Building Control Data Capture

EXECUTIVE MEMBER:	George Clements
LEAD OFFICER:	Keith Parker
REPORT AUTHOR:	Mark Key

By capturing all drawings and documentation electronically, the project will make the service more accessible to customers of the service.

WHY HAS THIS REPORT COME TO THE EXECUTIVE?

To request the release of capital funding for the Building Control Data Capture Project.

RECOMMENDATIONS: It is recommended that the contents of the Project Initiation Document (PID) are agreed and that the relative capital funding be released to allow the Building Control Data Capture Project to commence.

1. INTRODUCTION

1.1 The MIS Headway back office software project, which has begun the modernisation of the way in which the Council's Development Control, Land Charges and Building Control sections work is nearing completion. The MIS Headway software replaced LAS 5, an MS DOS based system dating from the 1980s that only had the capability to store basic text against application numbers, with the vast majority of information being held in hard copy.

1.2 As the MIS Headway project nears completion, The Council's Building Control service is attempting to move towards a paperless environment, which will in turn enable electronic consultations and mobile working. Ultimately, this will also enable building information to be viewed online, should this become a requirement.

2. PROPOSALS

2.1 This project builds upon the work done to date on the MIS Headway project and will involve:

- Setting up interfaces (MIS and scanning bureau), which will allow the chosen scanning bureau to transfer data from their site, straight into the Headway suite
- An external data conversion bureau scanning archived and live full plans applications and transferring all newly converted electronic data (drawings, etc) into the relevant files within MIS Headway
- Purchase and implementation of software that will allow users to view, scale and annotate drawings

2.2 The objectives of the project are to capture as much hard copy information as is possible (at least 6 year's worth of full-plans applications), place this information within relevant MIS Headway files, and install drawing viewing software, all within the financial constraints of the project.

3. ALTERNATIVE OPTIONS TO BE CONSIDERED

3.1 No alternative options have been considered – the proposal contained in the PID is believed to offer the best modernisation options for the Council's Building Control service, which will in turn ensure longer term improvements in its efficiency and accessibility.

4. CONCLUSIONS

4.1 The Building Control Data Capture project will allow the service to operate more efficiently and will help to make it far more accessible to customers in the years to come.

4.2 The project fits with the Council's developing document management and data quality objectives and will make building control information far more secure and accessible.

5. STATUTORY OFFICER COMMENTS

5.1 The Monitoring Officer's comments are: No comments on the report

5.2 The Section 151 Officer's comments are: The 2011/12 capital programme contains £46,700 for the completion of the Building Control Data Capture

project. Therefore, there are sufficient funds available in the capital programme to cover this proposal.

5.3 EIA Comments

Having carried out an equality impact screening exercise, the following summary can be made:

- No social groups will be disadvantaged by the project.
- There are no negative impacts on any social groups.
- There are no positive impacts on any social groups, although the enablement of electronic applications through the MIS Headway project (which this project supports) has a positive effect on socio economic inclusion (removal of printing postage costs).
- In terms of consultations with service users and feedback that has affected the scope of this project, the aims/projected outcomes of the project are primarily driven by the need for internal efficiencies and professional service users (architects, statutory consultees, etc).

5.4 Other consultee comments, if any: None

6. HOW WILL THE PROPOSALS BE PROJECT MANAGED AND HOW ARE THE RISKS GOING TO BE MANAGED?

6.1 The Building Control Manager will carry project management duties and risks will be managed through the PRINCE 2 project management framework.

7. WHAT MEASURABLE OUTCOMES OR OUTPUTS WILL ARISE FROM THIS REPORT?

7.1 The project fits with the Council's developing document management and data quality objectives and will make building control information far more secure and accessible for all stakeholders. Electronic storage of information will allow the Council's Building Control section to operate in a far more efficient and effective manner by cutting unproductive time spent searching for information to a minimum.

7.2 The receipt and capture of all applications in electronic format will remove the need for the printing and postage of substantial amounts of information (letters, approval notices, approved drawings, completion certificates, etc), which will be sent electronically to applicants and agents in instances where email addresses can be obtained.

7.3 Drawings requiring consultation responses from the Fire Service, United Utilities, Structural Engineers, etc will be made available through a secure login area on the Council's website, again saving time and costs currently associated with printing, packaging up and posting information.

7.4 Surveyors will be in a position to obtain any information required unexpectedly on site remotely, without the need to revisit the office.

List of Appendices

Appendix A – Project Brief
Appendix B – Project Initiation Document

COPELAND BOROUGH COUNCIL

BUILDING CONTROL – DATA CAPTURE & DRAWING SOFTWARE IMPLEMENTATION

PROJECT BRIEF

ID:	**Building Control – Data Capture & Drawing Software Implementation**
Version:	**1.0**
Author:	**Mark Key**
Date:	**09/06/11**

1. Background

The MIS Headway back office software project, which has begun the modernisation of the way in which the Council's Development Control, Land Charges and Building Control sections work is nearing completion. The MIS Headway software replaced LAS 5, an MS DOS based system dating from the 1980s that only had the capability to store basic text against application numbers, with the vast majority of information being held in hard copy.

So far, MIS Headway has given the Council's Building Control section the capability to (list not exhaustive):

- Produce and store standard and bespoke application correspondence
- Store media (photographs, film, etc), drawings and emails within application files
- Generate management reports on a wide variety of data
- Plot all application records against properties spatially (GIS)
- Convert, store and automatically plot (GIS) XML data relating to Competent Persons Scheme notifications
- Instantly forward fault reports to MIS as they occur through the software
- Ascertain charges through a built in fee calculator
- Receive email alerts for issues requiring attention
- Examine corresponding information in Planning application files

Works remaining as part of the MIS Headway Building Control module include:

- Implementation of e-Access, a web interface that will allow the section to:
    - receive applications electronically
    - consult with statutory bodies electronically
- Implementation of mobile working module, which will allow Surveyors to instantly upload onto a laptop/tablet all application information required to carry out daily inspections

The Council's Building Control service is attempting to move towards a paperless environment, which will in turn enable electronic consultations and mobile working. Accordingly, this project builds upon the work done to date on the MIS Headway project and will involve:

- Setting up interfaces (MIS and scanning bureau), which will allow the chosen scanning bureau to transfer data from their site, straight into the Headway suite
- An external data conversion bureau scanning archived and live full plans applications and transferring all newly converted electronic data (drawings, etc) into the relevant files within MIS Headway
- Purchase and implementation of software that will allow users to view, scale and annotate drawings

2. Outline Business Case

2.1 Business Benefits

The project fits with the Council's developing document management and data quality objectives and will make building control information far more secure and accessible for all stakeholders. Electronic storage of information will allow the Council's Building Control section to operate in a far more efficient and effective manner by cutting unproductive time spent searching for information to a minimum.

Surveyors will be in a position to obtain any information required unexpectedly on site remotely, without the need to revisit the office. The receipt and capture of all applications in electronic format will remove the need for the printing and postage of substantial amounts of information (letters, approval notices, approved drawings, completion certificates, etc), which

will be sent electronically to applicants and agents in instances where email addresses can be obtained.

Drawings requiring consultation responses from the Fire Service, United Utilities, Structural Engineers, etc will be made available through a secure login area on the Council's website, again saving time and costs currently associated with printing, packaging up and posting information.

Figures 1 and 2 (below) provide a simple overview of current and proposed procedures.

Gains in productive time will be used to bring in additional income by offering consultancy services such as Fire Risk and BREEAM assessments.

2.2 Equality Impact Assessment

Having carried out an equality impact screening exercise, the following summary can be made:

- No social groups will be disadvantaged by the project.
- There are no negative impacts on any social groups.
- There are no positive impacts on any social groups, although the enablement of electronic applications through the MIS Headway project (which this project supports) has a positive effect on socio economic inclusion (removal of printing postage costs).
- In terms of consultations with service users and feedback that has affected the scope of this project, the aims/projected outcomes of the project are primarily driven by the need for internal efficiencies and professional service users (architects, statutory consultees, etc).

3. Project Definition

3.1 Project Objectives

The objectives of the project are to capture as much hard copy information as is possible (at least 6 year's worth of full-plans applications), place this information within relevant MIS Headway files, and install drawing viewing software, all within the financial constraints of the project. This work will enable the Council's Building Control service to move forward from completion of the project towards a paperless and e-enabled environment. The new electronic records need to be of sufficient quality to enable measurement of technical drawings.

Following the selection processes for scanning services and viewing software (which will both exceed the Contract Standing Orders threshold of £10,000), it is envisaged that the physical element of the project will take approximately 10 months to complete.

3.2 Project Scope

The project will include the following:

- Procurement selection process for external scanning bureau services.
- Procurement selection process for plan viewing software (although it is believed that only 2 service providers have the capability of providing the required product).
- Implementation of interfaces provided by an external scanning bureau service and MIS that will allow the scanning bureau to import scanned drawings directly into the Council's Headway system.
- Back scanning of at least 6 years worth of full plans applications and placement of the contents of each application within its own electronic file within MIS Headway. The original business case for the proposal costed 5 year's worth of applications but competition within the data capture sector has recently driven costs down and it is hoped that more data capture work can be achieved within the available resources.
- Implementation of plan viewing software internally (10 user licenses).

- Implementation of server based plan viewing software for consultees to use through MIS e-Access.

The Council's ICT Manager has been consulted and sufficient server storage space is available to accommodate the information that will be imported into the relevant MIS files.

MIS e-Access, the online portal that links into the Headway back office software (allowing customers to submit applications electronically through the Council's website, and consultees to receive information electronically), is part of the outstanding MIS Headway project works and does not form part of this project. Outstanding MIS Headway issues will be addressed in parallel with this project and should be completed by the end of the 2011/12 financial year.

A business decision on how applications will be captured in a live environment following completion of this project (whether scanning is to be carried out in-house or externally) will be made as the project progresses.

The envisaged 10 month project timescale (following procurement exercises) is based upon the fact that internal human resources will be limited:

- The Building Control Manager is carrying out Project Management duties on the MIS Headway project and will carry out the same duties on this project.
- Chris Lloyd will assist in preparing tender documentation for the scanning and software elements of the project following the departure of the Council's Procurement Officer.
- Diane Parkinson (who is currently carrying out Systems Administration duties on the MIS Headway project) will be required to test application data as it is imported into the Headway system.
- Martin Stroud will be required to ensure that the Council's ICT security is not detrimentally affected by the interfaces between the remote scanning bureau and MIS Headway and advise on data storage/version control.
- Building Control Administrative Support staff will be required to scan A4 information in historic Building Notice files (pre implementation of MIS Headway, August 2009) in addition to their day to day duties.

4. Outline Plan

Listed below are the project milestones for implementing the project:

Task Description	Start Date	End Date
Register PID for Executive	28/06/11	28/06/11
Decision on PID	27/07/11	27/07/11
Set out tender briefs	15/08/11	19/08/11
Tender for scanning services	22/08/11	23/09/11
Tender for drawing viewing software	22/08/11	23/09/11
Set up interfaces (MIS and scanning provider)	10/10/11	21/10/11
Scan in A4 Building Notice information (internal)	04/07/11	31/05/12
Scan in Full Plans applications (including quality checks)	24/10/11	31/07/12
Implement drawing viewing software (inc web based)	24/10/11	24/02/12
Set out new internal procedures	24/10/11	24/02/12
Training/familiarisation sessions for staff/consultees	27/02/12	30/04/12

5. Resource Requirements

In addition to the individuals highlighted under 2.1 above, the following resources will be required (times/durations highlighted by the Project Plan):

- Rob Somerville (ICT Technical Officer) will be required to assist in setting up the web based consultation facility (drawing viewer)
- It is hoped that by utilising internal resources, the available financial resources can be used to maximum benefit in terms of data capture and process improvement. However, depending upon the building control workload of the Project Manager, additional project management/process improvement expertise may be utilised throughout the project. The input of Telford & Wrekin Council may be required, which may involve site visits by their project team to Whitehaven, or Copeland Borough Council's project team to Telford.

6. Project Costs

The costs associated with the project were set out in the original business case as follows:

- Project management/support costs = £6,000
- MIS interface for scanning purposes = £2,700
- Scanning bureau setup costs (including interface) = £4,800
- Scanning of at least 6 year's worth of full plans applications = £17,850
- Drawing viewing software = £15,350

Total project costs = **£46,700.**

7. Risks

Below are listed the key risks, identified during production of the Outline Business Case. These have been registered in a detailed project risk log, which will be updated throughout the duration of the project.

Risk No.	Risk Description	Probability	Impact	Countermeasures
1	Loss of key staff	M	H	Detailed information to be prepared by key members of the Project Team as it progresses to allow successors to 'hit the ground running'. Issue to be addressed as soon as it becomes apparent.
2	Increase in workload	M	M	Resource requirements to be reviewed on an ongoing basis as part of monitoring process
3	Dislike of proposed new working methods	M	M	Project progress to be communicated on a regular basis and all stakeholders to be given the opportunity to put forward points and suggestions. All members of the Project Team have a responsibility to promote a positive approach to the project. Regular updates on progress being made by Telford & Wrekin to be provided to staff (thereby demonstrating success of planned changes in a live environment)
4	Scanning of information internally not possible due to demands on equipment from other business areas.	H	H	To be assessed when project commences. If this becomes a problem and the internal scanning of future applications following completion of the project is seen as the way forward, consideration could be given to the purchase of dedicated hardware from project resources.

Likelihood Key	Impact Key
High (H) – 90% Probability of risk being realised.	**High (H) -** Critical Path Risk. If realised the resulting issue would immediately impact cost / project delivery dates.
Medium (M) – 60% Probability of risk being realised.	**Medium (M)** – If realised the resulting issue would cause slippages in deliverable release dates and would have an immediate effect on overall cost /project delivery dates.
Low (L) – 50% Probability of risk being realised.	**Low (L) –** If realised the resulting issue would not impact delivery dates but could impact the quality of deliverables.

COPELAND BOROUGH COUNCIL

BUILDING CONTROL – DATA CAPTURE & DRAWING SOFTWARE IMPLEMENTATION

PROJECT INITIATION DOCUMENT (PID)

ID: Building Control – Data Capture & Drawing Software Implementation
Version: 1.0
Author: Mark Key
Date: 25/05/11

Project Initiation Document

1. Background

The MIS Headway back office software project, which has begun the modernisation of the way in which the Council's Development Control, Land Charges and Building Control sections work is nearing completion. The MIS Headway software replaced LAS 5, an MS DOS based system dating from the 1980s that only had the capability to store basic text against application numbers, with the vast majority of information being held in hard copy.

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Project Initiation Document

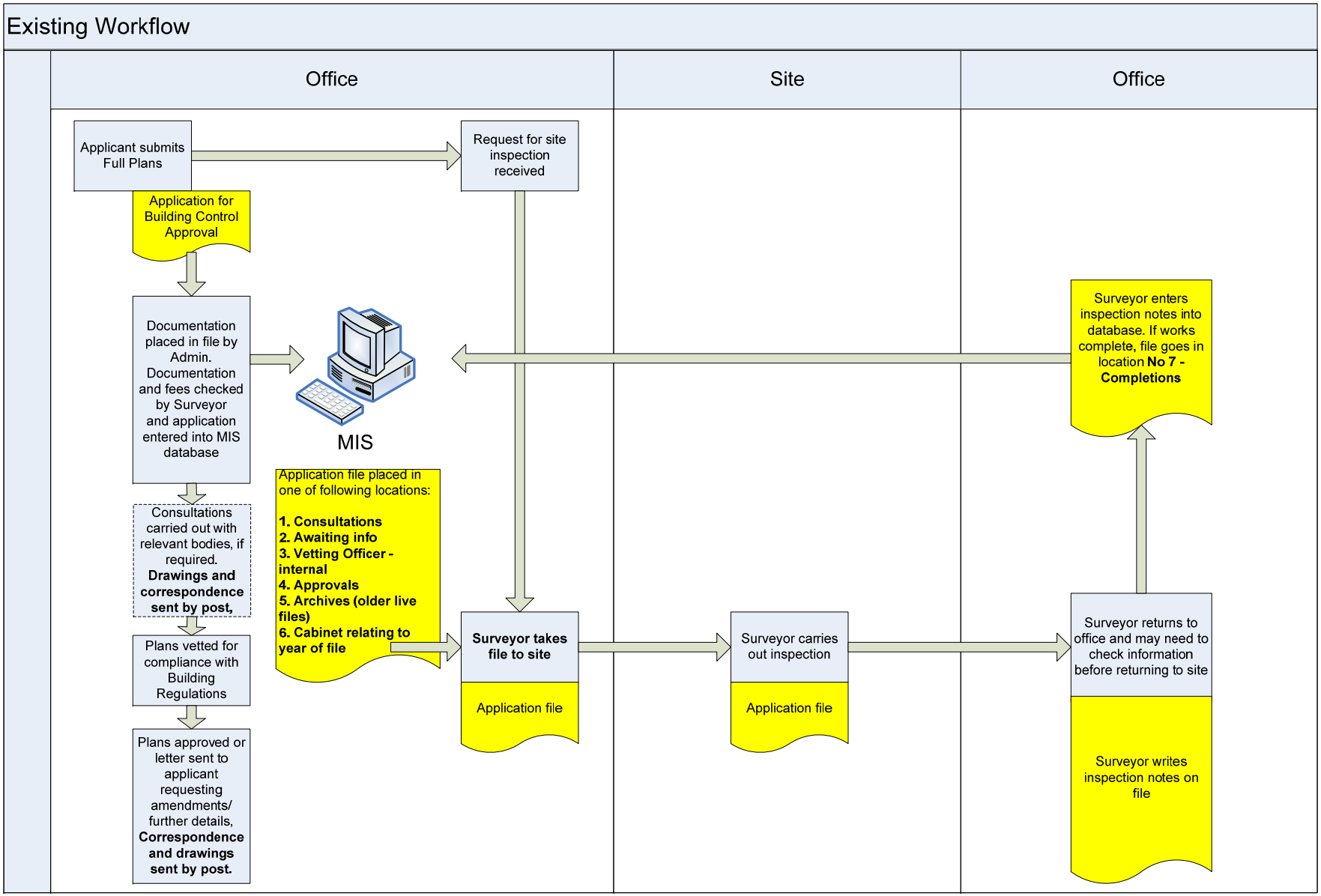

Figure 1 – Existing workflow

Project Initiation Document

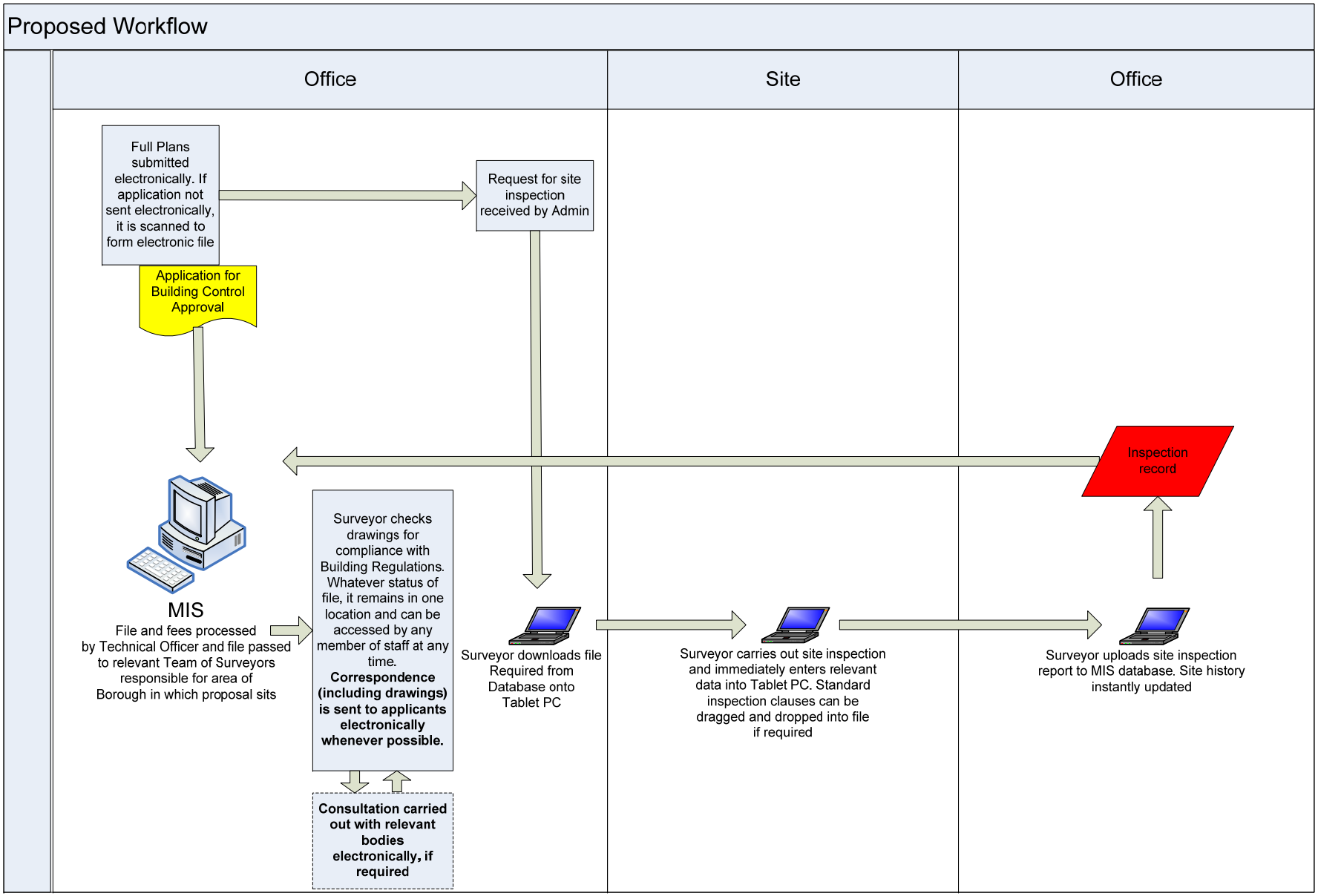

Figure 2 – Workflow following modernisation

3. Project Objectives and Scope

3.1 Project Objectives

The objectives of the project are to capture as much hard copy information as is possible (at least 6 year's worth of full-plans applications), place this information within relevant MIS Headway files, and install drawing viewing software, all within the financial constraints of the project. This work will enable the Council's Building Control service to move forward from completion of the project towards a paperless and e-enabled environment. The new electronic records need to be of sufficient quality to enable measurement of technical drawings.

Following the selection processes for scanning services and viewing software (which will both exceed the Contract Standing Orders threshold of £10,000), it is envisaged that the physical element of the project will take approximately 10 months to complete.

3.2 Project Scope

The project will include the following:

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- Procurement selection process for plan viewing software (although it is believed that only 2 service providers have the capability of providing the required product).
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4. Project Deliverables

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Set out new internal procedures	24/10/11	24/02/12
Training/familiarisation sessions for staff/consultees	27/02/12	30/04/12

It should be noted that investigations continue to take place in terms of ensuring that the project resources are optimised and that the above milestones may change (i.e. timescales for scanning/data capture may change if negotiations with suppliers are successful and the scope of this element can be extended). At the time of writing this document, the consultee usage rates of Telford & Wrekin Council's (lead authority for MIS Headway development) on-line drawing viewing facility is being monitored – rates of usage are currently low and this may affect any future decision as to whether to utilise such a facility as part of this project.

5. Project Approach

The Project Manager is an accredited PRINCE2 Practitioner and the project planning structure will follow the approach set out in Figure 3 below.

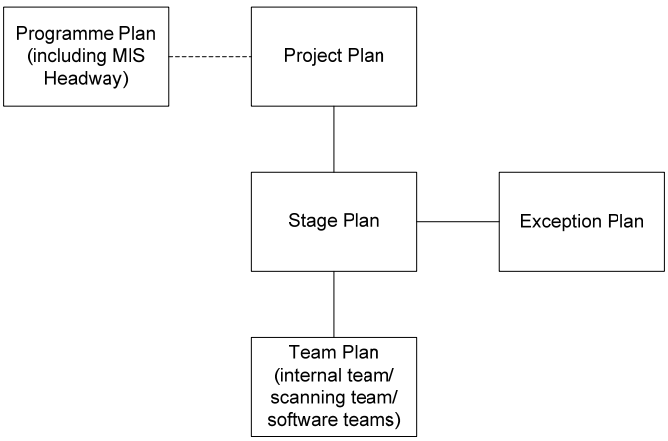

Figure 3 – PRINCE2 Plan Levels

The three levels of planning within the PRINCE2 approach reflect the needs of different levels of management involved in the project and take into account the fact that it is seldom possible plan an entire project in detail from the start due to the number of variables (i.e. risk factors, changing environments, etc).

Team Plans are optional within the PRINCE2 framework (usually depending upon project complexity) and although this is not a particularly complex project, it is felt that because of the different teams involved in its execution (MIS, internal resources, external scanning bureau, drawing viewing software provider), valid contributions can be made by these teams that will contribute to each stage of the project.

Where a Stage Plan exceeds is forecast to exceed its tolerances, an Exception Plan will be put forward to replace it.

6. Project Plan

The project plan is drawn together from the sequential requirements of the supplier and the resources available within the authority. A copy of the Project Plan is contained as Appendix A.

7. Organisation – Roles and Responsibilities

The project organisation is set out below in Figure 4 below.

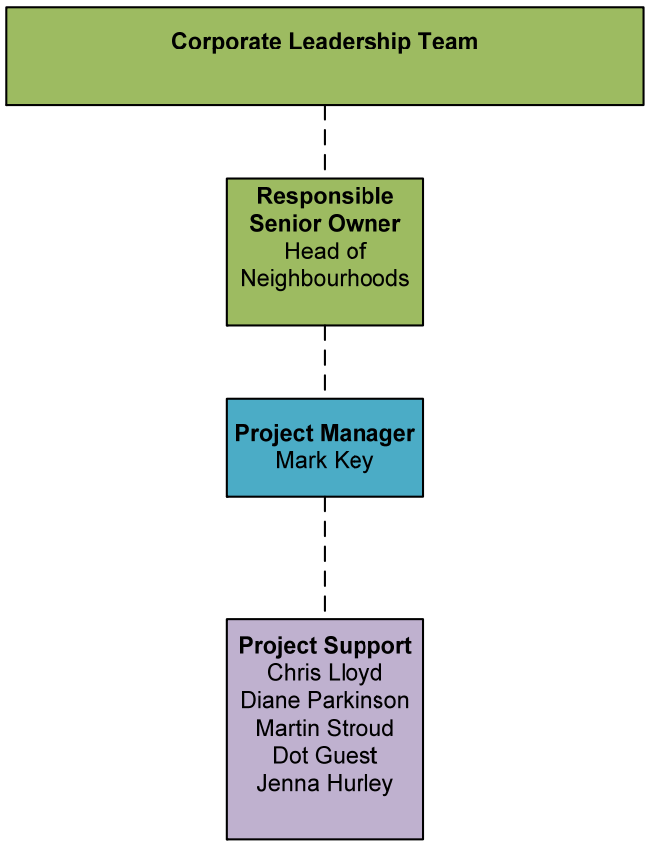

Figure 4 – Project Management Team

8. Communications

The success of the project will be heavily dependent on clear, consistent and frequent communication.

The key stakeholders are:

- Project Management Team
- Staff
- Suppliers
- Customers

The key aims in terms of communication will be:

- To ensure the vision is understood by all parties, at every stage of the programme
- To make the message relevant to different stakeholders
- To be clear at all times the reasons why certain decisions have been made
- To be sure that any communication is well timed and that it adds value
- To be clear about next steps and actions required by the audience
- To provide opportunities for 2-way communication, via consultation or feedback

Project Team Meetings will be held on a monthly basis. Where appropriate, the Project Manager will be expected to discuss the contents of meeting minutes from Project Team Meetings with the Building Control team and collate feedback to take forward to the next Project Team Meeting for appropriate action. A Highlight Report will be prepared by the Project Manager on a monthly basis (coinciding with project meetings), which will be made available to the Project Management Team.

If there is any event that may cause a deviation from the plan or budgeted costs, the Project Manager will issue an exception report and exception plan to Corporate Leadership Team. If the exception is a materialised risk, the countermeasures will be actioned.

Day-to-day communication may be on an ad-hoc basis depending on the position/status of the project. Any Project Issues must be relayed to the Project Manager. This can then be logged and assessed in the correct manner. If a Project Issue causes immediate detriment to the project the Project Manager will escalate it to Corporate Leadership Team.

Any changes are treated as types of Project Issues.

Changes can be:

- Request to change what the project is set to deliver
- Suggestion to make improvements to the selected solution
- Failure or failure forecast

If the Project Board has specific issues outside of the guidelines, detailed above, the escalation point should be the Executive. Again countermeasures detailed in the issue log will be initiated.

All internal and external information relating to the project is to be routed through the Project Manager.

9. Resource Requirements

In addition to the individuals highlighted earlier in the report, the following resources will be required (times/durations highlighted by the Project Plan):

- Rob Somerville (ICT Technical Officer) will be required to assist in setting up the web based consultation facility (drawing viewer)
- It is hoped that by utilising internal resources, the available financial resources can be used to maximum benefit in terms of data capture and process improvement. However, depending upon the building control workload of the Project Manager, additional project management/process improvement expertise may be utilised throughout the project. The input of Telford & Wrekin Council may be required, which may involve site visits by their project team to Whitehaven, or Copeland Borough Council's project team to Telford.

10. Project Costs

The costs associated with the project were set out in the original business case as follows:

- Project management/support costs = £6,000
- MIS interface for scanning purposes = £2,700
- Scanning bureau setup costs (including interface) = £4,800
- Scanning of at least 6 year's worth of full plans applications = £17,850
- Drawing viewing software = £15,350

Total project costs = **£46,700.**

11. Project Quality

Elements of PRINCE2 will be used as the project quality system for the implementation of the system, the workflow being (see Figure 5).

The following key quality expectations are that the products meets stakeholder requirements (i.e. reduce cost and amount of time to administer applications/consultations).

- **Acceptance Criteria:** Each element of the Project Plan will have to be tested. This is to ensure that each part of the plan works and that it interacts correctly with the plan as a whole, as sometimes what is written can be misinterpreted.
- **User Testing:** A formal test plan will be compiled with the input of the Project Manager and Project Support. Changes to current working practices will be tested fully before they are rolled out into a live environment.
- **Standards:** The main standard to be adhered to throughout the project lifecycle is the PRINCE2 project management methodology.
- **Key User Training:** It is important that key users are trained in all aspects of the project. These people can then be used as Mentors to help other users.
- **Change Control:** PRINCE 2 Change Control Technique will be used to ensure that changes are controlled during the project as shown in Figure 6.

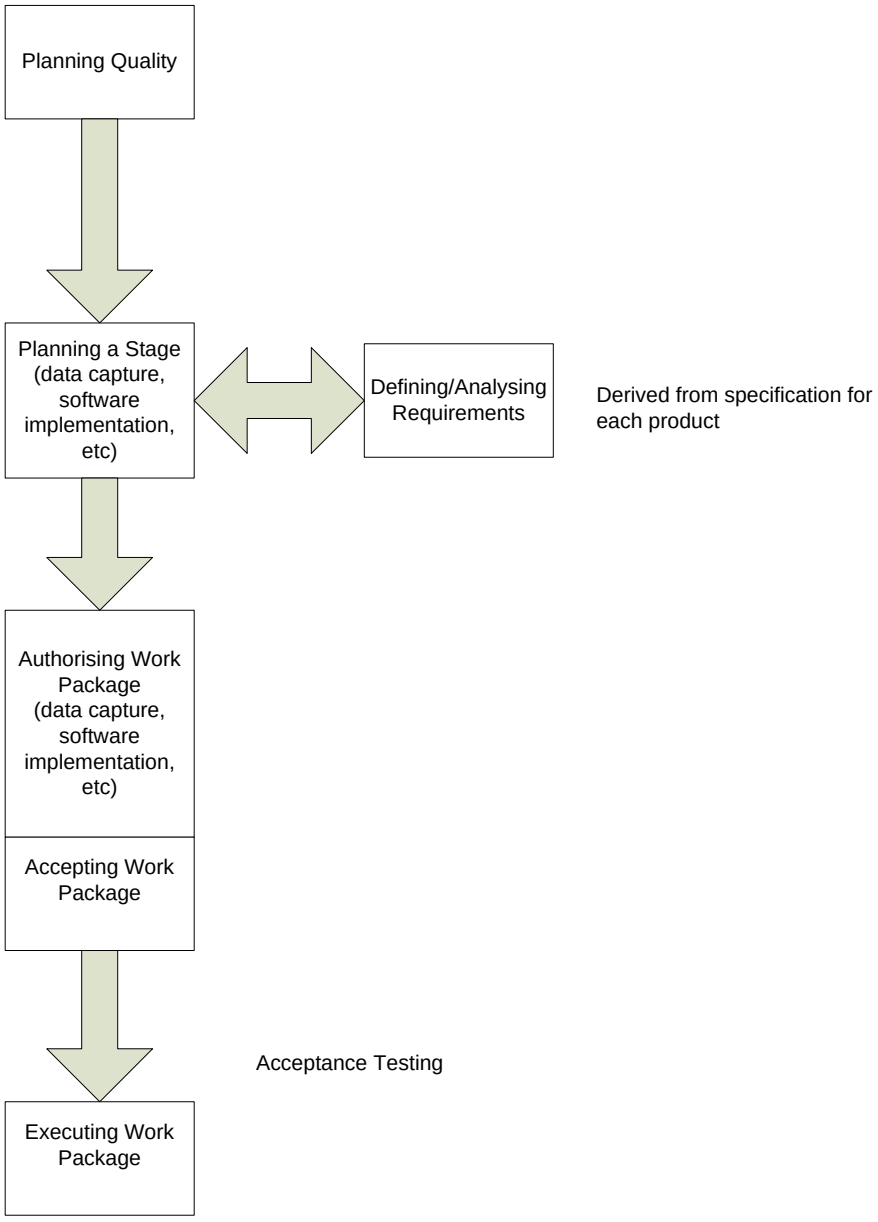

Figure 3 – Quality Workflow

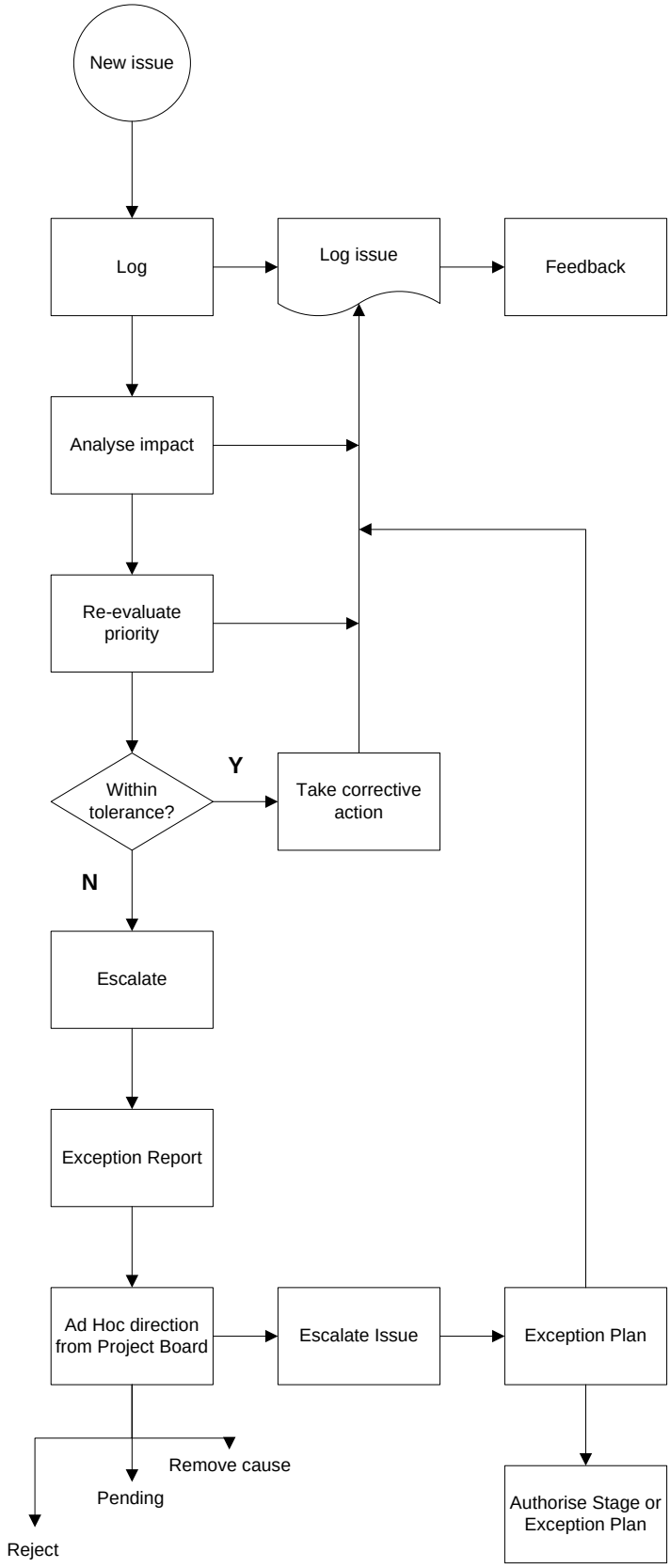

Figure 4 – Change Control

12. Project Controls

PRINCE2 Project Control methods will be applied for the duration of the project. However, due to the short duration of the work packages, only documents felt absolutely necessary will be produced. As a mechanism for determining exceptions to both pre-defined budget and planned timescales that Copeland Borough Council have determined, the Project Manager should inform Corporate Leadership Team, using an exception report, of any deviations from the tolerances detailed below:

- **Time Tolerance:** There is to be a (zero) time tolerance, on any planned project task, as set by Copeland Borough Council. Any deviation outside of this tolerance that cannot be clawed back by subsequent tasks must be escalated immediately to the Project Board.
- **Cost Tolerance:** A (zero) cost tolerance, on any planned or unplanned activity, has been set by Copeland Borough Council. Any deviation outside of these costs must be escalated immediately to the Project Board.

13. Risk Management

Below are listed the key risks, identified during production of the Outline Business Case. These have been registered in a detailed project risk log, which will be updated throughout the duration of the project.

Risk No.	Risk Description	Probability	Impact	Countermeasures
1	Loss of key staff	M	H	Detailed information to be prepared by key members of the Project Team as it progresses to allow successors to 'hit the ground running'. Issue to be addressed as soon as it becomes apparent.
2	Increase in workload	M	M	Resource requirements to be reviewed on an ongoing basis as part of monitoring process
3	Dislike of proposed new working methods	M	M	Project progress to be communicated on a regular basis and all stakeholders to be given the opportunity to put forward points and suggestions. All members of the Project Team have a responsibility to promote a positive approach to the project. Regular updates on progress being made by Telford & Wrekin to be provided to staff (thereby demonstrating success of planned changes in a live environment)
4	Scanning of information internally not possible due to demands on equipment from other business areas.	H	H	To be assessed when project commences. If this becomes a problem and the internal scanning of future applications following completion of the project is seen as the way forward, consideration could be given to the purchase of dedicated hardware from project resources.

Likelihood Key	Impact Key
High (H) – 90% Probability of risk being realised.	**High (H) -** Critical Path Risk. If realised the resulting issue would immediately impact cost / project delivery dates.
Medium (M) – 60% Probability of risk being realised.	**Medium (M)** – If realised the resulting issue would cause slippages in deliverable release dates and would have an immediate effect on overall cost /project delivery dates.
Low (L) – 50% Probability of risk being realised.	**Low (L) –** If realised the resulting issue would not impact delivery dates but could impact the quality of deliverables.

Appendix A

Project Plan (if viewed electronically, see separate MS Project file)