

ELECTRONIC DOCUMENT & RECORDS MANAGEMENT



Administration Policy
Shared Services
2012



Outline

- Background
- What is EDRMS?
- Implementation Strategies
- Implementation Approach
- Change Management Approach
- Expected infrastructure impacts?

Background

- DEC's current internal practices in information management are unsustainable given the volume of information being managed:
- Digital storage has grown from 22 Terabytes in 2006, to 75 Terabytes in 2007, and is expected to reach a forecasted 1500 Terabytes (1.5+ Petabytes) by 2012
 - Paper Records stored on site and off-site:
 - DEC occupies some 22km of off-site storage at the Government Records Repository and other commercial storage providers, costing over \$600,000 per year.
 - DEC on-site storage was estimated in 2009 to cost \$6M a year.

What is EDRMS?

- Can be defined in the public sector as:

A range of co-ordinated strategies and tools used to establish a more disciplined approach to information management to ensure long term effective use of limited resources, improve service delivery and meet compliance requirements.

These strategies and tools support the life cycle of an information 'object' (eg a document) and also provide for the preservation of evidence of business transactions (records).

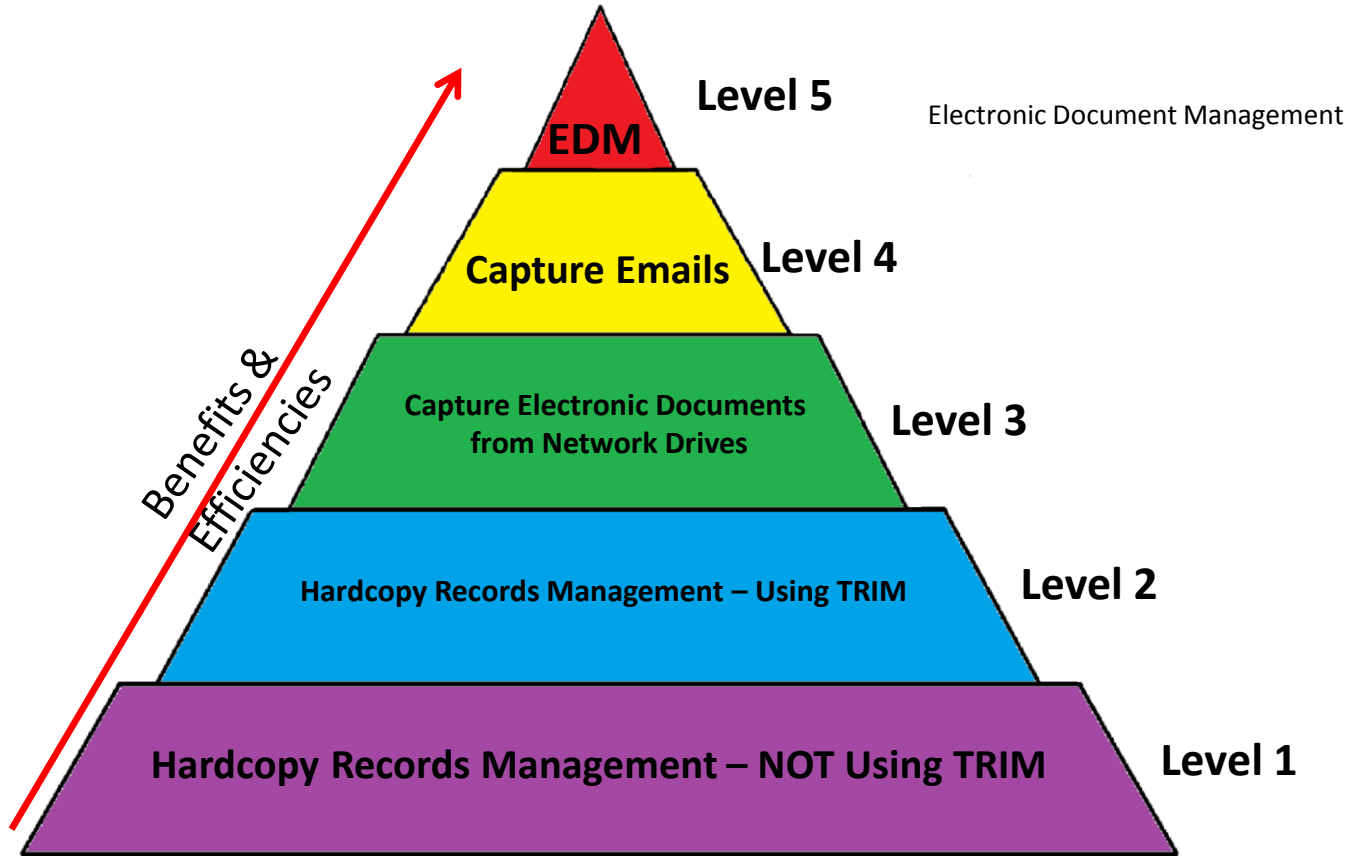
Project Objectives



Implementation Strategies

1. **Focus on High Risk Business Areas:**
 - Human Resources and Legal Directorate and Student Services
 - Comply with NSW Govt [standard on digital recordkeeping](#)
 - by 30 June 2012 high risk business processes in which digital records must be captured are in digital recordkeeping systems
2. **EDRMS Maturity Model and Best Practice:**
 - Practical approach that considers constraints
 - Maturity Model to assist business units (see next slide)
3. **Establish EDRMS Centre of Excellence (CoE):**
 - advises and assists DEC business units
 - how to adopt to EDRMS, achieving records compliance
 - gaining business efficiencies, striving for best practice

EDRMS Maturity Model



Implementation Strategies

4. Establish EDRMS Community of Practice (CoP)
 - business unit reps to assist & support each other:
 - business ideas, practices and methods, low-level support, marketing and communications, etc
 - encourages collaboration and sharing of knowledge
5. Develop Marketing and Communications:
 - marketing materials: 'brochure', information sessions, case studies
 - Communications Plan

Implementation Approach

- Stage 1: Preparation
- Stage 2: Project Initiation
- Stage 3: Development
- Stage 4: Pilot (including reviews)
- Stage 5: Extension for each business unit:
 - Step 1: Software Accessibility: rollout of TRIM
 - Step 2: Business Unit Implementation
engagement, planning, mapping, implementation and training
 - Step 3: Business Unit Review
lessons learned, issues, metrics, case studies
- Stage 6: Final review (June 2013)

Project milestones

Stage	Target start date	Target end date	Stage description
Preparatory stage	Prior to 1/07/09	1/07/09	Treasury Business Case preparation and approval by DET Executive and NSW Treasury; initial project planning.
Initiation stage	1/07/09	28/02/10	Project establishment; analysis, design and detailed planning of project; formal launch by Project Control Group.
Development stage	1/11/09	30/09/11	Development of EDRMS policies, procedures and training and support materials; development and testing of web interface for EDRMS; identification of, and initiation of work on, other developments needed such as interfaces with other systems.
Pilot stage	1/07/09	28/02/11	Piloting and review of EDRMS in sample State Office, Region and Institute business areas.
Extension stage	01/08/11	31/05/13	Making EDRMS available on a staged basis across State Offices, Regions and Institutes.
Final review stage	1/06/12	30/06/13	Final review of project.

Implementation To Date and Continuing

- A phased gradual expansion to new business areas, with expected user increase of 80 a month, or 800-1000 a year, to date and continuing over next 5 years
- Ongoing support including face to face user training, help desk, change management and comprehensive documentation/help cards/intranet website will also be delivered to new business areas on the same phased basis – on going
- Architecture/infrastructure documentation and Disaster Recovery Plan already completed February 2012 with ITD and third party provider advice and assistance, impacts subject to ongoing monitoring
- TRIM7 upgrade already completed May 2012, with ITD and third party provider advice and assistance

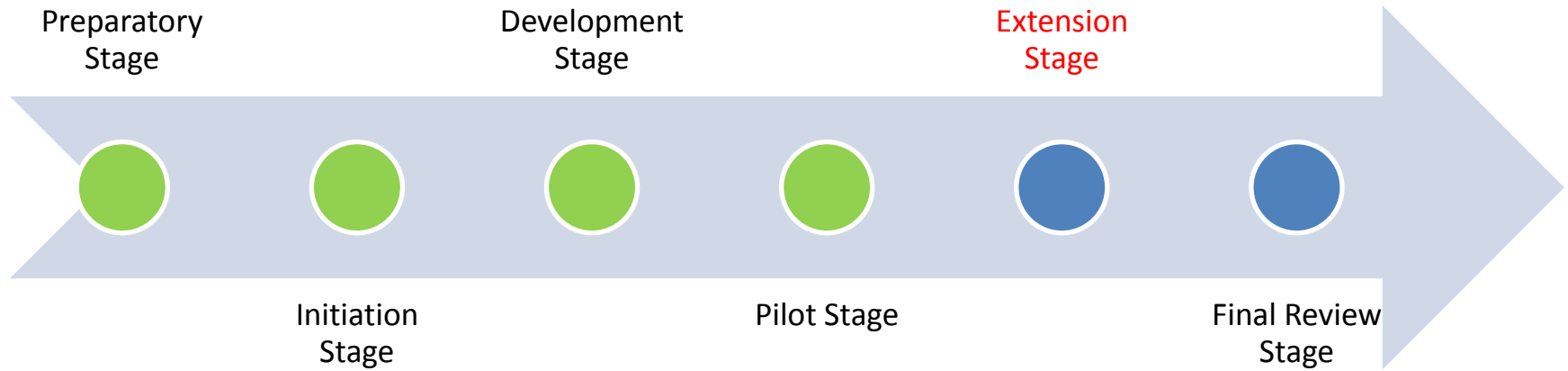
Change Management Approach

- **Governance**
 - clear responsibilities
- **Communication**
 - regular, timely, clear and relevant
 - indicate the benefits of EDRMS
- **Training**
 - targeted, timely, flexible delivery
 - supports Maturity Model level
- **Management Commitment**
 - ‘Sponsors’
- **Nomination of ‘Champions’**
 - business reps who encourage uptake
 - join Community of Practice

Responsibilities (Who is doing What?)

	Administrative Services	ITD	Third Party Providers	Business Areas
Project Management and Delivery	✓			
Project Closure and Review	✓			
User Training	✓		✓	✓
Documentation/Help cards/Website	✓		✓	✓
TRIM Helpdesk	✓			
TRIM Licences Purchase/Maintenance	✓			
TRIM Maintenance	✓		✓	
TRIM Upgrade	✓	✓	✓	✓
Change Management	✓	✓	✓	✓
Community of Practice	✓		✓	✓
DEC Infrastructure Maintenance	✓	✓	✓	

High Level Project Timeline



Forecasted Implementation Growth

- Currently 6,000+ TRIM users of whom 35% - 45% have already piloted digital recordkeeping
- TRIM Licences already purchased for up to 10,001 users
- Project funding ends June 2013 by which time infrastructure and processes need to be in place
- Phased gradual expansion will continue beyond 2013 until all 10,000 DEC corporate/regional/institute administrative and educational support staff can use as required and DEC can fully comply with State Records requirements
- Regular disposal [i.e. legal destruction] of digital records will start to have impact after 2014/15 so growth of storage will begin to slow down
- Use of TRIM Web interface (to be accessed through DEC Portal) will begin to be piloted November 2012 and then gradually extended beyond that

INFRASTRUCTURE IMPACTS

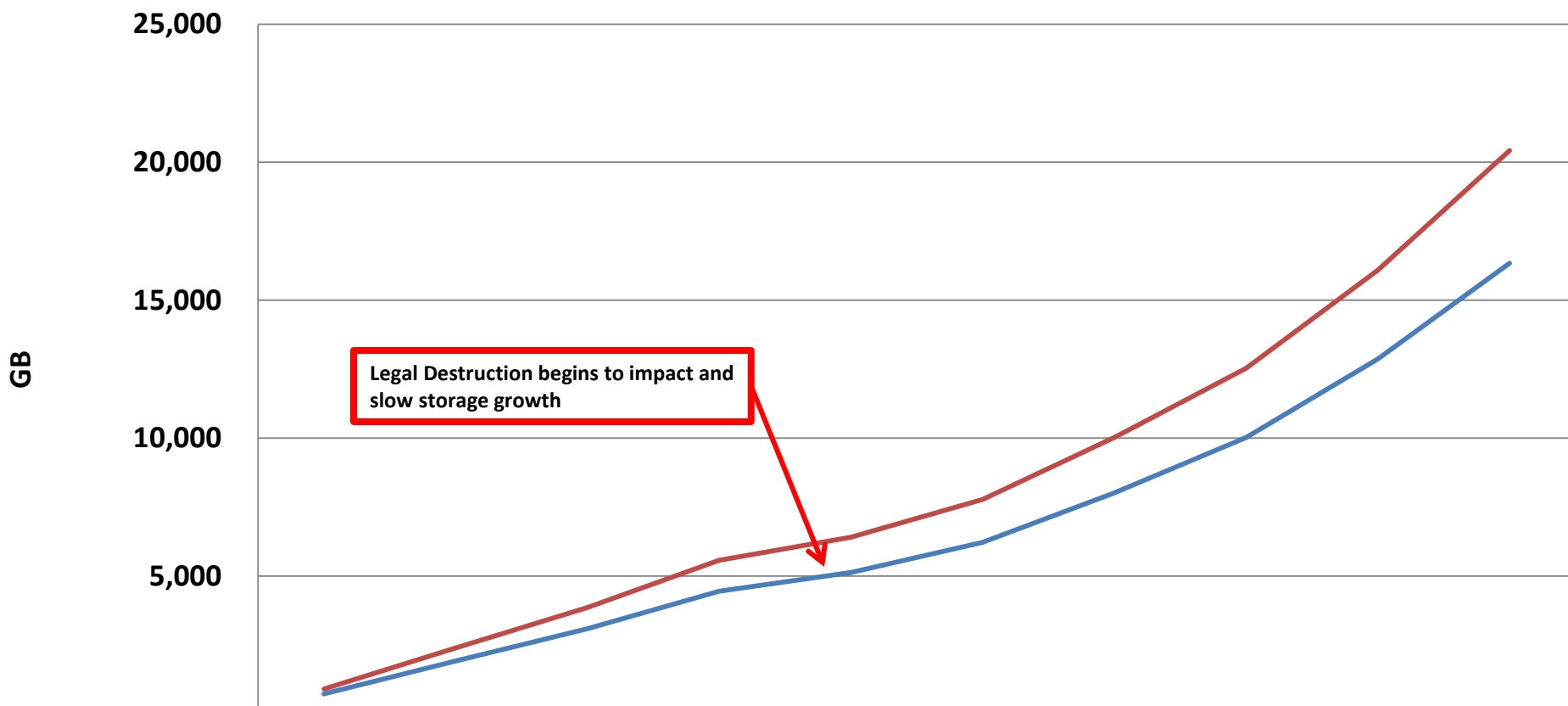
What are the expected infrastructure impacts?

Infrastructure Impacts and Dependencies

- **Storage**
 - Gradual increase in requirement for storage space
 - Storage repository must be large enough to maintain 25% 'free drive space' for optimal performance
 - Gradual increase in the metadata capture (Oracle database)
 - Disposal [legal destruction] of digital records will start to impact by 2014/15 (year 5), so storage growth will begin to slow down
 - It is also expected that the size of email boxes and shared drives will decrease as documents are retained within TRIM
 - Documents are assumed at 1.5mb each
- **Network**
 - Gradual increase in traffic to and from TRIM over time, however traffic to and from shared network drives should reduce as records will be accessed from TRIM, not shared drives
 - TRIM traffic will be limited, mostly retrieval of now semi-active records
 - Minimal network impact but bandwidth must be sufficient to provide acceptable response time
- **Hardware**
 - Use of existing TRIM servers (future expansion) and additional storage
- **Software**
 - Upgrade of TRIM Software to latest version as needed

Projected Storage Impact

Storage Space



	2010/2011	2011/2012	2012/2013	2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
— Storage Space (Gb)	730	1,918	3,092	4,454	5,126	6,225	8,014	10,023	12,869	16,340
— Maintenance Inc.	912	2,398	3,865	5,568	6,407	7,781	10,018	12,529	16,086	20,424

* Figures and graphs do not include any current records in TRIM or storage use

HUMAN RESOURCES DIRECTORATE

SCANNING PILOT

Michael Cordeiro

HUMAN RESOURCES DIRECTORATE

- Staffing of NSW public schools
- Management of salary, leave and other benefits
- Provision of advice to staff in relation to entitlements
- Workforce planning and development of human resources plans and programs

SCANNING PILOT ...

RECORDS MANAGEMENT PLAN

- Develop a standard Human Resource Directorate approach to records management
- Review current Records Management practices
- Streamlining Workflow
- Review of files and paperwork stored at GRR
- Research new technologies

SCANNING PILOT ...

THE SCANNING PROJECT

RECRUITMENT



STAFFING



EMPLOYEE SERVICE CENTRES

SCANNING PILOT ...

PROJECT SUCCESSES

- A strong project team with a passion for excellence and continuous improvement
- A systematic measured rollout one area at a time
- Fully testing the software and creation of customised technical solutions
- Automation of forms and templates

PROJECT SUCCESSES

- Conducting a needs analysis
- Actively implementing change management initiatives
- Planned quality assurance checks, reviews
- Rollout did not commence until the areas were deemed ready and timelines agreed to by all parties

PROJECT SUCCESSES

- Senior HR management as well as staff at all levels are engaged in the process
- Staff acknowledge that they are responsible for managing their own records promptly and accurately whereas in the past they have considered it as a peripheral task that can be done later
- Having developed a home grown product staff are empowered to suggest ways that the process can be streamlined and improved further and the unit has the ability to make those changes quickly.

PROJECT SUCCESSES

- The rigour applied to the titling in the digitisation project had meant that human resource management staff are beginning to apply more rigorous titling than other digital records in the EDRMS
- Records staff now have a higher profile, a positive learning environment and considerably better skills and experience so they too are feeling empowered.



DOCUMENT SCANNING PROJECT



Human Resources Directorate
School Staffing - Support Unit
Records
2012

Scanning project objectives

- **OBJECTIVES**

- Make the Scanning process as simple as possible
- Reduce the need of human intervention where ever possible
- Prepopulate the document title and other metadata from the scanning template or form
- Utilise and reuse any existing data where ever possible
- Utilise any existing forms where ever possible and update with minimal scanning requirements
- Ensure the scanning process doesn't create any additional work for scanning staff

Scanning Software used

- **TRAPEZE CAPTURE FOR HP TRIM**

- Trapeze capture is a batch capture scanning solution
- Fully Integrates with TRIM
- Looks Like TRIM and is easy to use
- Minimum of two development releases each year

Some features include but not limited to.

- Document profiling
- OCR including drag and drop
- Rotate pages, move, deleting and splitting documents
- Ability to save the scan for later
- Validate TRIM data before sending to create
- Multi functional device compatible (MFD)

- Support
- Old fashion customer service
- Listens to customers about product enhancements and provides them as normal product updates

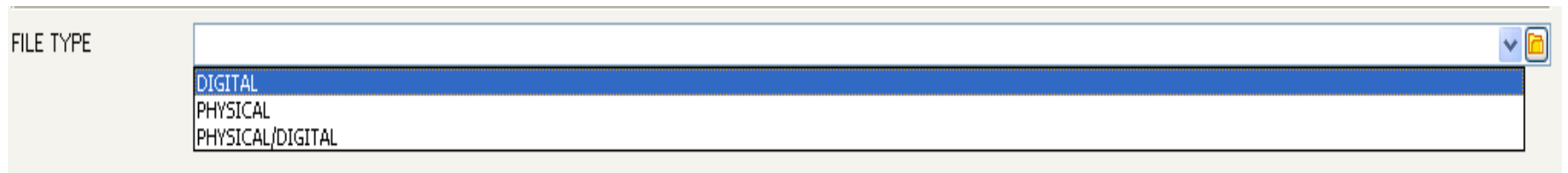


Is this a real file I can hold

How do I know if I can request this file from the records unit?

One of the first issues encountered with the scanning of new documents into our records Management system (TRIM), Was how to clearly identify to our TRIM users which files were digital and physical.

- To simplify things this was broken down into 3 categories on the TRIM file levels.
- By incorporating the below rule, files are easily identifiable and searchable in TRIM by each category.



A screenshot of a web interface showing a dropdown menu for 'FILE TYPE'. The menu is open, displaying three options: 'DIGITAL', 'PHYSICAL', and 'PHYSICAL/DIGITAL'. The 'DIGITAL' option is currently selected and highlighted in blue. The dropdown is located on the right side of a light-colored bar with the text 'FILE TYPE' on the left.

DIGITAL = Digital file only no physical file created (scanned images)

PHYSICAL = Physical file only (file cover file) Not digital images

PHYSICAL/DIGITAL = A physical file which also has Digital scanned images attached to it in trim

Forms / Templates for document scanning

The Creation of new forms and templates for the automated population of document titles, is one of the key successes of our scanning project.

The approach adopted when reusing old forms for scanning was to:.

- Integrate the required scanning fields into existing forms where possible by slightly changing the form
- **The main challenges when creating new forms or using existing forms was to**
 - Understand how particular fonts react and how they scan with OCR
 - Use uppercase fonts where possible to reduce scanning errors
 - Use barcodes where possible as accuracy is higher
 - Utilise the existing form data as much as possible
 - If the data existed reuse it, and ensure a process was created where we do not re-enter it
 - Reduce the labour in creating and completing forms / Templates
 - Ensure form / Templates are simple to complete and understand
 - Lock the form and create data valuation where possible to ensure consistency and quality
 - Understanding of how the form will print out on different printers and printer drivers
 - Provide enough spacing around terms being extracted
 - Template version control and security
 - Creating the form with printer gutter / float in mind

Challenges along the way

A lot of unexpected challenges and problems, some include:

- Skip blank page not working due page bleed through – e.g. ink stamps
- Skip blank page not working due to dirty scanner
- Superseded scanner models
- A model of scanner not seeing one page colour at all and deleting it
- Dirty scanners creating scanning definition errors
- The slash character being misinterpreted when OCR-ed
- Templates and documents printing differently on printers
- 32bit and 64bit printer drivers printing differently
- 64bit scanner drivers crashing

Challenges along the way

- Computers crashing
- Computing processing power and memory requirements
- Staff loading documents into the scanner document tray incorrectly
- Staff not paying attention and using the incorrect document scanning definition
- Incorrect character fonts being used
- Post it notes and staples
- Creating scannable barcodes that work in forms and print correctly
- Creating barcodes and converting for virtual scanning
- Setting up the Trapeze server version while also retaining each sections computer automation
- Separation sheets not working due to over use

Scanning computer automation

- **Scanning computers are automated to ensure predetermined settings are loaded and locked each time the user logs in.**

This ensures consistency, quality control and prevents users fiddling with settings or using an incorrect definition

By doing this scanning officers are only granted access and only see the scanning definitions related to their area.

Some Settings automated upon login include:

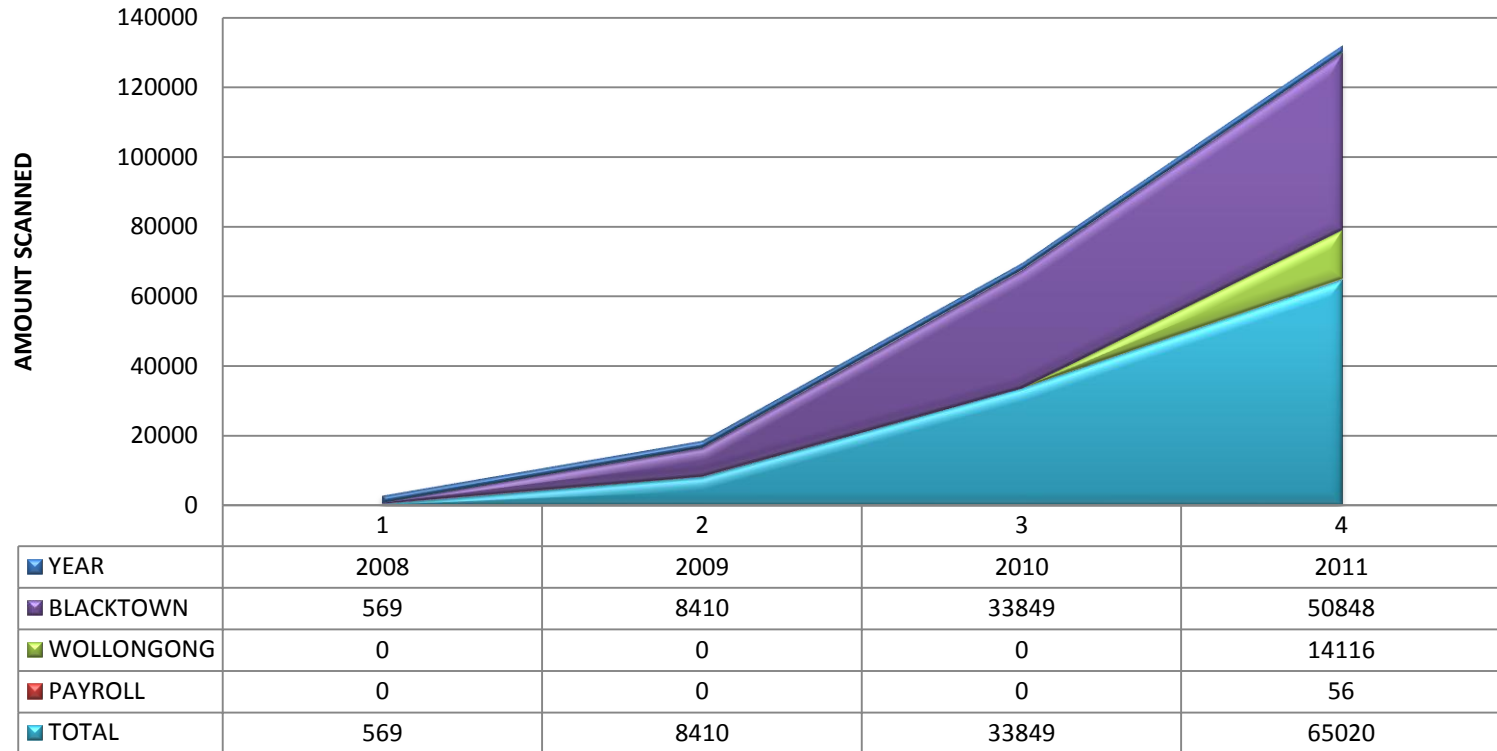
- Scanner driver settings e.g. dpi and colour settings
- Document definition settings
- TRIM database selection
- Creating document type
- Trapeze file compression and document format settings
- Trapeze Screen Layout
- Checking TRIM mandatory fields before sending to create documents
- Computer icon creation

Support

- **The document Scanning project started at Blacktown State office and has been extended to Wollongong, Newcastle state offices and HR Payroll.**

- **Blacktown State office – Records**
 - Provides support guidance and training to all state offices using the Trapeze scanning system
 - Provides remote computer help desk support and software updates
 - Creates and tests new document definitions
 - Creates and tests new scanning forms and templates
 - Creates and tests new developments, ideas

DOCUMENT SCANNING VIA TRAPEZE INTO TRIM 2008 - 2011



Current and future scanning projects

❑ Scanning projects

- Completing our backlog scanning project of Teacher appointment notices and file attachment's
- Expanding and Training virtual scanning of mail merge letters to TRIM via Trapeze Capture
- Virtual scanning of Online / Web based forms
- Expanding the Scanning project to other appropriate areas of DEC
- Automatic definition selection
- Scanning and other database linking

Questions ?

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