

D M S

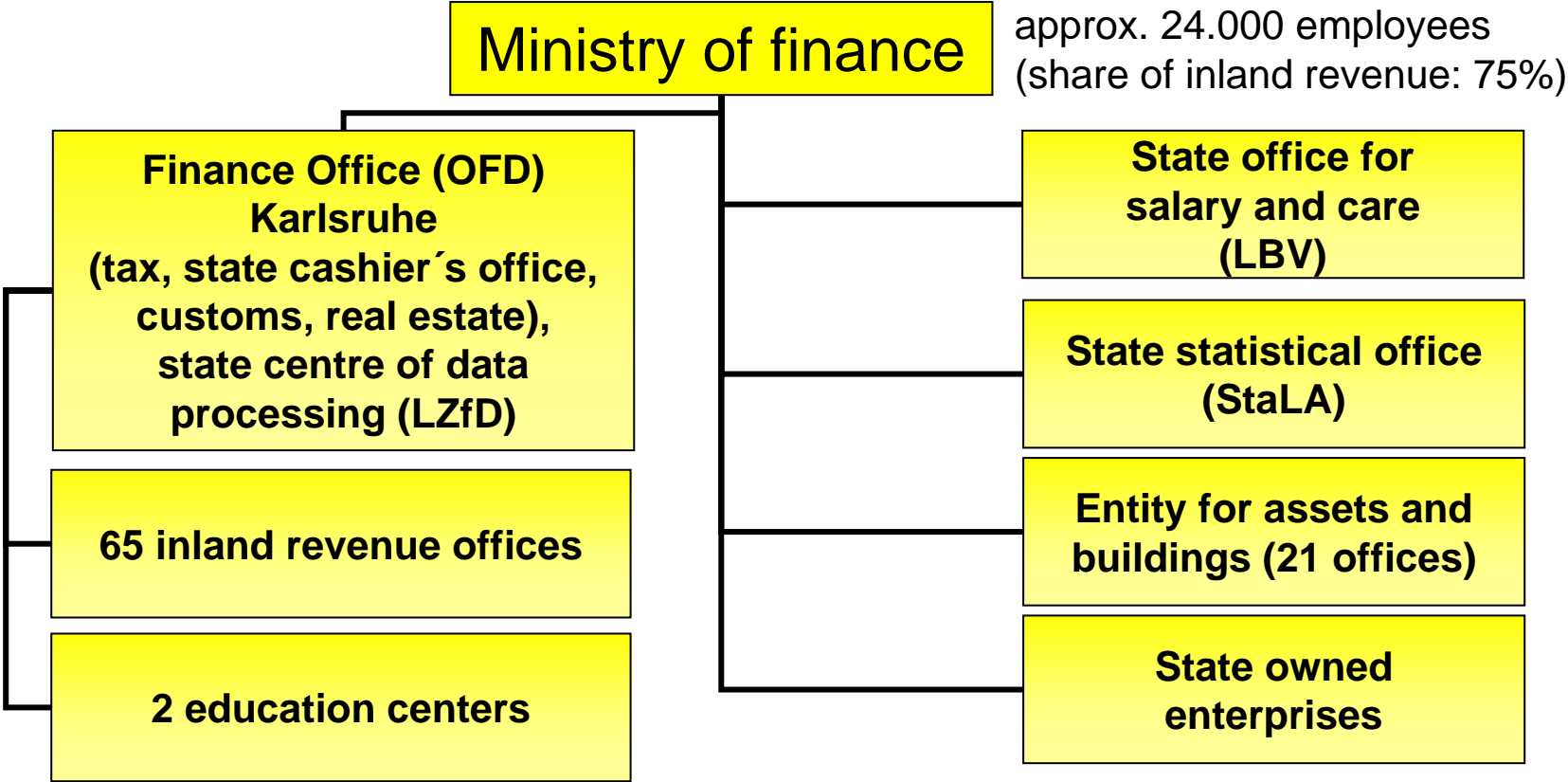
**The electronic archive with
document management functionality**

**Financial administration
Baden – Württemberg (BW)**

- Introduction, Budget
- Development of the project
- Basic conditions and requirements
- Project preparation
- Project organisation
- Solution
- Time schedule
- Return on investment (ROI)
- Conclusion
- Future steps

Organisational structure of financial administration of BW

DMS



IT-Budget

Fiscal year 2007

DMS

Budget of state Baden-Württemberg	~ 32.800 Mio €
Budget of the ministry of finance	~ 1.047 Mio €
IT budget of the state administration of Baden- Württemberg	~ 210 Mio €
IT budget of the financial administration Baden-Württemberg	~ 53 Mio €

Basic conditions

Initial situation

DMS

User

Tax administration
65 tax offices
16.000 users

LBV
1 location
800 users

modules			
1	2	3	4
Archiving HOST-data	Archiving PC-data	Archiving Data	Processing
50 Mio. pages / year	22 Mio. pages / year		
11 Mio. pages / year	2,5 Mio. pages / year	1,4 Mio. pages / year	0,5 Mio. pages / year
about 85 Millions DIN A4 pages per year			

Basic conditions

Project objective

DMS

Design and implementation
of an electronic archive
with DMS functionality
for users of the tax administration and
state office for salary and care (LBV)

Basic conditions *Requirements*

DMS

Fast access
to data

Easy handling

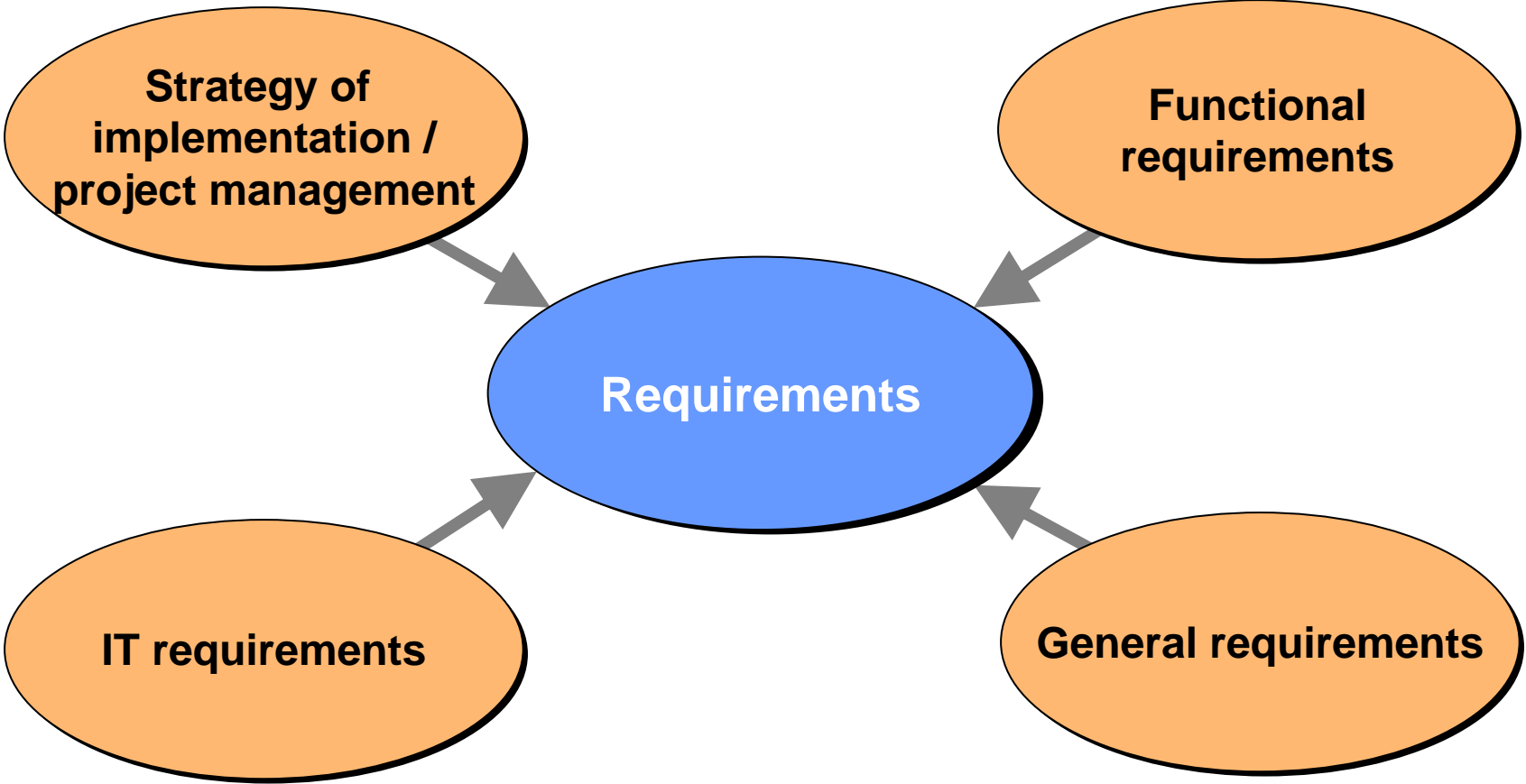
Web
technology

Central and local
data sources

Different
formats and
sizes of documents

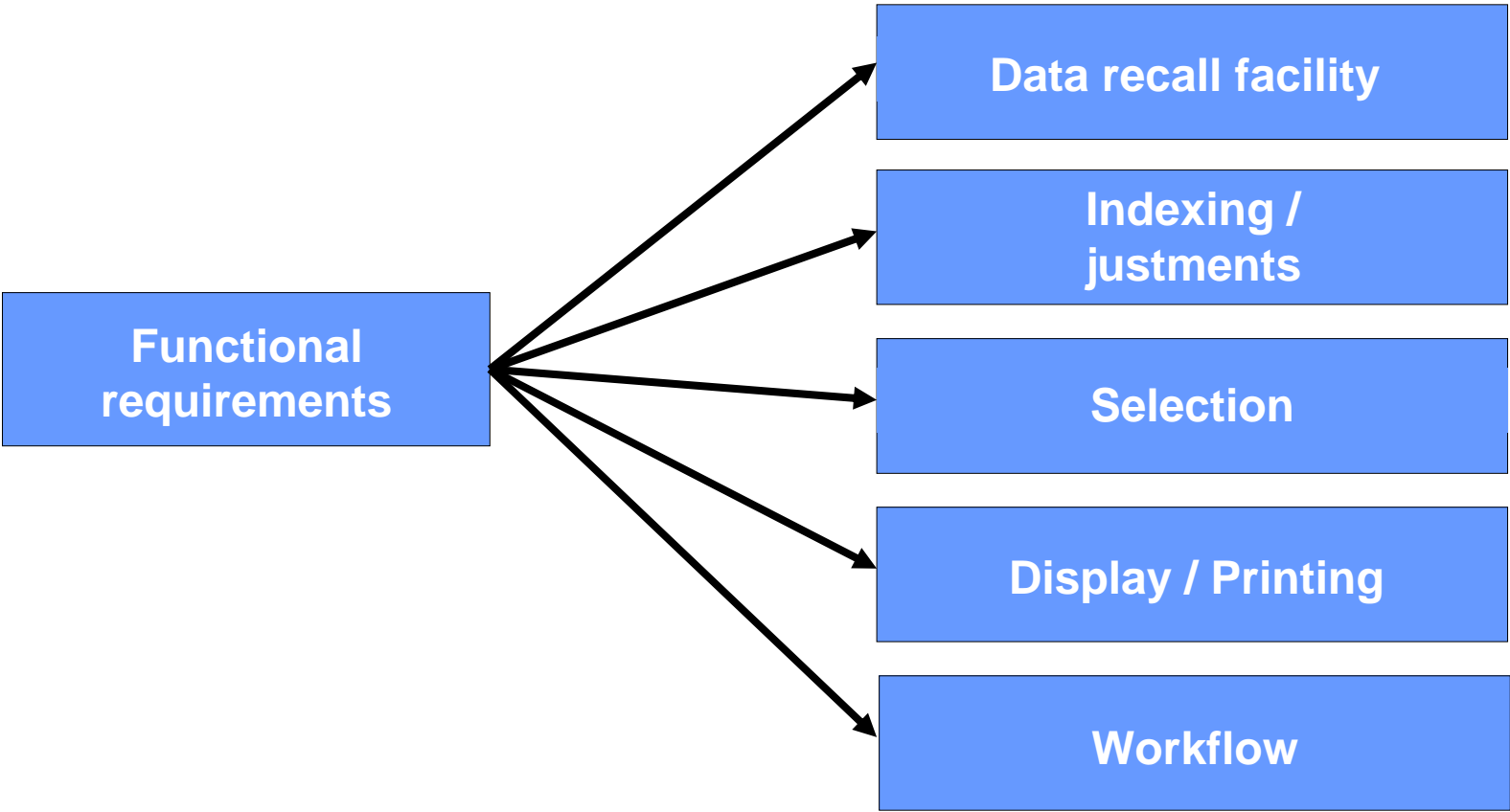
Requirements Overview

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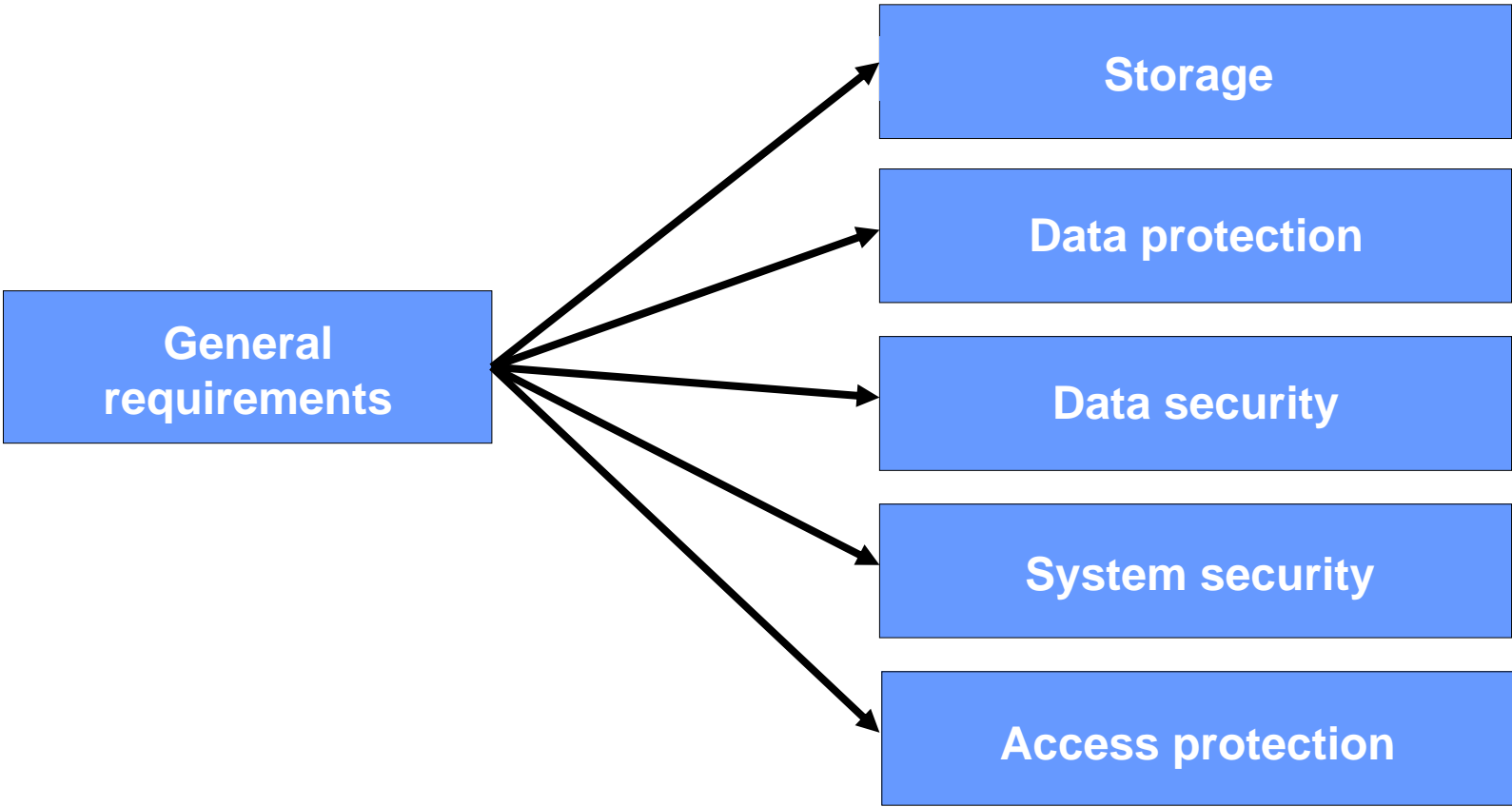
Functional requirements

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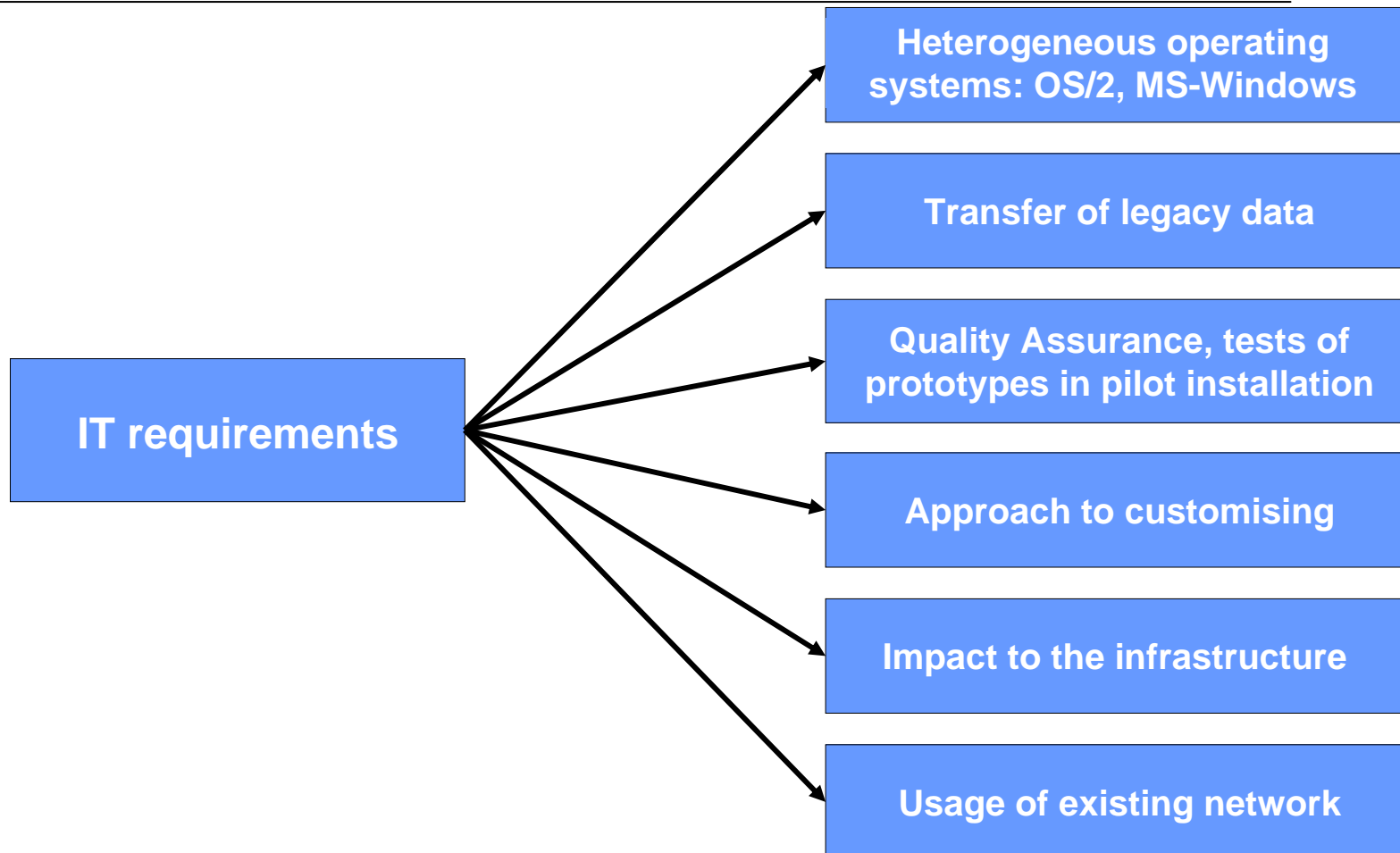
General requirements

DMS



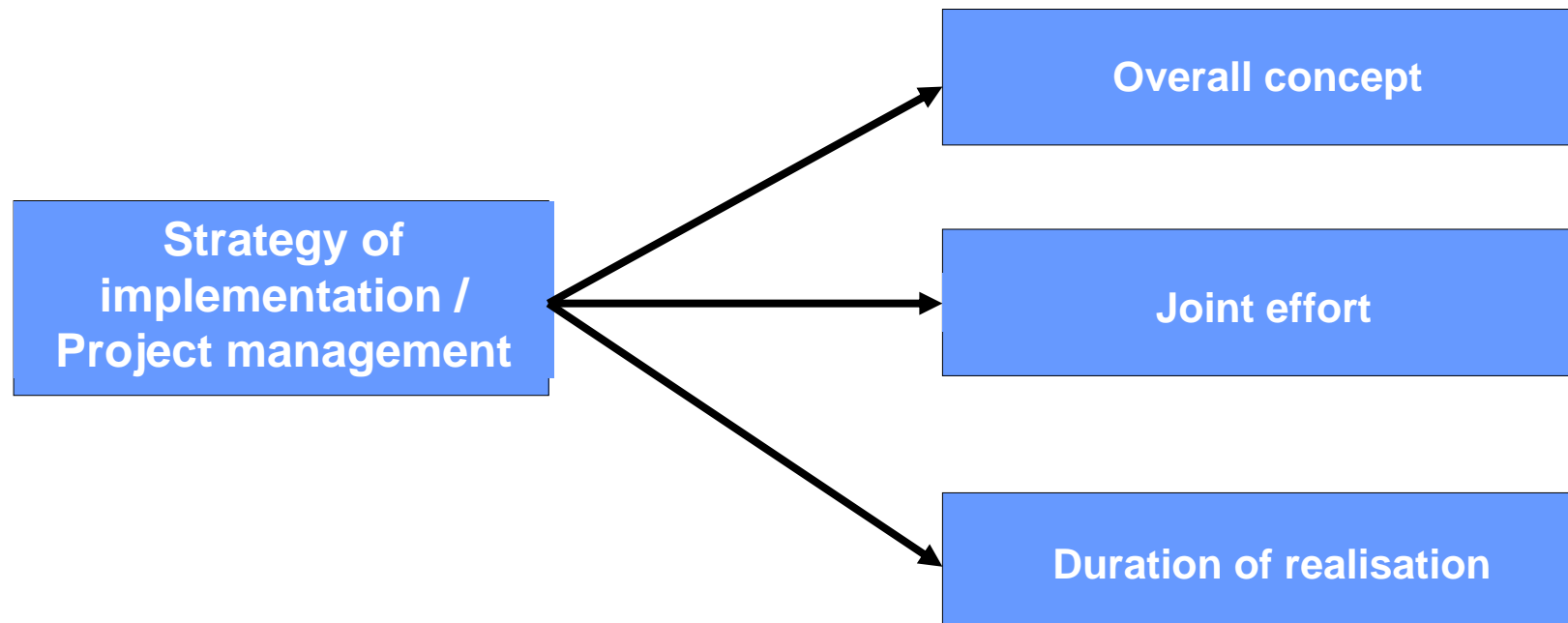
IT requirements

DMS



Strategy of implementation / Project management

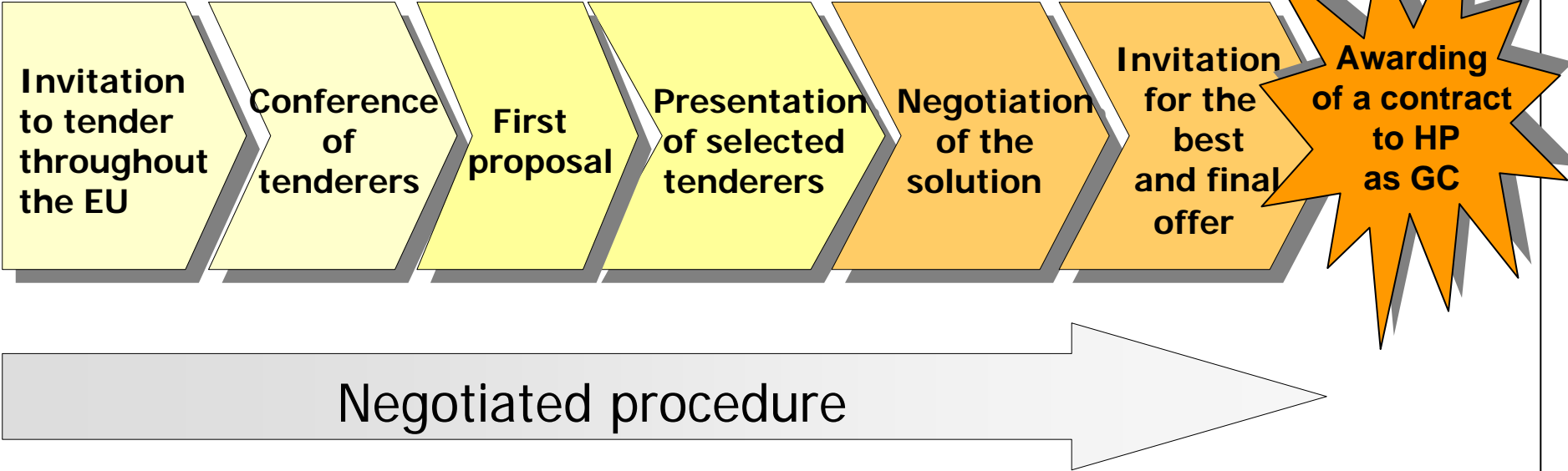
DMS



- Approval of top management (MOF) for the project
- Allocation of the required budget funds in time
- Involving of all affected parties at an early stage, particularly:
 - Finance department
 - Main staff council representative (HPR) / local staff council representation
 - State Data Protection Commissioner
- Selection of a capable general contractor (GC)

Selection of a general contractor (GC)

DMS



Project organisation

DMS

Project steering committee

IT-Management MOF, departments MOF
PM region and HP, Representative of HPR

Project-management (PM)

tax administration
BW

project manager of
contractor (HP)

Core Project team

Tax administration, salary
and care administration,
state computing
center (LZfD)

Deputy of PM
Consultants HP
Consultants SER

Extended Project team

Users of revenue
service, salary and care,
representatives of
application development,
service

additional experts

The solution *Concept*

DMS

(1)
Central,
web-based solution

(2)
Large cache area and
compact data format
for fast access

(3)
Highly available
solution

(4)
Fulfillment of the
special requirements of
the tax administration

The solution

(1) Central, web based solution

DMS

Benefits:

- Central operation and administration
- Optional outsourcing
- Central release changes
- Tests / troubleshooting with only few components
- No software distribution
- Few consequential costs
- Only one central test system
- Central extensibility
- More users
- more functionality
- decentralised upgrade possible later

Consequences

- High capacity central servers
- Use of commodity PCs

The solution

(2) Large Cache, compact document format

DMS

Benefits:

- Fast access to documents within the cache
- PDF is a compact format for CI and NCI-data
- PDF Viewer is available for free
- Text retrieval within a PDF document is possible (lists)

Consequences:

- Very large cache for 3 years of history
- All input (AFP, TIFF, Office data files, etc.) will be stored consistently in PDF format
- Conversion of different input formats to PDF is necessary

The solution

(3) Highly available solution

DMS

Benefits:

- Highly available system
- „Single point of failure“ reduced to a minimum
- Automatic failover to redundant components
- Breakdown of a component is generally not recognisable for the user

Consequences:

- Redundant hardware
- Redundant software
- Availability concept
- High demands on test, documentation und quality assurance
- Aligned backup/recovery concept

The solution

DMS

(4) Specific demands of the tax administration

- Storage of the documents as PDF
- Archiving of the documents within the „Elektronische Akte“ (electronic file)
- Access protection (legal fiscal secret), integration of DMS into the existing access protection system
- Fast rollout for 16.000 users
 - Easy handling
 - Train-the-trainer approach

Project Content

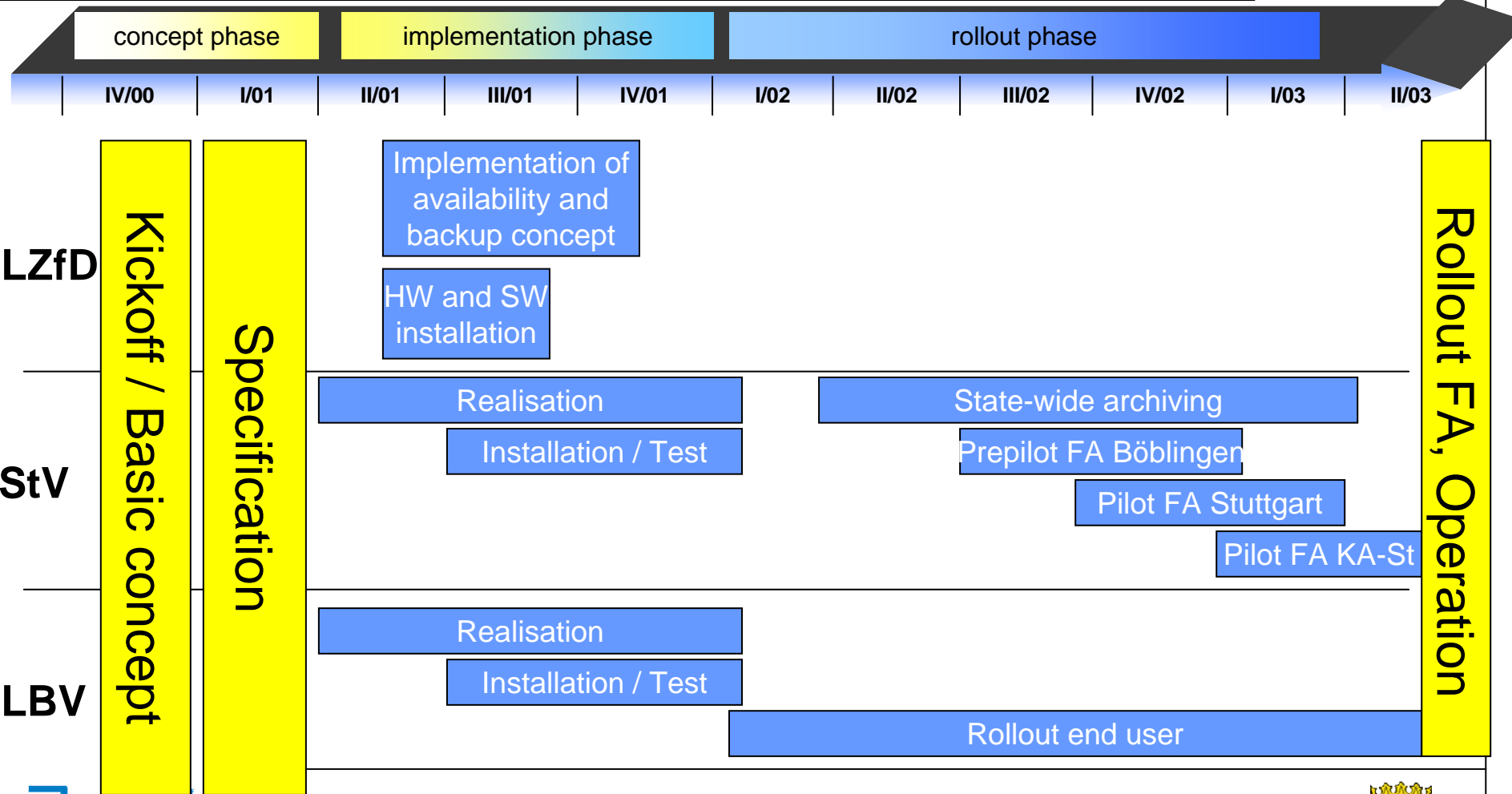
DMS

	Level 1	Level 2	Level 3	Level 4
<p>Tax administration</p> <p><i>Electronic file of the revenue offices</i></p>	<p>a) Archiving CI data</p> <p>b) Transfer of the legacy data of OSS</p>	<p>Archiving of office files</p>	<p>Archiving NCI data</p>	<p>Processing</p>
<p>LBV</p> <p><i>Salary and care file</i></p>	<p>a) Archiving CI data</p> <p>b) Archiving of HOST input masks</p>	<p>Archiving of office files</p>	<p>Archiving NCI data</p>	<p>Input documents and processing</p>



Time Schedule

DMS



Return On Investment Costs

DMS

Non-recurring costs for project incl. personnel costs	8.750.000 €
Running costs p.a. incl. support (until 2003)	550.000 €
Running costs p.a. incl. support from 2004	650.000 €

Return On Investment Savings

DMS

	Salary and care (LBV)	Printing and mail order centre, data centre	Inland revenue offices	Sum
Running material costs / Material cost savings		143.928	13.386	157.314
Running personnel costs / Personnel cost savings	1.083.415	87.933	2.785.925	3.957.273
Sum				4.114.587 € p.a.

Return On Investment *Results*

DMS

→ ROI after 2,5 years

investment + running costs for the first 2,5 years = about 10,2 Mio.

annual savings about 4,1 Mio

→ ROI 2,5 years

→ Since 2004 about 3,5 Mio. € annual cost savings

annual savings 4,1 Mio.

– annual running costs about 0,6 Mio.

→ 3,5 Mio.

- ✓ Successful and economical project
- ✓ The contractor HP was awarded by suggestion of MOF and decision of the state government as „bester IuK-Dienstleister“ (best IT service provider of the year 2001) :
 - Goal oriented project management
 - Technical competence
 - Team spirit, cooperative and harmonic proceeding
 - High rationalisation potential
 - Software is in use at thousands of PCs
- ✓ Success factor was the combination of know-how and methods from the IT industry with competence and business models of the tax authorities

- **Tax administration:**

- The state Baden-Württemberg works presently on the project SESAM. This project is part of the overall project KONSENS, a fundamental new approach of a joint development and operation of tax IT services for all 16 states within Germany. SESAM includes scanning and automatic processing of the tax declaration and the archiving of incoming tax documents which is accomplished using the existing DMS.

- **Salary and care (LBV):**

- The LBV has implemented processing of incoming documents and general business workflows as an enhancement of the current DMS system.

- **Future:**

- The University of Konstanz is going to use the existing DMS to implement their document management requirements
- The ministry for education is going to implement the personal files for 125.000 teachers on base of the existing DMS

