and protocols will be expected to comply with legislative requirements and council policy. Contract Procedure Rules would need to be waived to appoint Inform Consult without formal competition. The value of the Contract is below the threshold for EU competition. If the work is awarded to Inform Consult it will be delivered under a formal written contact.

7 PROCUREMENT IMPLICATIONS

- 7.1 Under the Council's Contract Procedure Rules, three quotations are normally required for the appointment of consultancy services estimated to be in the region of £25 – 100k. To date work to the approximately value of £25k has been undertaken by In-form Consult Ltd. If the current fee proposal is accepted, then this will make a total of £80k. The appointment of consultants is governed by CPRs 8.2 and 8.6. An exemption to the need to competitively tender this work and to appoint In-form Consult Ltd is sought under CPR 13.1.

Non-Applicable Sections:	IMPACT ON VULNERABLE ADULTS AND CHILDREN PERSONNEL IMPLICATIONS
Background Documents: (Access via Contact Officer)	Document Management – Request for the Release of Funding (DRR17/002 dated 4 January 2017) Proposal for Information Management Support, February 2017