

The Transformation of Dutch Social Security Regarding Document and Information Management

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Abstract: In the Netherlands social security is undergoing a major transformation. Besides the right to receive financial support the focus is mainly on the right to find suitable work. E-government is seen as a tool to achieve this long-term goal with maximum results. Within UWV a Customer Relations Office and Virtual Front Office is working towards achieving the objectives of e-government. The department of Document and Information Management (DIM) is playing a pivotal role in laying the foundation to support the Virtual Front Office, by making all case related information digitally available and accessible. This paper emphasizes the responsibility of the Department of Document and Information Management (DIM) in supporting the transformation at UWV in the field of input-, output and records management. Both the issues of technology and human-resource management are discussed. Current developments within the organisation and specifically within the Department of DIM are focused upon ensuring a high-quality workforce.

1. Introduction

In the Netherlands, social security is currently going through a stage of transformation and innovation. All social-security related bodies (UWV, CWI), reintegration centres, local authorities, interest groups and trade and industry are cooperating intensively in order to improve the service provided to citizens. The main objective of the Dutch government is to shift focus from people's disability and receiving monthly benefits, to finding suitable work. Therefore, the emphasis is on the right to have and retain suitable employment, together with, of course, the right to receive financial support.

The Dutch Workers Insurance Authority (UWV), as a social-security body, is an organisation in transition. UWV is transforming from an organisational structure based on divisions implementing specific social-security laws, into an organisation based on core-business processes (Work – reintegration onto the labour market, Claims Handling, Social Medical Services & Information Services). These changes will enable UWV to work closer with social-security partners and achieve the objective of improving client relations.

The transformation within UWV is embodied in the so-called *Vernieuwing* (modernization process). Within this modernization process the Client Relations Office is safeguarding the objective to move towards a client-orientated service organisation.

To achieve the objective of a client-orientated organisation it is crucial that (client) information within UWV and other social-security bodies is shared. However, information is not often used as a cooperative tool between business partners or as a service provided to citizens. The first objective of the present social-security transformation is cooperation between different social-security network partners to provide high-quality service to citizens. The goal of eGovernment is to achieve maximum efficiency and optimal results.

It should be possible to access client information electronically to make e-government work. Within UWV, the department of Document & Information Management (DIM) is pivotal to achieving the goals of the *Client Relations Office* by making client information accessible electronically. This paper will focus on UWV's department of Document and Information Management's contribution to the objectives of the Client Relations Office of electronically accessing and sharing client information. To meet these objectives, DIM is, apart from focusing on the many functional and technical requirements, well aware that the department needs to obtain a high-quality workforce. This paper will therefore also focus on how the department ensures that high-quality workforce.

The goal of the Client Relation Office is to provide (full) e-government services to clients, and meet the objective of establishing a digital client service linking all social-security related bodies. DIM will make information available and accessible and ensure that information is disposed of when the mandatory archiving term has passed.

2. Objectives

A number of focus points have been formulated to indicate the new direction of the Dutch Workers Insurance Authority (hereafter referred to as UWV):

- Human level: one fixed point for contact, mutual rights and obligations and showing respect and dignity
- Efficiency: standard activities and procedures, clear communication and quick, transparent decision-making
- Effectiveness: electronic, unattended processing where possible, personal contact when needed. Delivering customized service to ensure citizens can contribute to the workforce
- Client-friendly approach: creating a user-friendly interface between organisation and citizen by demonstrating an overall client-friendly approach

Creating an organisation and systems that will support the above focal points with e-government services is tremendously challenging. UWV is a complex organisation because it is an amalgamation of five different organisations. Although these five organisations have merged into one UWV, remnants of the old structures and cultures still remain.

UWV incorporates a large number of systems. Now, some systems are merging so that claims related to different social-security systems can now be processed in one system.

A complex organisation with numerous information systems, UWV has c. 18,000 employees, who receive, create and send almost 60 million documents each year. About 80% of these documents are still created or received in a physical format. Moreover, about 10 million phone calls are received annually and UWV Internet sites have 10 million visits.

Within the Client Relations Office, a specific unit is setting up a Virtual Front Office (VFO) responsible for establishing e-government services. Three short term main goals are:

- Developing a multi-channel policy - UWV clients choose how they communicate
- Establishing Internet services to support e-transactions with clients.
- Accessible and client-friendly use of language in all communications.

UWV and other social-security organisations are currently working on possibilities for clients to access information on their transactions via an Internet portal called the *Digitale Klant Dossier* (DKD). In this portal clients will be able to track the status of, for example, their unemployment claim. In a next phase clients will also be able to view files and documents related to their specific case.

All of these objectives mean that the UWV information systems are able to make their information accessible within the organisation, to social-security bodies and to their clients.

The department of DIM cooperates with the department responsible for the *Client Relations Office*, the IT department and the IT Information Policy and Architecture

department. Together, these departments have developed a basic architecture for input, output, and records management within the general UWV reference architecture. Within the next three years the new architecture will be implemented, including the establishment of a support organisation that manages existing solutions and carries out subsequent changes.

DIM is responsible for making all the case-specific documents electronically available and accessible to achieve this transparency in information by ensuring that:

- All incoming client contacts in writing are distributed to the back offices as soon as possible. Distributing happens usually within four hours, but preferably not later than twenty-four hours after reception.
- All outgoing information (output) created by UWV's back offices will be sent to citizens based on service levels determined by all core business functions.
- All information either received or created within UWV is being filed, in order to comply with the Dutch Information and Archiving Law and for sharing the information with other social-security bodies. Last but not least clients will be able to view their own files electronically.

DIM is responsible for all electronic and physical information received from or sent to clients. In some cases this information can be directly used to process claims, in others they must be read by an employee. DIM is not responsible for processing the claims or keeping track of the status of a claim. Therefore, the focus in the next section will be on document and records management and not on primary systems for case handling. With these objectives in mind, the CRO (via the VFO) can track and trace information within UWV.

Aspects of the methodology and technology used in DIM are discussed in Section 3.

3. Methodology

UWV faces enormous challenges. Besides shifting towards a digital working environment (moving from paper to digital input and output), the organisation must move away from various working procedures, formats, filing platforms etc. Creating a more uniform way of working is necessary, and ensuring enough flexibility to support the specific working procedures and information needs of the various departments is also essential.

In 2006 the Executive Board of UWV adopted the UWV Policy on document and records management, thus paving the way for making all documents available electronically within UWV. This is the basis for one of the pillars of e-government: making it possible for clients to view (almost) all of their documents online. UWV is still a long way from this goal as only a small percentage of documents are electronically available and accessible. UWV still has 200 kilometres of physical files and the numbers are still growing.

This policy is related to UWV general objectives. Focusing on functional requirements, technical translation is bound by company rules related to a reference architecture, with which all information systems have to comply. DIM and other departments, IT Policy and Architecture and the Programme for Customer Services, (predecessor to the CRO) established in 2006 a basic architecture which fits into the reference architecture.

Within the field of document and records management UWV is developing its functional requirements based on local and international standards for records management, for example Remano (based partly on the US D.O.D requirements) and InterLab (Dutch government body for document and records management). For the metadata standards the Dublin Core is the basic standard but since this is not sufficient for records management, UWV is extending it for the purpose of records management.

On a more strategic level the ISO 15489, on record management, is used to set requirements for document and records management. For managing projects UWV uses the PRINCE 2 method. The objective of the Dutch government is to move towards using a

general architecture across all Dutch government bodies, called NORA (*Nederlandse Overheid Referentie Architectuur* – Dutch Government Reference Architecture).

Although all these architectures and methodologies will contribute towards electronic availability and accessibility, DIM emphasizes that a highly qualified and motivated workforce is required to achieve the objectives. This is an academy has been established for everyone using products developed by DIM. This will be discussed in later in this paper.

The technology used for making information available is discussed in Section 4.

4. Technology Description

The change from a paper-dominated input, output and filing environment to a digital way of working is supported by an intricate network of software and procedures. Although this architecture with its software components is not yet fully developed, it will be adequate to support some (of the new) business processes implemented within UWV in 2007.

DIM's expertise is related to input, output and records management. UWV subscribes to the best-of-breed principle which entails that software components used for input, output and records management are those best suited to a specific task. Input management is supported by eFlow, a Xerox product. Output management is supported with OCE software (Prisma Satellite). The FileNet P8 suite is used for document and records management. These components communicate using Microsoft BizTalk as BPM software.

Input management (IM) ensures that all messages received are distributed into the organisation. The inputmanagement software is able to process both digital and physical documents. Paper documents are scanned before further processing. The software extracts all metadata from the document necessary for creating triggers for business process management and archiving. As soon as the input software recognizes the document (barcodes or layout) the software will call on the message catalogue which determines what metadata should be extracted to what purpose. The extracted metadata will then be placed in an UWVXML message. UWVXML is a UWV adaptation of XML.

This catalogue will communicate with the input software with metadata necessary for both the archive and for triggering the related business process. As soon as the message is created it will commence with the documents into the archive. From the archive a message will be returned to input management with an archive pointer so as to be able to retrieve the document later on. Thus the message is a separate entity linked to the received document.

In the future, the message catalogue will be supported by a file plan for records management. A file plan will support the principle of archiving records as soon as possible, preferably before case handling even starts.

The messages created by input management trigger a specific business process with the help of BPM software and workflow management (WFM). When information must be processed manually, workflow management is used to create the possibility for human interference. The documents received via input management can be retrieved by opening the link that was added to the (trigger) message after the document was placed in the archive. In most cases BPM will be able to determine if a document received from input management is a new case or additional information for a specific case. In the architecture BPM and/or WFM will start a new case file in the electronic archive. The document that was placed in the archive at an earlier stage is now linked to the created file.

Documents created in a work process are supported by output management (OM) software to determine the communication channel preferred by citizens. The software also allows for the filing of all documents defined as archiving records. Records management entails the discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations. Records are different from documents. They cannot be modified or deleted except in controlled circumstances. Records are filed in a document management system. In the future, a records

management application (RMA) will be added, ensuring that UWV is compliant with information and archiving laws.

This technology will primarily support highly structured processes such as processing claims for social-security benefits. Currently, architects and policy makers are working on extending and adding functionalities that will enable less structured processes to also use these technologies efficiently. For example, a project will be launched in 2007 testing the automatic classification of highly unstructured records with new software.

Table 1 shows the UWV architecture for input, output and records management. Both input management (IM) and output management (OM) are capable of handling different channels. BPM sends triggers to the primary applications (Prim syst). All records are filed in a document management system (DMS) and in a records management application (RMA). In time records will either be disposed of or in some cases made available to the Dutch National Archives (NA). Output is created either by messages directly from primary systems or with the help of data text integration (DTI) and filed.

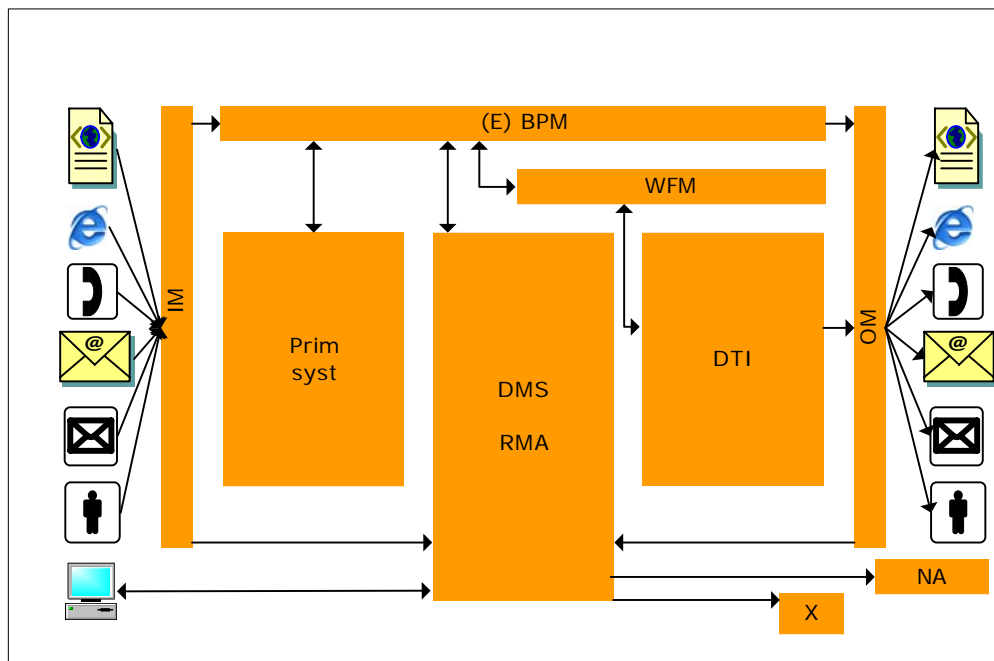


Table 1: The UWV Architecture for Input, Output and Records Management

Working with messages from input and output management to BPM is a crucial part of the architecture. Subsequently a document can always be traced if necessary. Another important feature is that this architecture will create possibilities for other social-security partners to communicate more easily with UWV and vice versa. Multiple messages can be created from one document, for example a change of bank account number and change of address. This is of great significance because most of the social-security departments are linked to municipal authorities, all with their own architectures, systems and procedures.

This architecture will enable immediate distribution of documents to related business processes. All information received or sent can be traced. Most information received from input or output management will be filed once received or sent. This means that information will be available and accessible within UWV itself, but also in the near future to other social-security bodies and clients.

5. Developments

As mentioned above UWV is cooperating with other social-security partners to establish a broad spectrum of services for citizens. Thus, the department of DIM at UWV must cooperate effectively with partners like CWI (Centres for Work and Income) and municipal

social-security departments in order to improve and maintain the effectiveness of work processes and collaborating systems. In order to achieve this, efforts from the department of HRM and HRD are focused on raising awareness concerning 'client and colleague satisfaction' amongst its employees.

5.1 *Client Satisfaction Awareness Program in Social Security: De Buitenwereld*

De Buitenwereld (literally: the world outside) is a specific client satisfaction awareness program developed by UWV staff. All UWV and social-security partner employees are invited to spend a whole day at *De Buitenwereld*. Employees experience in a realistic setting some of the personal stories related to each file, case or call. By focusing on the person behind the request, employees are challenged to reflect on their own performance and working routines in order to detect new ways of improving client satisfaction. It becomes apparent what may happen when departments do not collaborate efficiently. More than 15,000 people have spent a full day at *De Buitenwereld* by now.

However, this campaign is not a one-day event. A variety of training material, tips and tricks are shared with management and employees alike to improve cooperation, achieve results faster and improve client satisfaction through the department's performance as well as through their individual performance. If departments wish to continue training together *De Buitenwereld* can arrange this at their request. The DIM department is a pilot project in the follow-up of this program, as the DIM wants to transform to a more out-going, client-oriented department. Another initiative of DIM is the realisation of a DIM Academy.

5.2 *DIM Academy*

The work of the Document and Information Management Department is changing rapidly and must be met by the attitude, knowledge and skills of its employees. DIM employees must have a better understanding of how their work is supporting business processes and need better ICT skills. The changes in the field of DIM ask for different work activities and a pro-active, positive attitude towards colleagues, partners and citizens. As the level of required knowledge could not be met in 2005, a number of hired specialist contractors joined the team. Currently, UWV is implementing its plans to downsize its dependency on contractors. One way of achieving this goal is by establishing a DIM Academy.

The DIM Academy is responsible for ensuring that people have the required skills to anticipate upcoming changes. By interpreting and disseminating information about the field of DIM and changes in social-security issues affecting UWV, the DIM Academy must determine if there is a lack of specific knowledge and skills required to achieve those goals. The DIM Academy has to implement the most effective ways to do this.

Training is provided for all the DIM's employees to achieve understanding of the overall functioning of DIM in order to support business processes. Focus is on 'train the trainer'. Enthusiastic DIM employees, wanting to incorporate teaching and training in their regular work, are first trained to teach their colleagues. This group will be teaching other employees about the new content of work as well as the required attitude. Depending on the regular tasks of the employee, this training will also be given to other UWV employees with DIV tasks (example: project secretary department).

Changing to a well-functioning network organisation cannot be achieved overnight. Scaffolding is the key to gradually enhance the skills and knowledge of DIM employees. In 2007 a number of in-company training sessions are provided to the employees, facilitating the possibility to obtain a (nationally recognized) diploma, either at the level of vocational or higher education. Managers are pivotal in facilitating learning as a part of daily routine.

A change in working procedures within the department will be implemented to emphasize sharing knowledge. Examples are the giving of regular presentations about work issues to others within and outside the department, coaching by experts within the

department of newly-arrived permanent staff, traineeships, assigning employees to projects or teams that extend their skills, job rotation, etcetera. Hired experts must be continuously challenged to share their knowledge with UWV employees. At the end of 2007, the DIM Academy must be fully implemented in the UWV organisation.

6. Results

The solutions implemented within the UWV will mean that:

- Clients are able to communicate with UWV through their preferred channel of communication. Input and output management will manage to process information received from most channels. If possible, this will be supported by a digital channel such as the Internet, or xml messages. If necessary, clients can still personally contact UWV. By means of input, output and document/records management information from channels will be digitally available and accessible.
- Clients are able to view their files online in a secure setting. Clients can view the status of a claim being processed online and retrieve all documents related to a specific case.
- With the help of technological solutions UWV as a government organisation will become more transparent for citizens.

Within UWV the support given by input, output and archiving software will result in:

- A faster and more efficient way of distributing documents within the organisation.
- Complete files, because fewer documents are misplaced or lost.
- A means of complying with Dutch information and archiving law.
- Employees being able to access most information digitally and simultaneously sharing of information.
- Digitally transferring files from one office to the other, thereby avoiding the risk of losing files during transport.
- Creating the possibility for related Dutch institutions in the field of social welfare to make use of the expertise and technology developed by the UWV.

Document & Information Management Department HRM/HRD activity results include:

- New job descriptions, new HRM procedures and training expected to yield results
- Departmental focus on knowledge management
- Focus on basic department training to ensure effective employee collaboration

7. Business benefits

Business benefits from this reorganisation and integration project are expected in terms of efficiency: a general communication system, favourable to citizens and collaborating organisations, saving energy, paper as well as operating costs. General effort is put in harmonisation and reduction of the amount of data collected and used in each organisation, which results in an even greater reduction of operating costs. Also, avoiding fraud on social security obligations is becoming more effective.

Developing a Client Relations Office for the entire social-security system is a positive step towards providing an effective public service and it is a sign of transparency. Services are provided to citizens at the portal in an intuitive way, implying user friendliness in navigation as well as the choice of words in the provided content. Business benefits for the DIM department are a high-quality workforce, reduced business risk due to the overall training of staff and thus reducing future dependency on hired personnel.

8. Conclusions

A number of achievements are:

- Developing the UWV transformation outline without delaying 'business as usual'

- A basic architecture for input, output, and records management within the general UWV reference architecture.
- Implementation of an extensive and social HRM/HRD plan for all UWV employees.
- Creation of a DIM Academy.

8.1 *Further Work Needed*

The architecture with its software components will be adequate to support some (of the new) business processes within UWV in 2007. The technology will at first support highly structured processes such as processing claims for social-security benefits.

The Client Relations Office will start operation in 2008. The harmonisation of the work processes and integration of computer networks will also be realised in 2008. Currently, architects and policymakers are working on extending and adding functionalities that will enable less structured processes to also use these technologies efficiently. Within the next three years the new architecture has to be fully implemented, including the establishment of a support organisation to manage existing solutions and carry out subsequent changes.

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8.2 *Recommendations*

- Firstly, do not hesitate to hire experts to guarantee the pace of innovation. Secondly, make a plan on how to diminish departmental dependency on these experts.
- Web services are a step towards a better service to citizens. However, these e-services should not be considered a privilege for citizens as they do not necessarily mean better services for common citizens.
- Transform gradually: major transformations cannot be fully planned at the start, but are developed in stages.
- DIM must be expert in it's own field of expertise, yet facilitating towards the needs from the primary business process.
- Make sure DIM advisors are able to translate client needs into DIM solutions. Outstanding communication skills are pivotal.
- Provide citizens with an efficient service so that they receive the support they need to resume their working career as soon as possible. Evaluate with the citizen as a client how the provided service can be further improved.

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