

Case Study

# Accelerating records management at CERN

Andrew Short

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DLM Triennial Conference, Brighton

15.09.2017

# Overview

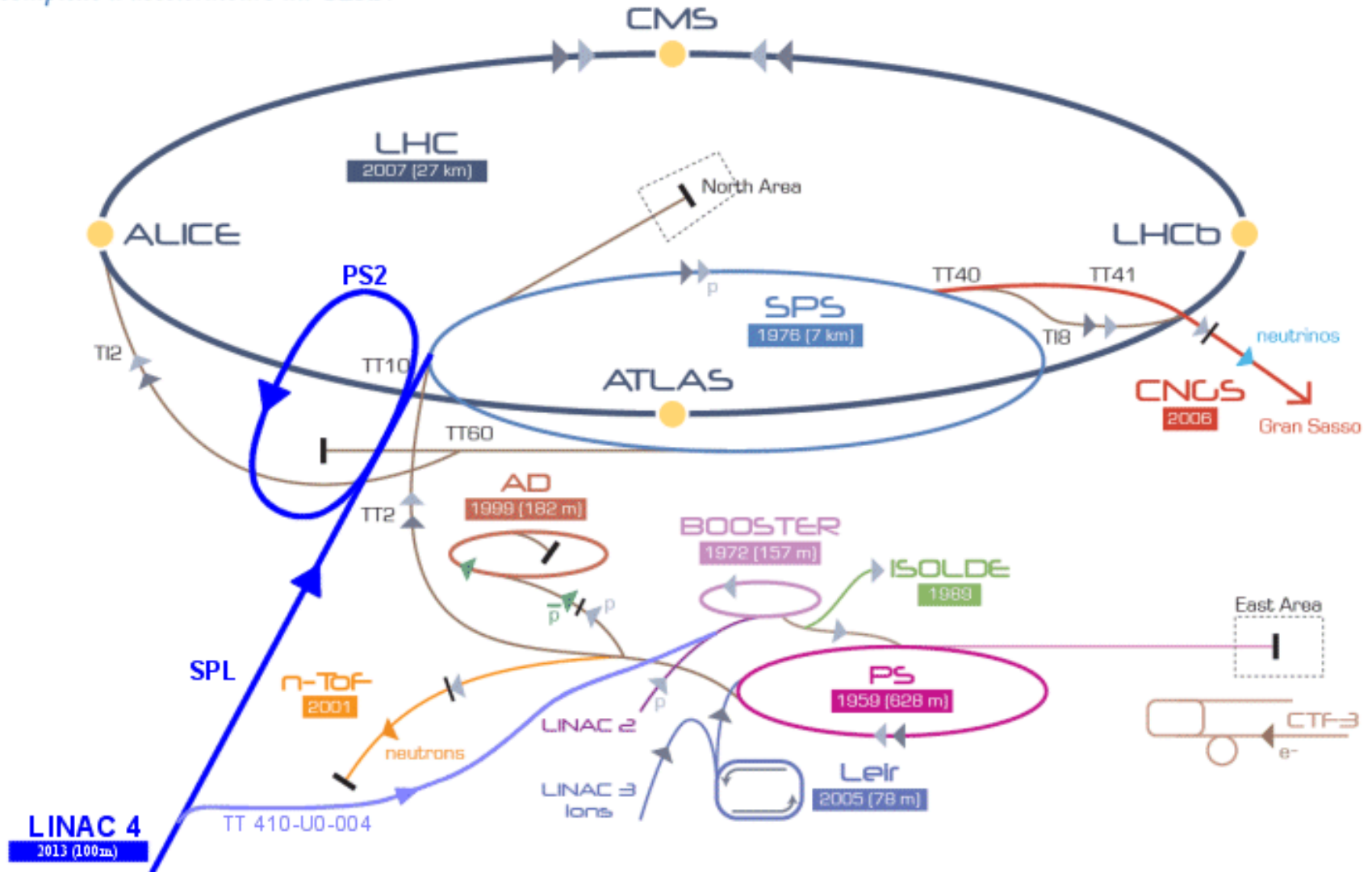
- CERN
- Records Office
- User interface
- How?
- Customisations
- Next steps



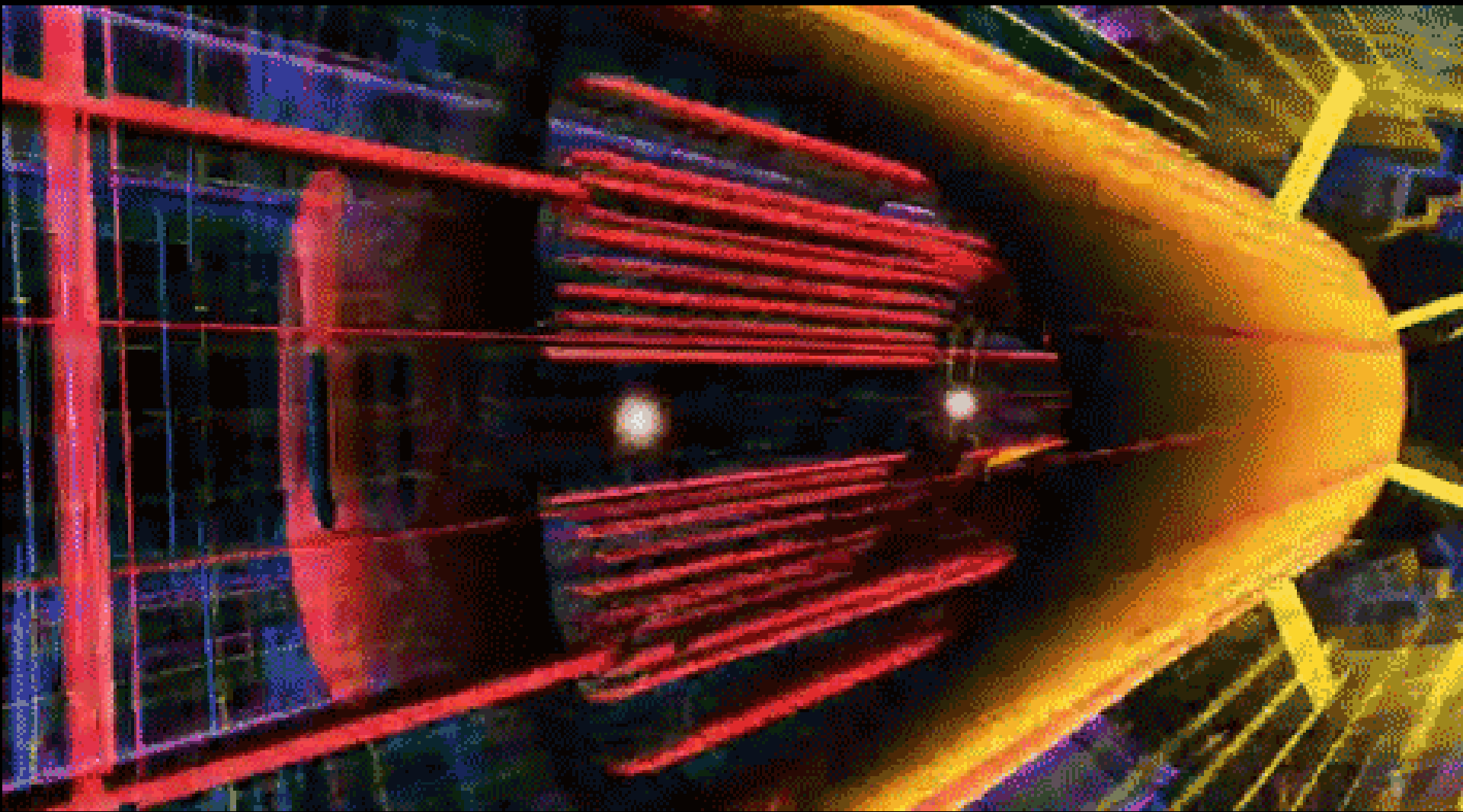
# CERN Accelerator Complex

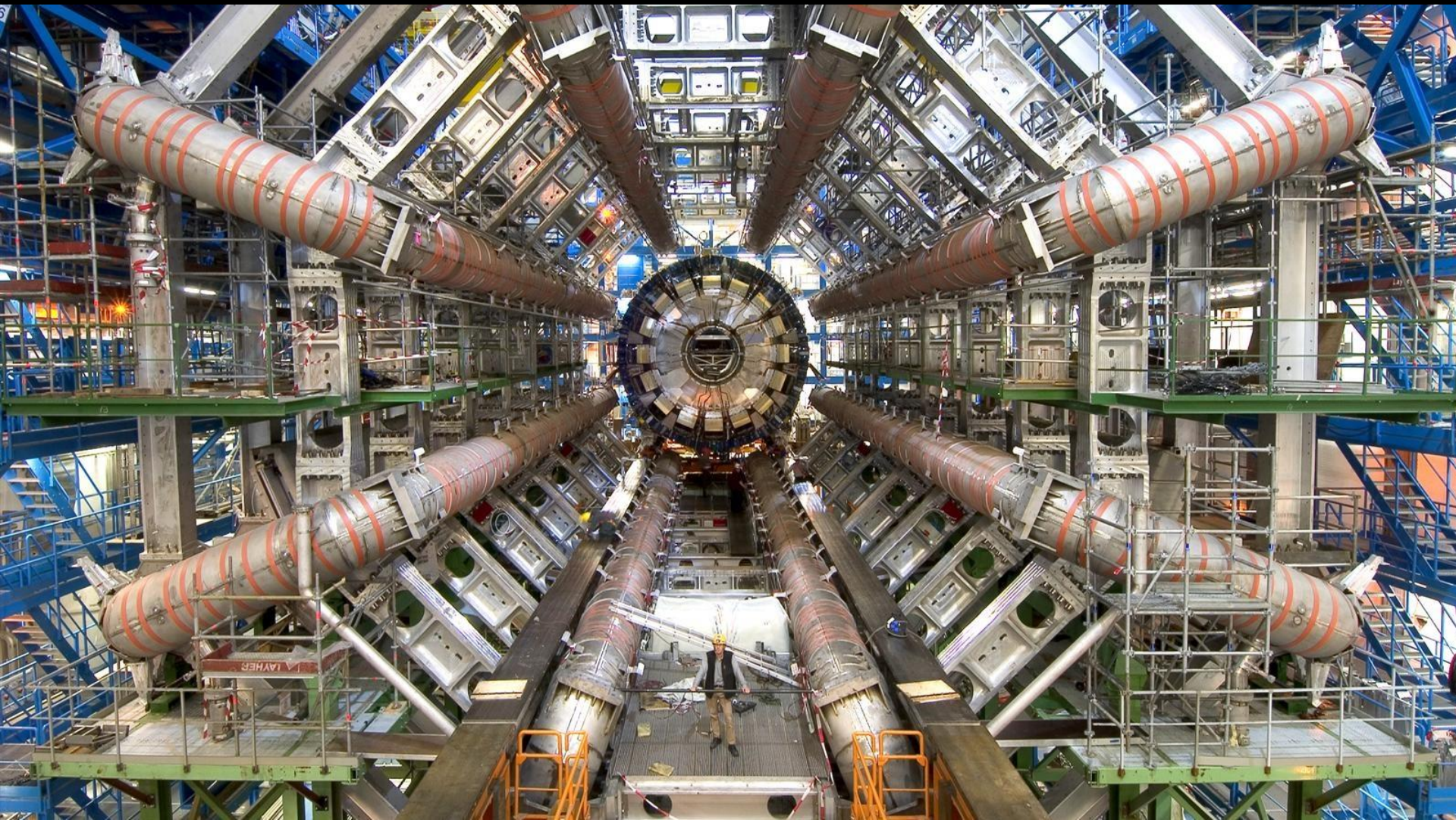
- PS Proton Synchrotron
- SPS Super Proton Synchrotron
- LHC Large Hadron Collider
- AD Antiproton Decelerator
- n-TOF Neutron Time Of Flight
- CNGS CERN Neutrinos Gran Sasso
- CTF3 CLIC Test Facility 3

*Le complexe d'accélérateurs du CERN*



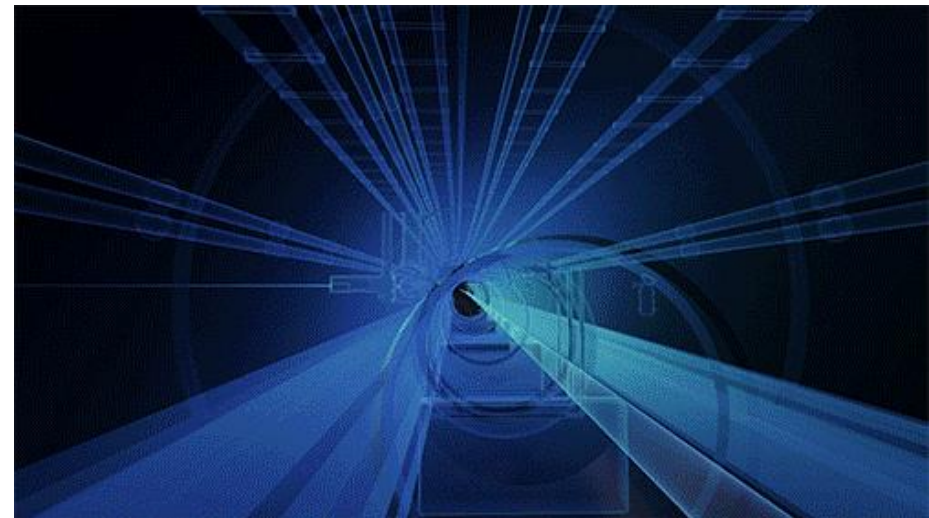
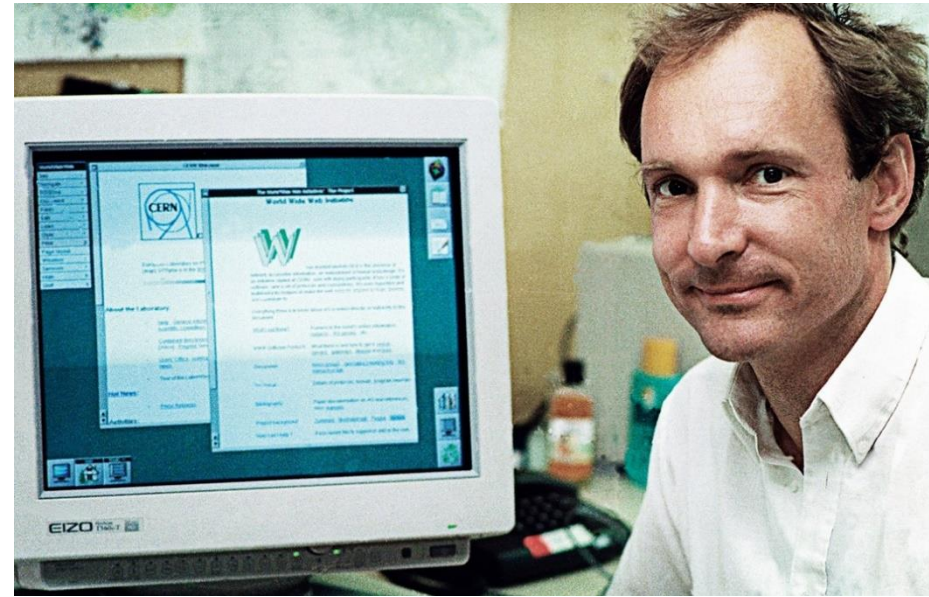




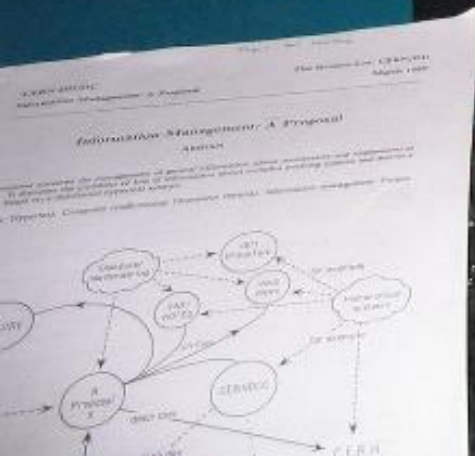


# CERN Statistics

- World's biggest machine
- Hottest, coldest & emptiest place in the solar system
  - 100,000 hotter than the sun
  - 271.3°C (1.9 K) colder than outer space
  - 10x less than the pressure on the Moon
- Fastest race track on the planet
  - 99.9999991% the speed of light
- Most powerful supercomputer in the world
  - Using the grid
- Where the web was born

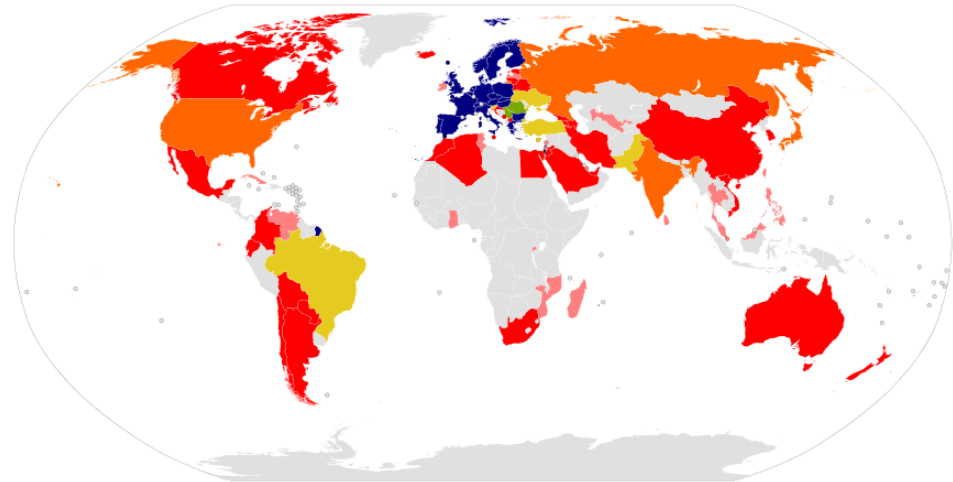






# CERN Members of Personnel

- 2,500 Staff
- ~1,600 Other personnel
- 12,000 Visiting scientists
- 608 Universities
- 127 Nationalities
- 22 Member states of CERN
- Over 18,000 distinct online users per year







2.000 ad. f. ad. ...  
12.2000 ...  
STOPPERS SAFE SCOPY  
To ...  
Salut  
ou ...  
6 AMM1  
82-21

Records Office

# Records Office - Then



1965



1978

- Store all personnel records
  - Initially on a single card, then folders
- Personnel records grew quick.
- Paper index file to retrieve personnel file.

# Records Office – 2015

- Started scanning of active personnel files
- Scanned over 3,000 personnel files
- Using naming convention / bulk upload  
(DOCID;PERSONID;INITIALS; EFFECTIVEDATE)
- Started collecting new documents as PDF's only
- Over 230 types of document identified
- Changes in organisation workflows
- Temporarily emailing documents between services  
(rather than internal mail)

# Records Office – 2015





# Records Office – 2016



# Records Office – 2017

- Using Alfresco on production (since 4th May 2015)
- Uploading active personnel files
- Easily store and retrieve documents
- Saves time and resources
- No more printing and mailing documents
- Process related improvements
- Uploaded over 183,400 documents (13.09.2017)
- Total of 334,600 documents stored in Alfresco (13.09.2017)
- Now over 285 document types identified

Interface



Home

ePersonnel ▾

Andrew Short ▾

Search files, people, sites



## Andrew Short Dashboard



## My Sites

All ▾

Create Site



Epersonnel

(None)

★ Favorite

## My Activities

Everyone's activities ▾ all items ▾ in the last 7 days ▾

Today



Andrew Short previewed document Diploma-700632-2015 (2015-1426779998176) in Epersonnel

13 minutes ago

1 more ▾



Andrew Short downloaded document Diploma-700632-2015 (2015-1426779998176) in Records Management

29 minutes ago

5 more ▾



Andrew Short previewed document Diploma-700632-2015 (2015-1426779998176) in Epersonnel

about an hour ago

## My Tasks

Active Tasks ▾

Start Workflow

Active Tasks | Completed Tasks



Review the tasks assigned to you

Different types of tasks can appear in this task list and you need to address each one. This could involve reviewing a document or simply accepting an invitation to a site.

## My Documents

My Favorites ▾



Keep track of your own content

This dashlet lists all of the content that's important to you, no matter which site it is in. Use the filters to easily find what you're looking for.



Home

ePersonnel ▾

Andrew Short ▾

Search files, people, sites



## Epersonnel

Site Dashboard

Document Library

Site Members



Select ▾ + Create... ▾ Upload Selected Items... ▾

Name ▾ Options ▾

Documents &gt; E-personnel Homes &gt; 700 &gt; 700632 &gt; Recruitment &gt; Diploma

<input type="checkbox"/>		<b>Diploma-700632-2011</b> (Lapin LAPIN 20-01-2011) Created 23 hours ago by ertupload 138 KB (None) No Tags ★ Favorite   👍 Like 0   💬 Comment < Share	
<input type="checkbox"/>		<b>Diploma-700632-2011 (1)</b> (Lapin LAPIN 02-02-2011) Created 23 hours ago by ertupload 1 MB (None) No Tags ★ Favorite   👍 Like 0   💬 Comment < Share	
<input type="checkbox"/>		<b>Diploma-700632-2011 (2)</b> (Lapin LAPIN 02-02-2011) 1.0 Created 23 hours ago by ertupload 1 MB (None) No Tags ★ Favorite   👍 Like 0   💬 Comment < Share	<a href="#">Download</a> <a href="#">View In Browser</a> <a href="#">Edit Properties</a> ... More...
<input type="checkbox"/>		<b>Diploma-700632-2011 (3)</b> (Lapin LAPIN 02-02-2011) Created 23 hours ago by ertupload 1 MB (None) No Tags ★ Favorite   👍 Like 0   💬 Comment < Share	
<input type="checkbox"/>		<b>Diploma-700632-2012</b> (Lapin LAPIN 03-09-2012) Created 23 hours ago by ertupload 138 KB (None) No Tags ★ Favorite   👍 Like 0   💬 Comment < Share	
<input type="checkbox"/>		<b>Diploma-700632-2013</b> (Lapin LAPIN 02-07-2013)	

## ▼ Documents

All Documents

I'm Editing

Others are Editing

Recently Modified

Recently Added

My Favorites

## ▼ Library

## Documents

E-personnel Homes

576

603

700

700632

Certificates and Proof of Identity

Passport

Recruitment

Diploma

Reference letter

705

709

Unrecognized

Upload

## ► Categories

## ► Tags



Home

ePersonnel ▾

Shared Files

Sites ▾

Tasks ▾

People

Repository

Admin Tools

Debug Menu ▾

Administrator ▾

Search files, people, sites



Search

Site Dashboard

Document Library

Site Members

Search Manager



Search in: Repository ▾

700632

Search

Filter by:

7 - results found

Relevance ▾



## ▼ Created

Today 7

This week 7

This month 7

In the last 6 months 7

This year 7

## ▼ Creator

Administrator 7

## ▼ Person

Lapin LAPIN 1

## ▼ File Type

JPEG Image 1

Adobe PDF Document 5

## ▼ Modified

Today 7

This week 7

This month 7

In the last 6 months 7

This year 7

## ▼ Modifier

**700632** (Lapin LAPIN) ⓘ

Modified 3 minutes ago by Administrator

Site: ePersonnel

In folder: E-personnel Homes/700

**Diploma-700632-2012.pdf** (Curriculum Vitae Europass) ⓘ

Modified 4 minutes ago by Administrator

Site: ePersonnel

In folder: Unrecognized

Size: 138 KB

**Diploma-700632-2011 (1).pdf** ⓘ

Modified 4 minutes ago by Administrator

Site: ePersonnel

In folder: Unrecognized

Size: 1 MB

**Diploma-700632-2011-3.pdf** (Curriculum Vitae Europass) ⓘ

Modified 4 minutes ago by Administrator

Site: ePersonnel

In folder: Unrecognized

Size: 138 KB

**Diploma-700632-2011 (3).pdf** ⓘ

Modified 4 minutes ago by Administrator

Site: ePersonnel

In folder: Unrecognized



Home

ePersonnel ▾

Andrew Short ▾

Search files, people, sites



## Epersonnel

Site Dashboard

Document Library

Site Members




Documents &gt; E-personnel Homes &gt; 700 &gt; 700632 &gt; Recruitment &gt; Diploma

 Diploma-700632-2015 (2015-1426779998176) 1.0Modified by Andrew Short on Thu 19 Mar 2015 16:46:38 | [Share](#)[Download](#)[▶ Document Actions](#)[▶ Share](#)[▼ Properties](#)

Person concerned

Full name: Lapin LAPIN

Person id: 700632

 CERN id: (None)

Person status: (None)

Contract end date: (None)

Organization unit: (None)

Document properties

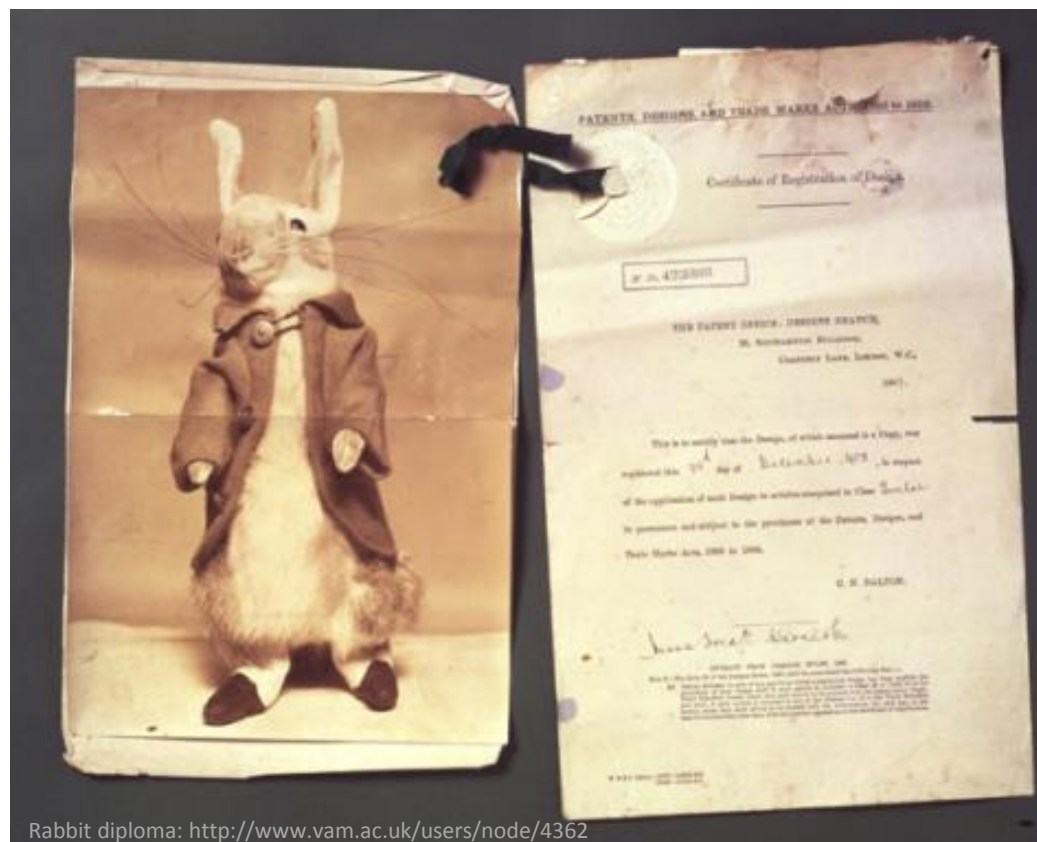
Type name: Diploma

Type description: (None)

Organization unit: (None)

Person status: (None)

Start date: Tue 24 Mar 2015

Rabbit diploma: <http://www.vam.ac.uk/users/node/4362>

How?



# How?

- Identify existing organisation documents
- Identify document metadata
- Identify search requirements
- Define file plan
- Define access rights
- Identify UX customisations
- Records management vs Document management
- Community or commercial edition



# How?

- Identify existing organisation documents
- **Identify document metadata**
- Identify search requirements
- Define file plan
- Define access rights
- Identify UX customisations
- Records management vs Document management
- Community or commercial edition

The image shows a screenshot of a document management interface. On the left, a dialog box titled 'Person concerned' is open, featuring a dropdown menu with the text 'Select a person...' and a question mark icon. Below this, the 'Document properties' section is visible, showing a dropdown menu with 'Contract' selected, a 'Start date:' field with the value '24/3/2015' and a calendar icon, and 'Save' and 'Cancel' buttons at the bottom. On the right, a 'Properties' panel is expanded, displaying the following information:

**Person concerned**

- Full name: Andrew SHORT
- Person id: 576 xxx
- CERN id: 59 xxx
- Person status: STAF
- Contract end date: (None)
- Organization unit: GS-AIS-EB

**Document properties**

- Type name: Advancement letter
- Type description: (None)
- Organization unit: GS-AIS-EB
- Person status: STAF
- Start date: Fri xxx xxx
- End date: (None)

# How?

- Identify existing organisation documents
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- **Identify search requirements**
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## Search

Search in: Repository ▾

Filter by:

▼ Created

- Today 7
- This week 7
- This month 7
- In the last 6 months 7
- This year 7

▼ Creator

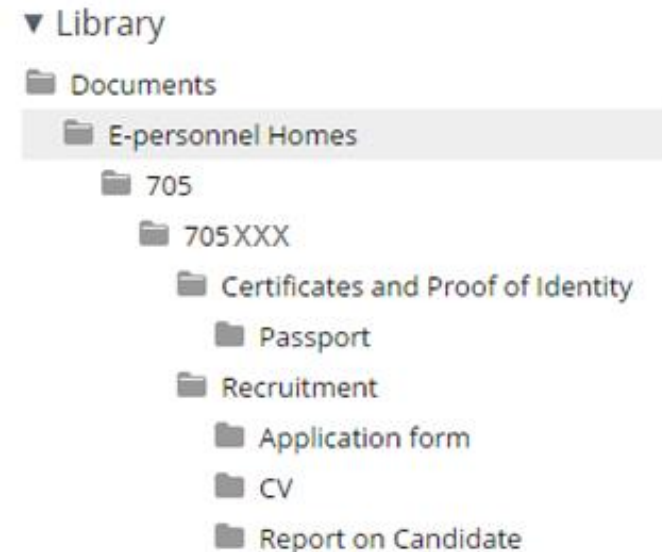
- Administrator 7

▼ Person

- Lapin LAPIN 1

# How?

- Identify existing organisation documents
- Identify document metadata
- Identify search requirements
- **Define file plan**
- Define access rights
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# How?

- Identify existing organisation documents
- Identify document metadata
- Identify search requirements
- Define file plan
- **Define access rights**
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The screenshot shows a 'New Access Right' form with the following fields and values:

- Document(s)\***: Pension Attestation (dropdown menu)
- Start Date\***: 29/04/2016
- End Date**: 06/05/2016
- Type\***: Role
- Value\***: Role name (dropdown menu with a list of roles)
- Permission\***: (empty dropdown menu)
- Param\***: (empty dropdown menu)
- Notes\***: (empty text area)

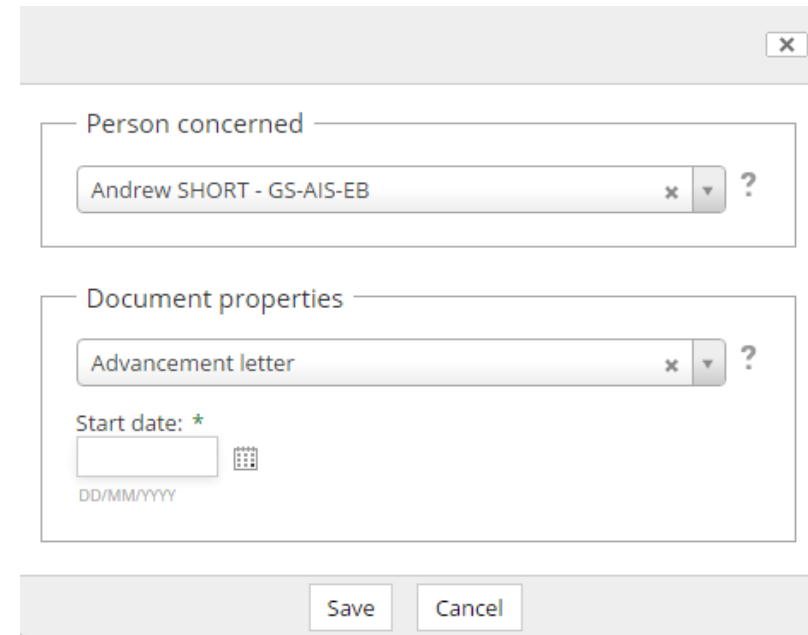
The dropdown menu for 'Value\*' is open, showing the following list of roles:

- CFO
- Chief Financial Officer
- CSO
- Cryogenics Safety Officer
- CTCO
- Cost to completion Officer
- DAO
- Departmental Administrative Officer

Buttons for 'Cancel' and 'Save' are located at the bottom right of the form.

# How?

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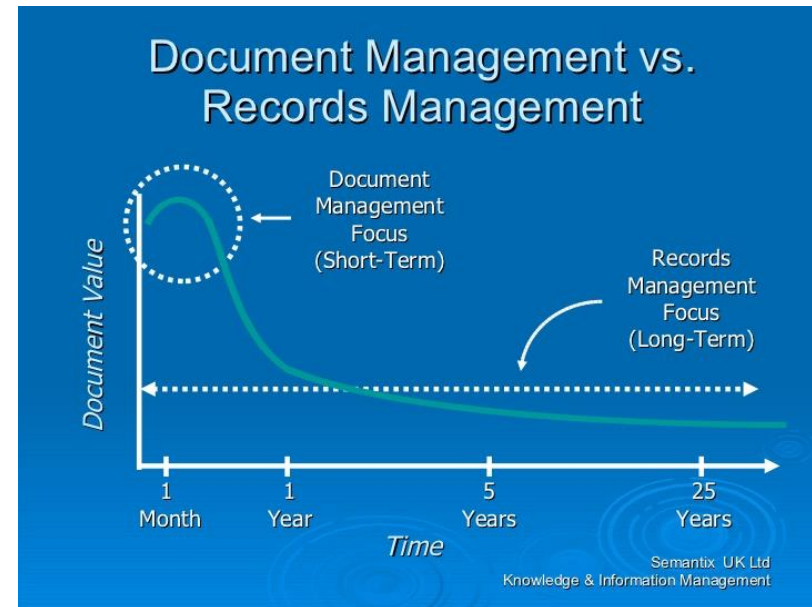
The image shows a screenshot of a software dialog box with a grey title bar and a close button (X) in the top right corner. The dialog is divided into two main sections:

- Person concerned:** A text input field containing "Andrew SHORT - GS-AIS-EB". To the right of the field are a small 'x' icon, a dropdown arrow, and a question mark.
- Document properties:** A text input field containing "Advancement letter". To the right of the field are a small 'x' icon, a dropdown arrow, and a question mark. Below this field is a "Start date: \*" label, a date input field, a calendar icon, and the text "DD/MM/YYYY".

At the bottom of the dialog, there are two buttons: "Save" and "Cancel".

# How?

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- Identify document metadata
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# How?

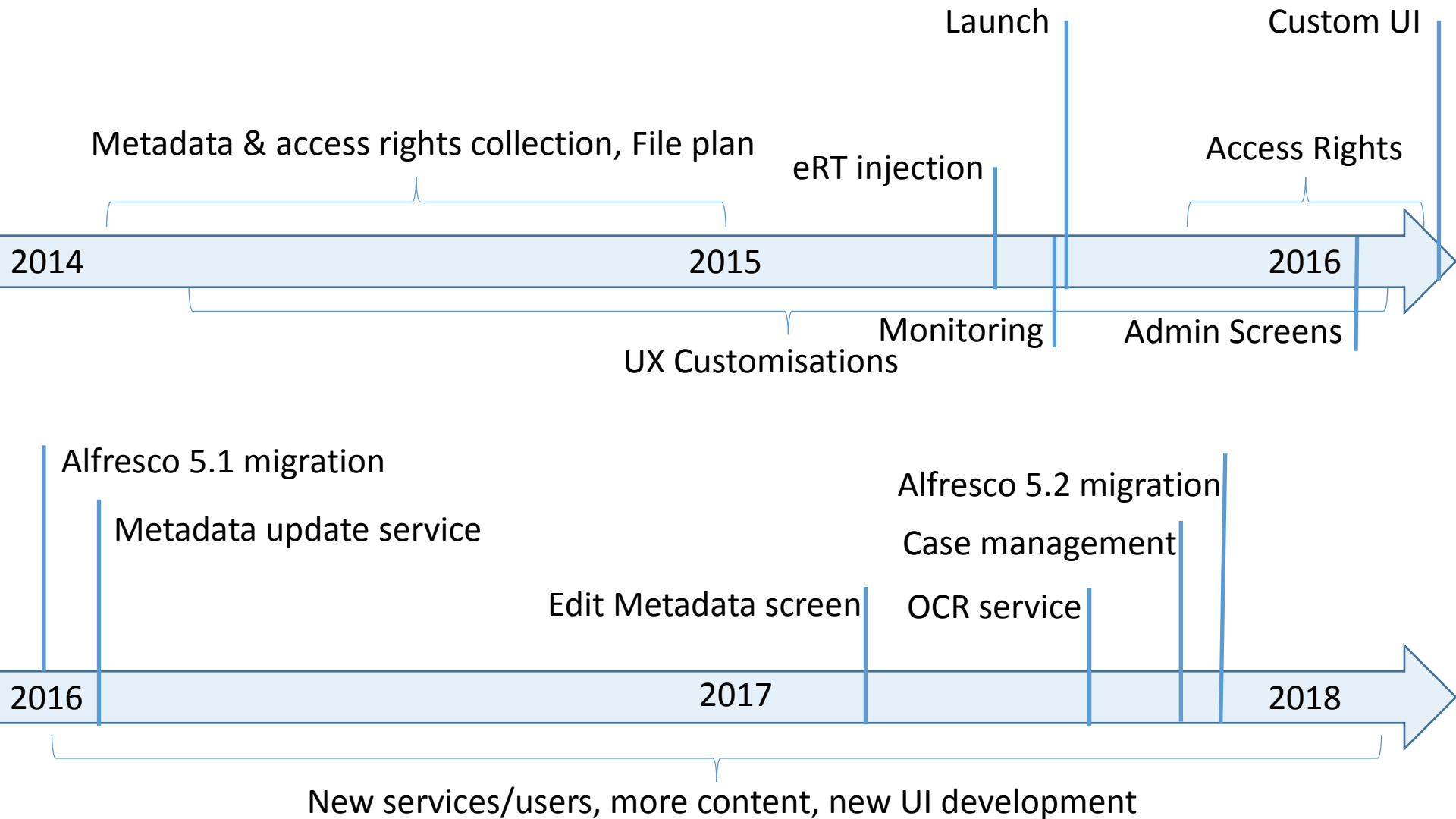
- Identify existing organisation documents
- Identify document metadata
- Identify search requirements
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The image shows a comparison of two Alfresco editions. At the top is a blue header 'Alfresco in the Cloud'. Below it are two columns. The left column is for 'Alfresco One' (green header) and the right column is for 'Alfresco Community Edition' (orange header). Each column contains a title, a list of features/benefits, a paragraph of text, a 'Learn More' link, and a 'Download' button.

Alfresco One	Alfresco Community Edition
<b>Enterprise-class ECM platform</b>	<b>ECM for tech enthusiasts</b>
<ul style="list-style-type: none"><li>• High availability, highly customizable ECM with simplified administration</li><li>• Hybrid Cloud ECM with selective content-sync to the included SaaS Alfresco in the Cloud</li><li>• Wide range of modules and add-ons including content encryption, records management, analytics and media management</li></ul>	<ul style="list-style-type: none"><li>• Intended for developers and technical enthusiasts who want the power of Alfresco in non-critical environments</li><li>• Open Source platform for community-driven development and contributions</li><li>• Research vehicle for new features</li></ul>
Ideal for organizations that require enterprise-grade scalability, performance and 24X7 support for business critical content and compliance.	<b>Use in production only if resources exist to fully self-support.</b> Consider Alfresco One instead if you require enterprise-class capabilities such as content encryption, clustering or simplified administration.
<a href="#">Learn More</a>	<a href="#">Learn More</a>
<a href="#">Download</a>	<a href="#">Download</a>



# Time Line



Customisations

# Customisations

- Upload
- Unrecognised
- Auto filing
- Access Rights
- Monitoring
- Admin screens
- OCR service
- Smart folders

The screenshot displays the CERN eFiles web interface. At the top, the header includes the CERN logo and the tagline 'Accelerating science'. The user is signed in as 'ashort' and has options to 'Sign out' or view the 'Directory'. A navigation bar contains links for 'eFiles', 'My home', 'Dashboard', 'Upload', 'RM', 'Shared Files', 'People', 'Repository', and 'AdminTools'. A search bar is located on the right side of the navigation bar.

The main content area is divided into three sections:

- Left sidebar:** Contains a 'Drag and drop files anywhere' area with an 'Or browse files' button. Below this are sections for 'CURRENT UPLOAD' (showing 'Passport.pdf' by Andrew Short) and 'PREVIOUS UPLOAD' (showing two other files with their IDs and uploaders).
- Center panel:** Displays the details for the selected document 'Passport.pdf', created on 16/05/2017 13:11:00 by Andrew Short. It includes a 'Document type' field (Passport), a 'Person' field (ANDREW SHORT), and 'Date of issue' (16/05/2017) and 'Expiry date' (17/05/2027) fields. At the bottom of this panel are 'Save changes' and 'Delete document' buttons.
- Right panel:** Shows a preview of the document 'Example Document', Page 1. The document content includes the CERN logo, the text 'Organisation européenne pour la recherche nucléaire CERN, CH-1211 Genève 23, Suisse', and a form with fields for 'Identifiant:', 'Statut:', 'Unité organique:', 'Position salariale:', and 'Horaire hebdomadaire:'. The 'Unité organique' field is filled with 'SHORT Andrew'. Below the form is the text 'Example Document Main Text Body'.

The footer of the page contains 'CERN © 2015-2017', 'eFiles (version 1.2.6-SNAPSHOT)', and a 'Report a problem' link.

# Customisations

- Upload
- **Unrecognised**
- Auto filing
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## ▼ Library

📁 Documents

📁 E-personnel Homes

📁 **Unrecognized**

📁 Upload

# Customisations

- Upload
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## ▼ Navigation

📁 File Plan

📁 HR

📁 Career

📁 Advancement letter

📁 1988

📁 07

📁 1990

📁 07

📁 1998

📁 1999

# Customisations

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Efiles Admin
Authorities
Access Rights
Document Definition

Search document access

**By document definition**

Pension fund certificate ▼

Start typing to get a list of possible matches

**By authority**

▼

Select one of the existing authorities

Show expired

New Access Right

Name ↕	Type	Value	Param	Start Date ↕	End Date ↕	Notes
Pension fund certificate	egroup	social-affairs-efiles-access		10/02/2016		Added from spreadsheet 05.02.2016, SNow: RQF0543069. SNow: RQF0550620.
Pension fund certificate	egroup	hr-legal-efiles-access		10/02/2016		Added on 29/09/2015 from Excel matrix completed by DAOs. SNow: RQF0550620.
Pension fund certificate	egroup	hra-efiles-access		10/02/2016		Added on 29/09/2015 from Excel matrix completed by DAOs. SNow: RQF0550620.
Pension fund certificate	egroup	hr-hra-assistant-efiles-access		10/02/2016		Added on 29/09/2015 from Excel matrix completed by DAOs. SNow: RQF0550620.

# Customisations

- Upload
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- **Monitoring**
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# Customisations

- Upload
- Unrecognised
- Auto filing
- Access Rights
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### Access to Document

Person:  
 ▼  
Start typing to get a list of possible matches

Documents of type:  
 ▼  
Start typing to get a list of possible matches

Person concerned:  
 ▼  
Start typing to get a list of possible matches

[List accesses](#)

### Authority members

--

### Person Authorities

▼  
Start typing to get a list of possible matches

[Get](#)



# Customisations

- Upload
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- **OCR Service**
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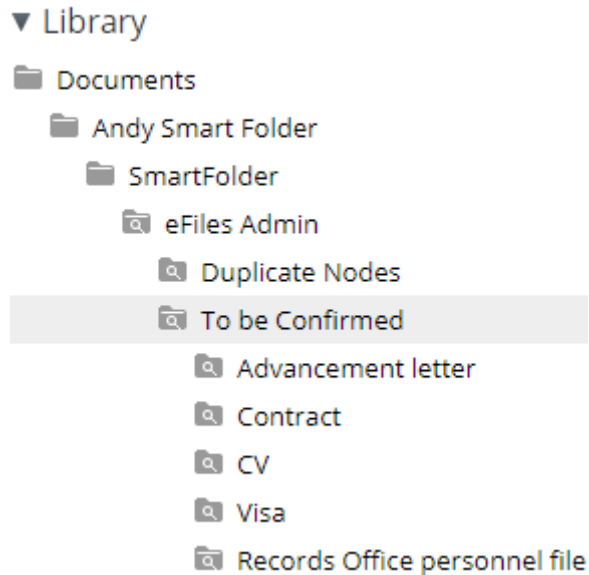
Organisation européenne pour la recherche nucléaire CERN, CH-1211 Genève 23, Suisse

## Example Document

ef:ocrRequestFinishMessage	d:text	OCR Successful
rma:identifiant	d:text	2017-14
ef:ocrRequestSuccessful	d:boolean	true

# Customisations

- Upload
- Unrecognised
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- OCR Service
- **Smart Folders**



- ▼ Document Actions
- ✎ Edit document metadata
  - 🗑️ Delete record
  - 🔄 Rotate right
  - 🔄 Rotate left
  - ✅ Confirm metadata is correct
  - 🔄 Re-run document OCR

Next steps

# Next steps

- Replace Alfresco UI
- Further integration
- Case Management
- Disposition Schedules
- My Files
- Workflows

The screenshot displays the CERN Accelerating science ePersonnel interface. The top navigation bar includes 'Home' and 'ePersonnel' menus, a search bar for 'Andrew Short', and links for 'Site Dashboard', 'Document Library', and 'Site Members'. The main content area shows a document titled 'Diploma-700632-2015 (2015-1426779998176)' with a download icon and a 'Share' link. The document is a diploma from 'Rabbit University' awarded to 'Your Name Here' as a 'Master of Rabbits' on December 25, 2014. The diploma features illustrations of rabbits and a central seal. A large 'COPY COPY' watermark is overlaid on the diploma image. On the right side, there are sections for 'Document Actions', 'Share', 'Properties', and 'Document properties'. The 'Properties' section lists: 'Person concerned' with 'Full name: Lapin LAPIN', 'Person id: 700632', 'CERN id: (None)', 'Person status: (None)', 'Contract end date: (None)', and 'Organization unit: (None)'. The 'Document properties' section lists: 'Type name: Diploma', 'Type description: (None)', 'Organization unit: (None)', 'Person status: (None)', and 'Start date: Tue 24 Mar 2015'. At the bottom, there is a 'Relationships' section with an 'Add New Relationship' button.

# Next steps

- Replace Share UI
- Further integration
- Case Management
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Electronic Document Handling.  
(Leave requests, Purchase orders...)

Electronic Recruitment Tool  
(CV, Diploma, Application Form...)

Pre Registration Tool  
(Visas, Passports...)



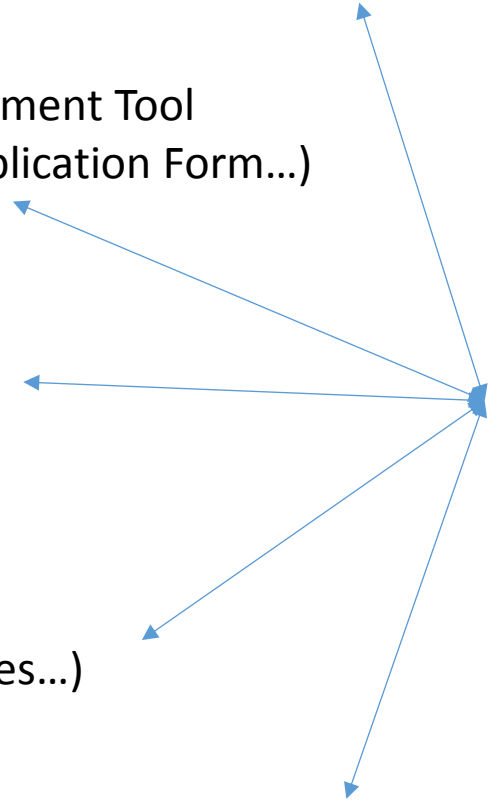
AIS Media  
(Payslips, Tax Certificates...)



DFS

Shared network drive  
(Anything and everything)

eFiles



# Next steps

- Replace Share UI
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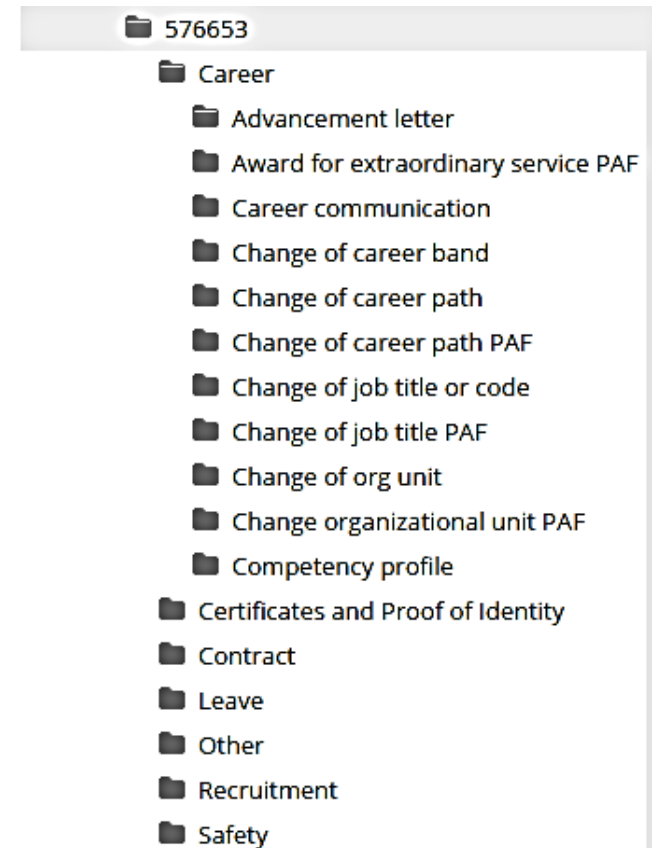
# Next steps

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- **Disposition Schedules**
- My Files
- Workflows



# Next steps

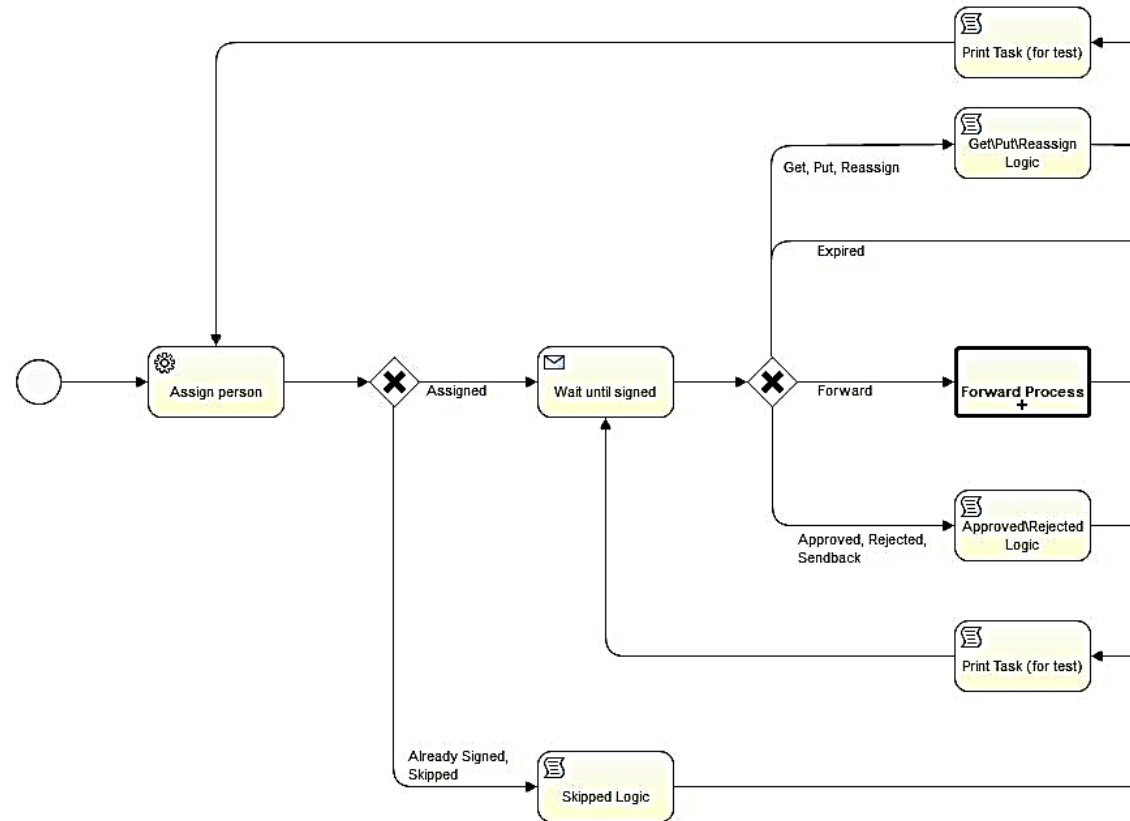
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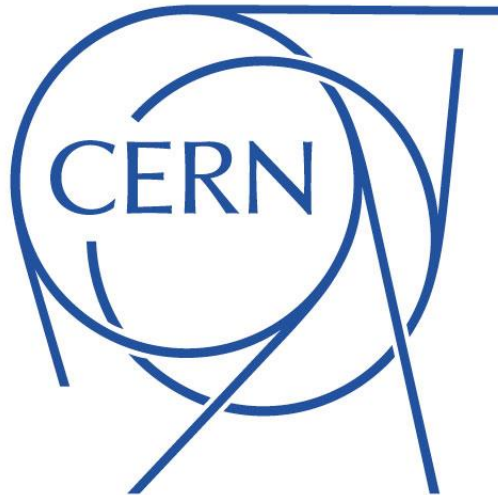




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- My Files
- **Workflows**





Andrew Short

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