

Document Management and Scanning solution Case studies

- London Borough of Barnet
- The Charity Commission
- The National Archives



Barnet is the second largest borough in London, with around 3,000 employees in total. Their Document Management implementation was primarily driven by the need to keep electronic social care records (ESCR) within Childrens Services. As in a number of other departments, the main tool for Childrens Services' staff was their case management system, so the decision was taken to implement their Document Management system, Wisdom, as a back end document store.

This complex project involved integration with a number of systems: case management systems for Adults Services (SWIFT), Children's Services (ICS), and Environmental Health cases (ACOLAID), as well as an HR system (SAP). Delivery to end-users required business analysis of the existing processes in many areas, in order to understand impact and optimise the solution, and extensive training and support through floorwalking was provided.

In addition, a scanning solution was developed with the aim of achieving legal admissibility for scanned documents, scanning directly into the document store.

By the end of the first phase, roll-out was completed to a total of 750 users and a version upgrade of the system had been achieved.

Outcome

- o Users work in the context of the software they are used to.
- o A multi-level scanning capability was developed, with the establishment of a central post room, as well as a simple local scanning capability for users.
- o A programme for back scanning and paper disposal was established.
- o An electronic Post Room was set up.



The Charity Commission

The Charity Commission is the regulator and registrar for charities in England and Wales. The main office is in central London, and there are regional offices in Liverpool, Taunton and Newport. The implementation of an Electronic Document and Records Management system (EDRMS) for the Commission consisted of 3 streams:

- Records Management stream, to define policies and procedures for the organisation and to design a single eGIF-compliant file plan for document storage.
- Technical stream, to provide a configured software solution, a scanning solution, and the associated resilient hardware platform.
- Change Management stream, to ensure effective training, support both during and after the project, and communication.

Responsibility for record keeping was devolved to all users and a new super user role, the Local Information Manager (LIM), defined to devolve support and key administrative tasks to divisional level. Roll-out was to the whole organisation (650 users).

Outcome

- o From predominantly paper-based working within the operational workforce, who represent approximately 60% of the organisation, electronic document sharing was achieved for all new cases.
- o After a prolonged procurement phase which included the establishment of a Model Office, implementation was achieved in 14 months, including a 3 month long 80-user pilot.
- o Levels of scanning provision were defined and the initial stages deployed, with all scanned documents text-indexed and automatically routed to the users desktop.
- o A compliance programme was founded to ensure adherence to required record management practice and use of the EDRMS for all electronic documents except acknowledged exceptions.
- o Accessibility was addressed for a number of visually impaired users, with use of accessibility software integrated with the EDRMS software.



The National Archives

The National Archives keeps the record archive for UK central government and the courts of law, with much of it made available to the public. The collection is one of the largest in the world and spans the period from the 11th century to the present day. TNA are also responsible for defining records management standards on behalf of government and for monitoring progress on the introduction of EDRMS systems. It was also one of the first government departments to deploy such a system. TNA chose to implement the Objective package and the project included data migration from an earlier small-scale installation of another EDRMS, TRIM.

Because TNA is very diverse, with staff having roles as different as historic document restoration and web site construction, it was by no means automatic that all staff would be included as EDRMS users. Analysis of training needs and a pilot implementation helped clarify who would require access. In total, the business change programme delivered tool and business process training to 600 users on both the main site in Kew and at the Family Record Centre in Islington. In fact the project took place during the interval when the National Archives was being created through the merging of the Historical Manuscripts Commission and the old Public Records Office (PRO), so the original project was extended to include HMC staff.

Outcome

- o The implementation was managed to a tight one year time frame, allowing The National Archives to demonstrate achievement of the Modernising Government target for creating all new records electronically.
- o For effective filing and retrieval, an organisation-wide file plan was developed, using Keyword AAA nomenclature.
- o Procedures and technology for the move away from paper-based records were introduced, including the ability to meet the legal requirements of the Data Protection and Freedom of Information acts (DPA & FOI).
- o Training and roll-out was given to successive divisions of the organisation, with local support provided for first use of the tool through a team of floor walkers.
- o An XML format export capability was developed, compatible with TNA's newly introduced Digital Archive.

- o Post-project support was carefully planned, and included provision for the ongoing technical support and training of new staff, to ensure continued and effective use of the system.

- o A full benefits delivery plan was developed to permit the tracking of delivery against benefits identified in the business case.