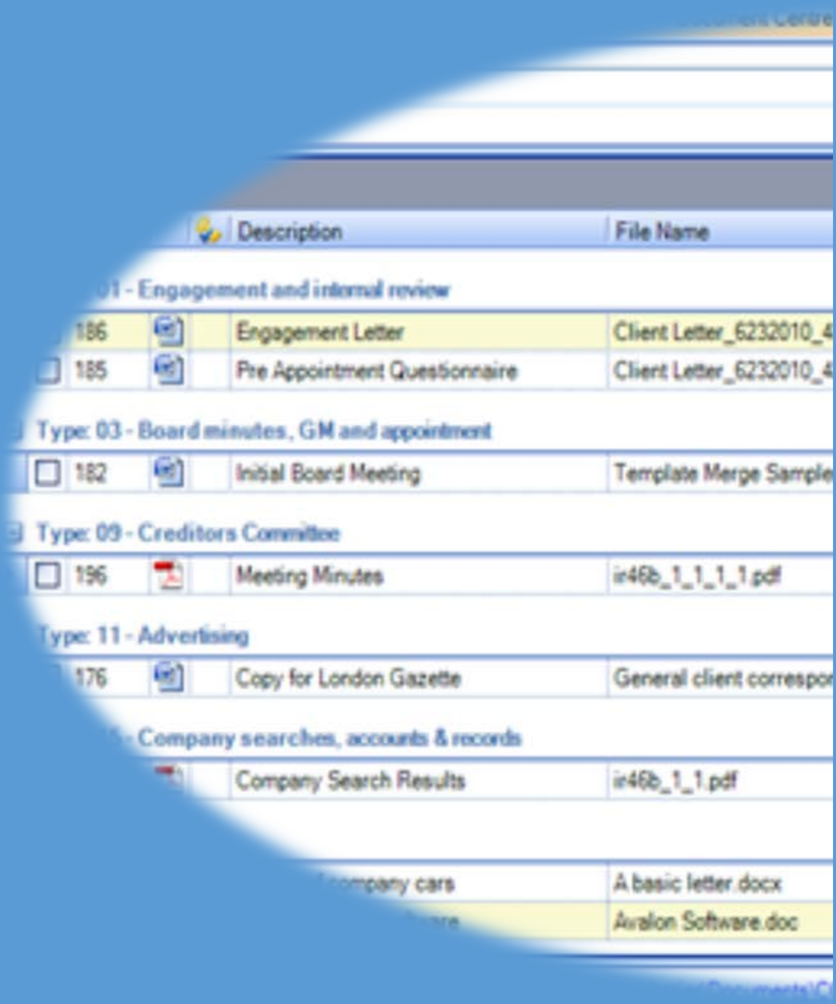
Insolvency Filing in CCH Document Management



WHITE PAPER

About the author….

Charles Verrier was the product manager for Singleview from its earliest days as ‘Viztopia Knowledge Management’. He had primary responsibility for the development and implementation of the product throughout its life.

Charles personally consulted, installed and implemented the majority of Singleview systems and is deeply familiar with the products’ design and functions.

In 2007, Charles left MYOB (as it was) to become a freelance consultant with a specific focus on Electronic Document Management systems for the accountancy profession.

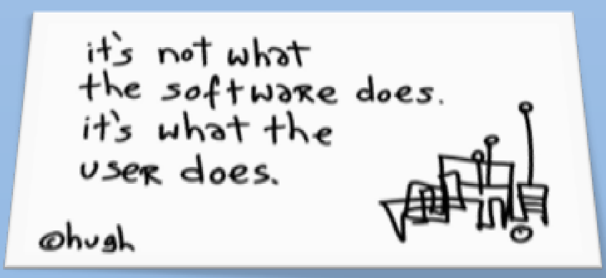
Charles has consulted and trained on CCH Document Manager - developing feedback for CCH on the product, writing training materials and developing best practice for the implementation of the software.

Charles has developed ties with all of the major document management suppliers – developing an unrivalled breadth of understanding of document management practices within the profession – from sole traders to national firms. He was on the judging panel in the ‘Paperless Office’ category for the SIFT 2010 Software Satisfaction Awards.

Charles has completed agent accreditation with both INVU and Autonomy WorkSite, and has provided advice and consulting services to several software companies on their document management offerings.

Charles Verrier Consulting Limited
Ashleigh House
Oxleaze Road
Tetbury
GL8 8JR

Web: www.cv-consulting.co.uk
Mail: Charles@cv-consulting.co.uk
Tel: 01285 700880

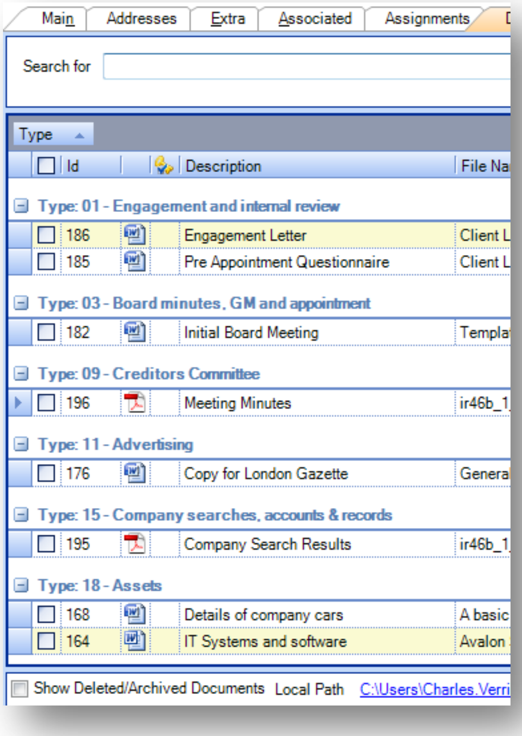


INTRODUCTION

Corporate Recovery practices have very specific filing demands that differ dramatically from that used in General Practice. Until recently, CCH Document Management struggled to provide the tools for successful implementation in an Insolvency practice.

The October 2012 release (v2012.3) of CCH Document Management introduced a number of enhancements that make the job of constructing an insolvency filing structure a great deal easier. The key enhancement is the new ability to associate Document Types with Assignments.

In previous versions of the software, all document types were offered to the user at all times. This meant that users in the general practice part of the firm would see the entire list of document types for insolvency jobs and vice versa.   This made the list of document types very long and cumbersome to use (for both sides) – almost to the point that the system as a whole became impractical to use.



Now that it is possible to define a special set of insolvency document types that will ONLY appear for Insolvency clients, things become much clearer and simpler for users.

There are two ways to implement an insolvency filing structure in CCH Document Management. In both cases, the challenge is in finding ways to ensure that documents are properly coded to one of the many file-sections in a typical insolvency job file.

The two designs are:

1. **Using Document Types to represent File Section**
2. **Using Document Extra Fields to represent File Section**

The first option produces a simpler design for day to day use, but only at the expense of a loss of the ability to categorise different kinds of document within a file-section.

The second option offers a much more detailed level of organisation, but at the expense of extra mouse-clicking for each document.

On the next few pages, each approach is described in more detail, setting out the design choices, the practical steps to implement the design, and a description of how the design would work in day to day use.

OPTION 1 – USING DOCUMENT TYPES TO REPRESENT FILE SECTIONS

This option involves the following key design elements:

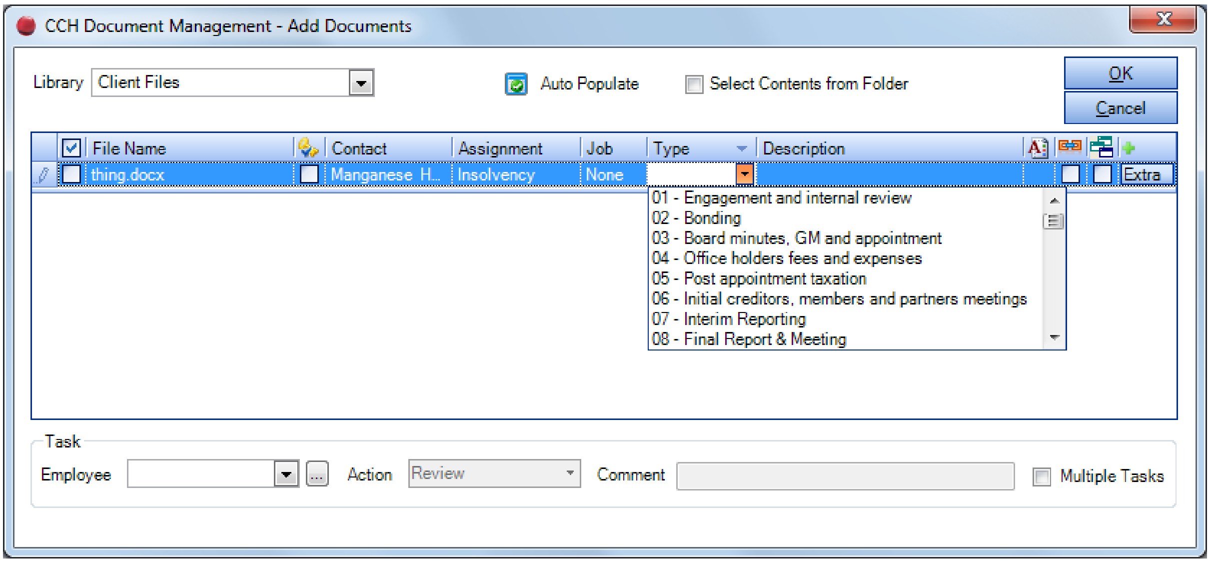
- **Document Types are created to represent the different 'File Sections' in the firms preferred Insolvency file structure**
- **'File Section' Document Types are linked to the 'Insolvency' assignment so that they only appear when filing documents against Insolvency clients.**
- **The Document Centre for Insolvency users is configured to group by Document Type as default.**

This approach results in a filing system that can be grouped and organised in a way that will be familiar to anyone coming from a traditional paper job file…

OPTION 1 IN USE

'ADD DOCUMENT' FUNCTIONS

For upload, Email Filer, and CCH Scan operations, the 'Add Documents' window opens in the usual way:



1. The user must select the client AND the 'Insolvency' assignment. (Jobs are not normally used with Insolvency assignments, so 'Job' will remain set as 'None').

2. The user files the new document to a File Section by clicking on the 'Type' field and selecting the appropriate option (If the file sections have been given a numeric or letter prefix – not uncommon in insolvency file systems – then the user can type the number or letter as a shortcut)

3. The 'Description' is particularly important with this approach because, with Document Type being used for file-section, there is no other place to categorise the document

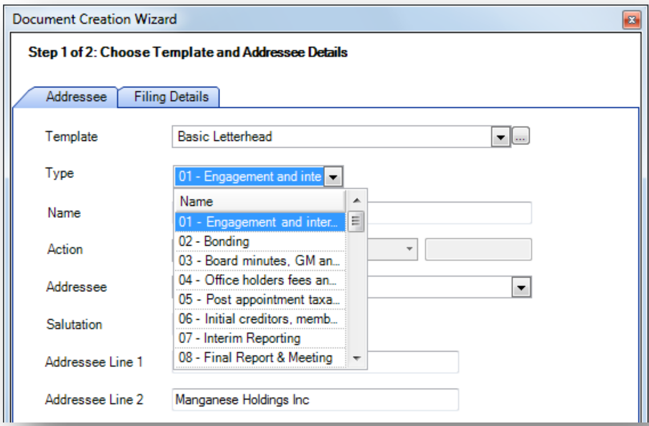
4. The user then completes the rest of the form in the usual way – adding tasks and document links as needed before clicking OK to save the document.

'CREATE DOCUMENT' FUNCTIONS

For template-based Word documents, the CCH document creation wizard is completed as normal, selecting a template and addressee information.

The user then uses the 'Type' field to file the document to the appropriate section.

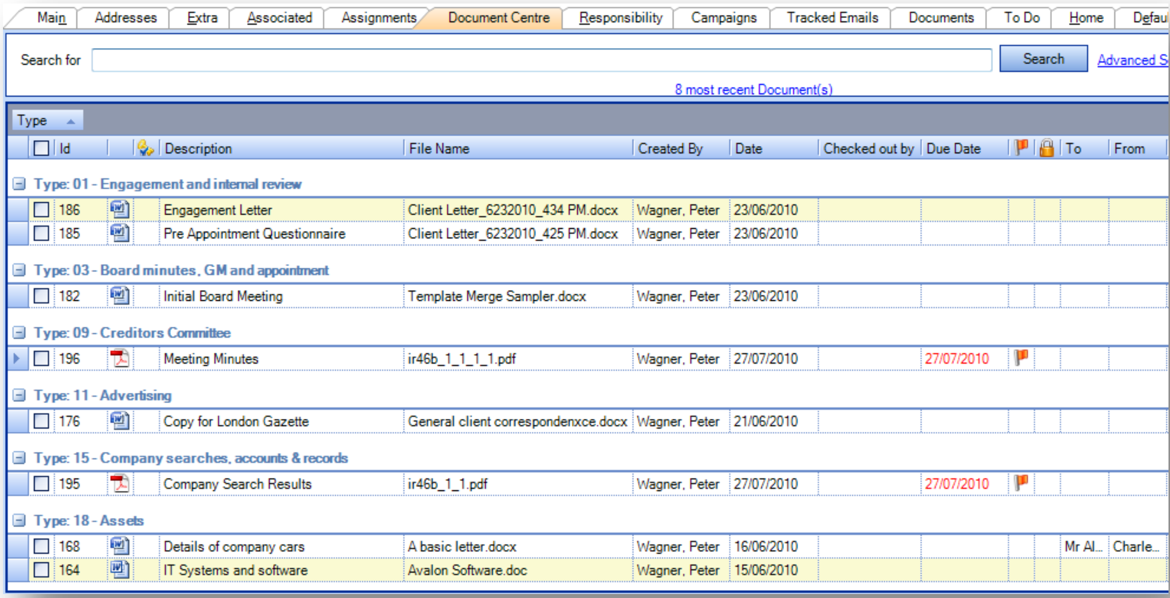
To reduce the user's workload, special Insolvency specific templates can be configured to pre-select an appropriate file section automatically.



SEARCHING AND VIEWING

With the Document Centre configured to group by Type, the user's view of an insolvency file will be quite familiar:

The display shows only those file-sections that actually contain documents, so in small simple cases, the user can very quickly review the entire job without needing to consider unused or empty file sections.

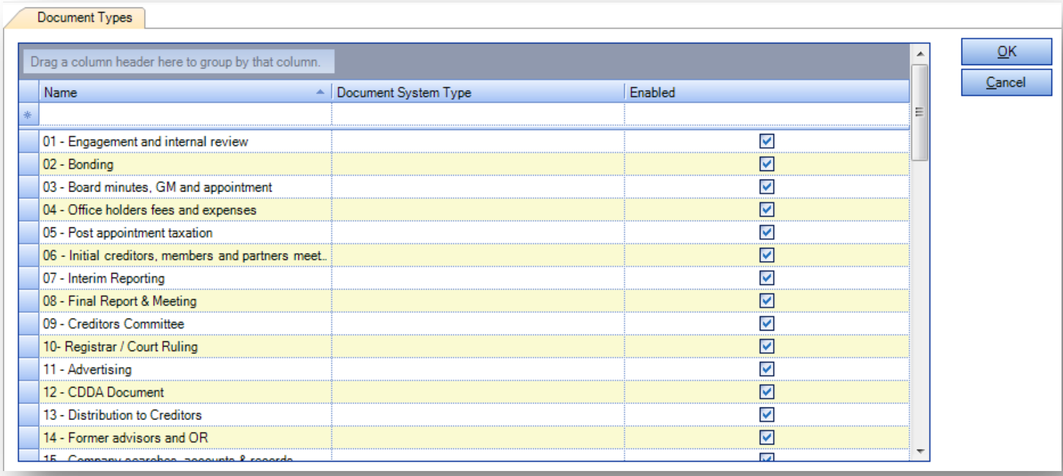


All the usual sorting, searching and grouping tools are available for users who wanted to reorganise the job files in other ways for a particular reason (By date, for example).

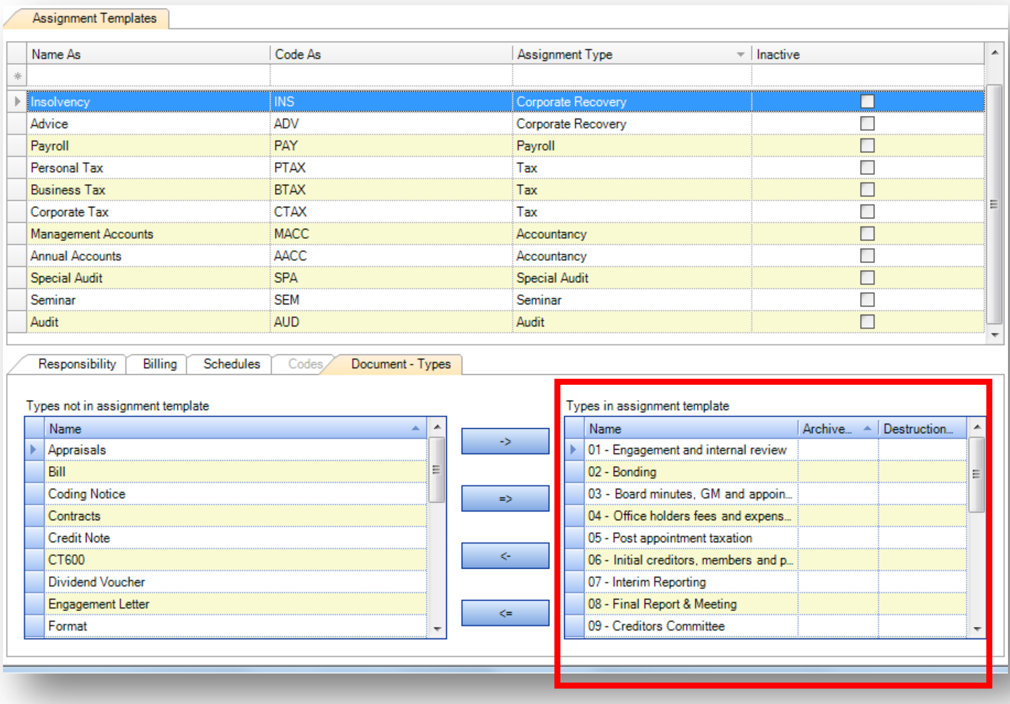
This approach works well if your priority is being able to see the job file organised on a single screen by section. It also involves the least amount of work (i.e. mouse-clicks) for users when filing documents into the system.

IMPLEMENTING OPTION 1

1. Create a set of document types **(MAINTENANCE >> DOCUMENT MANAGEMENT >> DOCUMENT TYPES)** that mirror the different folder sections that the practice uses in a typical Insolvency job.



2. Make sure that the new Document Types are all linked with the Client Filing library. **(MAINTENANCE >> DOCUMENT MANAGEMENT >> LIBRARIES AND TYPES)**
3. Edit the 'Insolvency' Assignment Template so that it exclusively uses the new types. **(MAINTENANCE >> ASSIGNMENT >> ASSIGNMENT TEMPLATE)**



Ensure that the new Document Types are REMOVED from all other (non-insolvency) Assignment Templates. This ensures they will not be used accidentally on a General Practice client record.

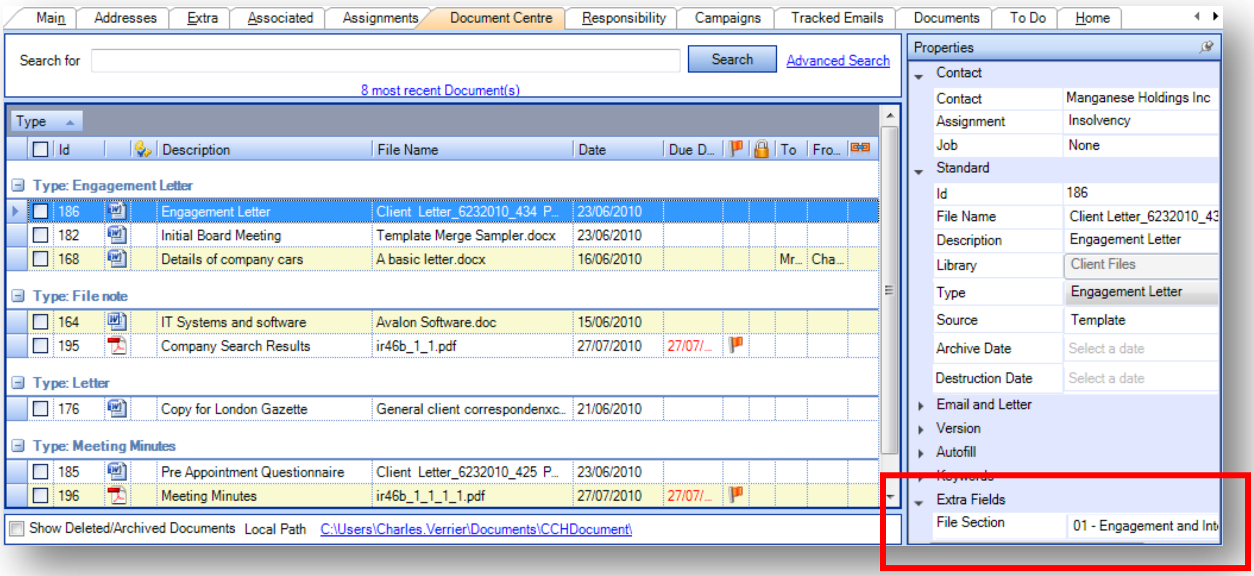
OPTION 2 – USING DOCUMENT EXTRA FIELDS TO REPRESENT FILE SECTIONS

CCH Document Management includes a facility to create extra custom fields against a document – extending the standard 'index card' fields to record additional information about a document.

This feature can be used build an insolvency filing structure that does not monopolise the 'Document Type' field. The key features are:

- **Document Types are used in the more traditional way, to represent the different flavours of document that might be found in a job file (Correspondence, Bank Statements, Working papers, Checklists, etc.)**
- **The File Section document types are linked to the 'Insolvency' assignments so that they only appear for Insolvency jobs.**
- **A Document Extra Field is created to allow for recording a documents' file-section. This appears as an extra field at the base of the document Properties panel (See screenshot below)**

This approach results in a filing system that is closer to the way that CCH Document Management works in general practice. It also means that users have greater abilities to filter and organise the file by particular *kinds* of document ('find all HMRC correspondence in this file').



While offering a greater degree of categorisation/filtering, this approach has two significant disadvantages:

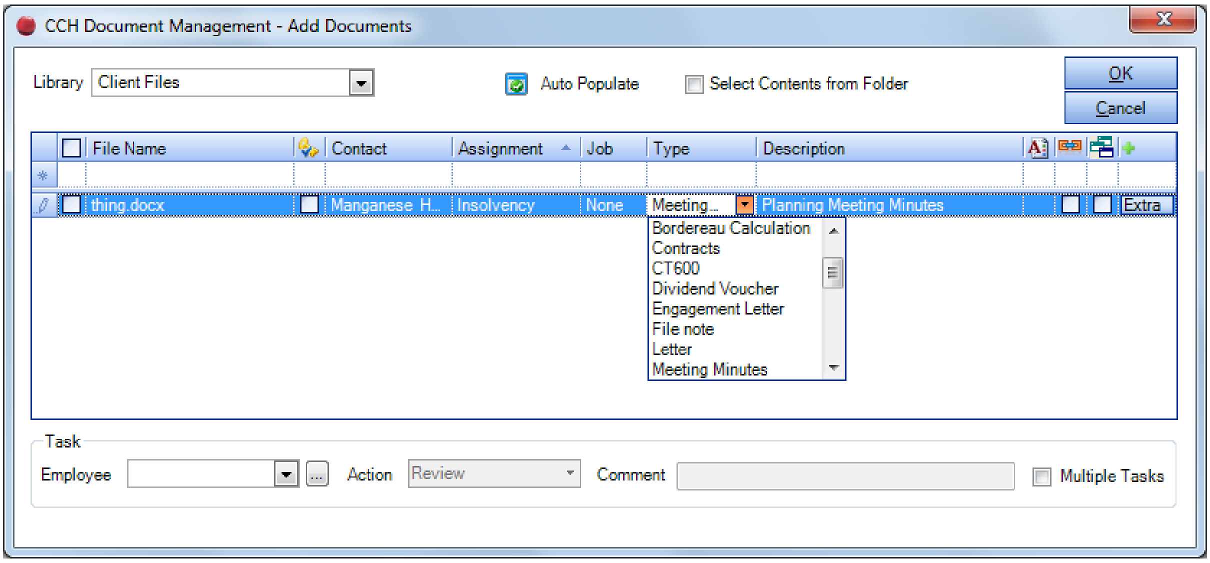
1. **Filing documents involves FOUR extra mouse clicks per document, as Extra Detail fields are somewhat separate from the standard profile fields**

2. **Users cannot view an entire job file on screen organised by file section. You can see the entire file as a single list (or grouped in various ways), or you can see a single file-section at a time. This is because CCH does not allow users to add Extra Fields to the Document Centre, so there's no way of grouping or sorting on this information.**

OPTION 2 IN USE

'ADD DOCUMENT' FUNCTION

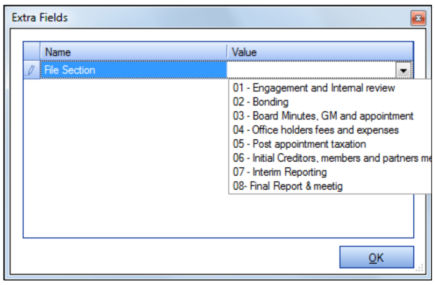
For upload, Email Filer, and CCH Scan, the 'Add Documents' window will open in the usual way:



1. The user must select the client AND the 'Insolvency' assignment. (Jobs are not normally used with Insolvency assignments, so this will remain set as 'None').

2. The user selects the document type by clicking on the 'Type' field and selecting the appropriate type value for the document being filed (the list would offer only those types that have been associated with the Insolvency assignment). The user would also enter a description for the document.

3. To categorise the document into a particular file-section, the user then clicks the 'Extra' button at the right of the screen to open the 'Extra Fields' window.

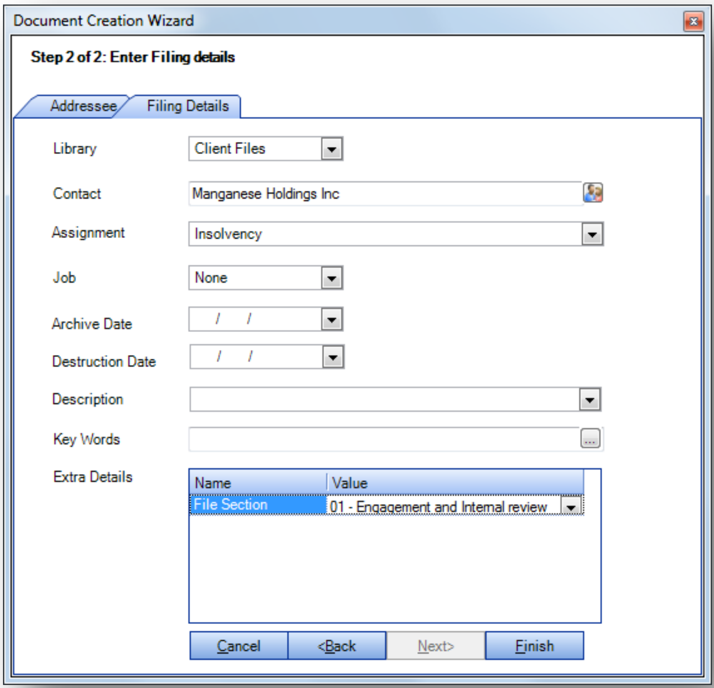
   In comparison to Option 1, this adds at least FOUR extra mouse clicks for every document.

   1. **Click the 'Extra' button**
   2. **Click the 'Down Arrow' to open the drop-down list**
   3. **Click on a File Section value (if the list is long, there may be more clicks to scroll down)**
   4. **Click 'OK' to close the Extra Fields window**

4. The user then completes the rest of the form in the usual way – adding tasks and document links as needed before clicking OK to save the document.

'CREATE DOCUMENT' FUNCTION

For creation of template-based Word documents, the document creation wizard is completed as normal; with the user again ensuring that the Assignment is selected to 'Insolvency'. The 'Type' field is used in the 'traditional' CCH approach for defining the 'flavour' of document being created (Letter, Report, File note, etc.). Templates can be configured to pre-select an appropriate type to reduce user workload on this screen.

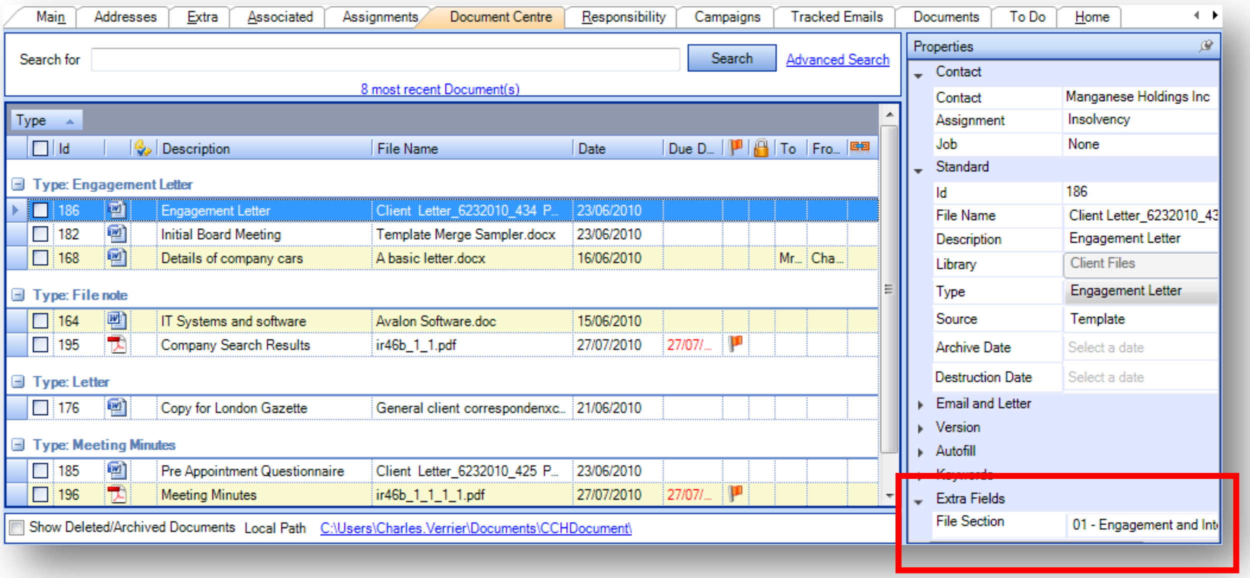


To categorise the document to a File Section, the user must access **Step 2** of the Document Creation Wizard, which includes a section at the base of the screen where the user can select the file section for the new document.

If (as would be sensible) the extra field has been configured as 'Mandatory', then the user will not be able to complete the wizard until they have entered this field.

SEARCHING AND VIEWING

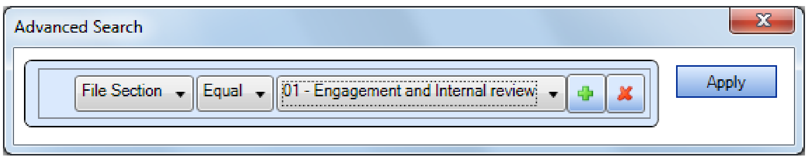
When the user opens the Document Centre for an Insolvency client, the documents will be organised in much the same way as for a General Practice client.



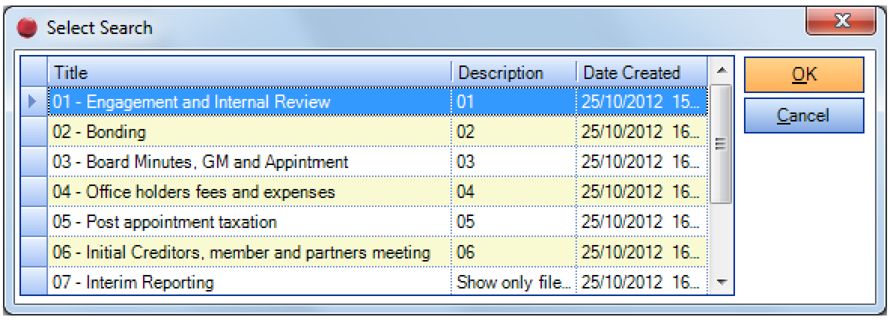
The user can sort and group in various ways (including by Document Type). **However** there is NO option in the Field Chooser to add the 'File Section' field to the main document list, so you cannot sort or group by File Section. This is clearly not ideal for users who want to review the whole file in one glance.

The File Section for a document appears only as an entry at the base of the document properties panel (see red highlight box on the screenshot below).

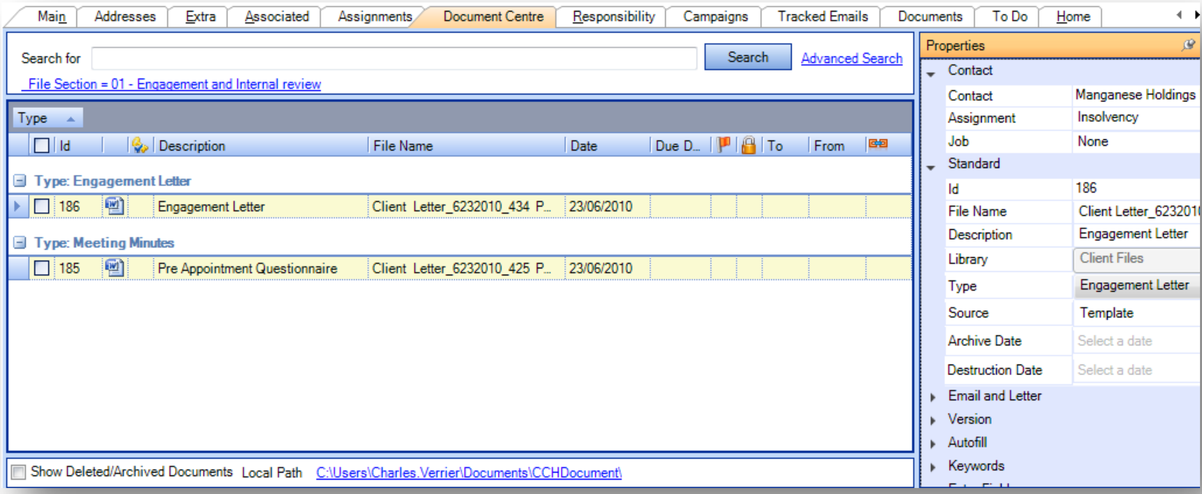
To view the contents of a particular file-section only, the users would have to use the 'Advanced Search' function to filter the client file by one particular File Section value..



An obvious extension from this would then be to save the search for quick re-use in the future – building up a set of saved searches that would provide access to each file section for a client….



Selecting a Saved Search would then display just those documents that had been coded to the selected File Section…



Unlike with Option 1, you would still be able to filter, sort and group by Document Type, so different kinds of document could be identified within the section, which may be of value of you have thousands of documents in a section.

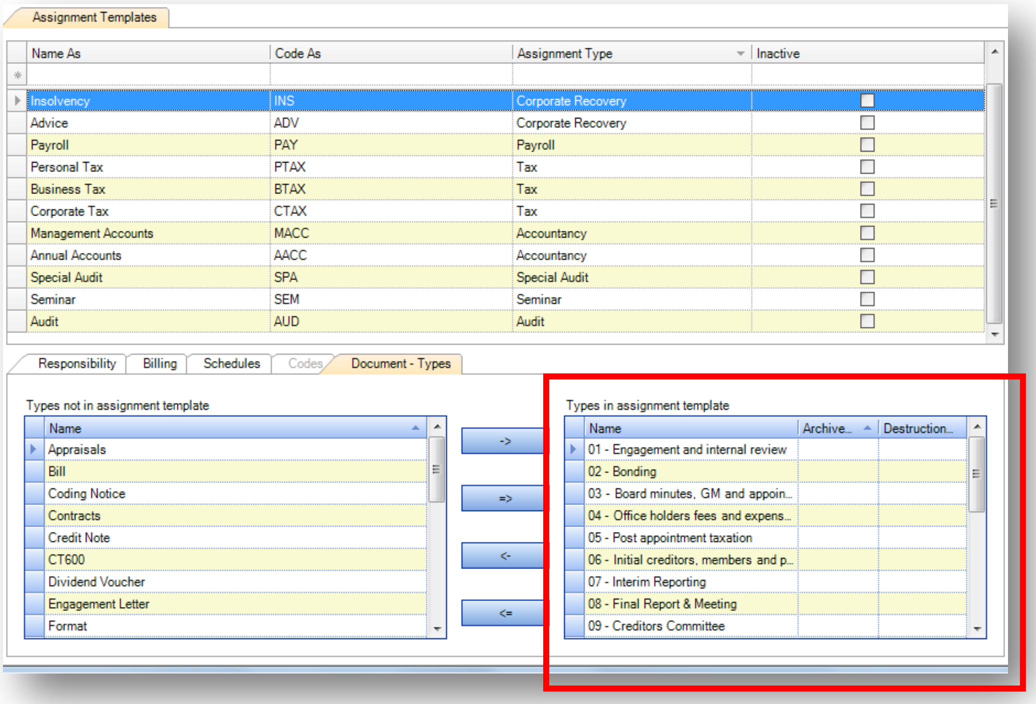
This approach works well if your priority is being able to filter the Insolvency file to a greater level of detail within or across file-sections. It might also work better for large jobs where the large number of documents in the job makes a grouped list of the entire file impractical, and it becomes more important to be able to operate grouping and filtering within each file-section than to see the entire file on screen at once.

IMPLEMENTING OPTION 2

1. Create a set of document types **(MAINTENANCE >> DOCUMENT MANAGEMENT >> DOCUMENT TYPES)** that mirror the kinds of document that the practice uses in a typical Insolvency job. This list can be very generalised and quite small (Letter, File Note, Working papers, etc), but these types must be independent of the Document Types used for General Practice clients, so you may need a 'Letter (Insolvency)' type to distinguish it from the 'Letter' type used elsewhere.

2. Make sure that the new Document Types are all linked with the Client Filing library. **(MAINTENANCE >> DOCUMENT MANAGEMENT >> LIBRARIES AND TYPES)**

3. Edit the 'Insolvency' Assignment Template so that it exclusively uses the new types. **(MAINTENANCE >> ASSIGNMENT >> ASSIGNMENT TEMPLATE)**



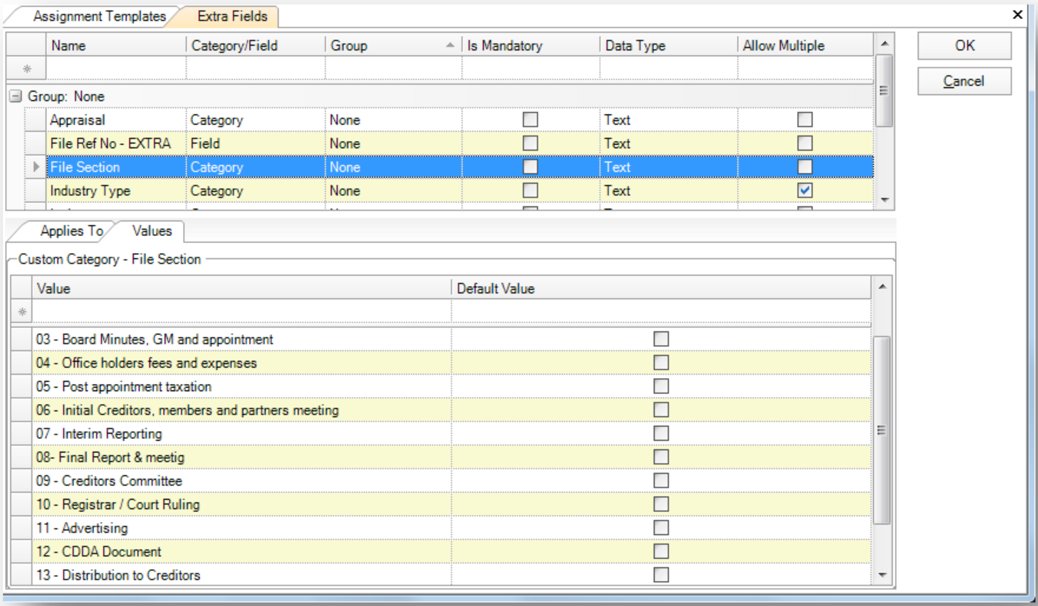
4. Ensure that the new folder section Document Types are REMOVED from all other (non-insolvency) Assignment Templates. This ensures they will not be used accidentally on a General Practice client record.

5. Create a new User Defined field **(MAINTENANCE >> USER DEFINED >> EXTRA FIELDS).** Call it 'File Section' and configure it as a 'Category' with data type of 'Text'.

6. Access the 'Applies To' tab and set it to Apply to 'Documents' only.

7. Populate the 'Values' table of the new field with the names of the insolvency file-sections used in your firm.

8. Optionally, you can tick the '**Is Mandatory**' box to force users to complete this for every document filed to an insolvency job.



9. For EACH Document Type you have created for use by the insolvency department, you must activate the new extra field.

   Access **MAINTENANCE >> DOCUMENT MANAGEMENT >> LIBRARIES AND TYPES EXTRA FIELDS** to display the maintenance screen, and for each Document Type, add the 'File Section' extra field to the 'is available' pane by clicking **->.** (Sadly this might take some time depending on how many types you have!)

NOTES

In the current version of CCH Document Management, the linking of Document Type to Assignment exhibits one or two limitations that can result in user confusion!

- When editing the document properties of a document in the 'Properties' panel of the Document Centre, the user is always offered ALL document types, regardless of the assignment that has been selected. This means that users still have to deal with a large list of types, many of which are entirely inappropriate for the client.
- If the user leaves 'Assignment' blank when filing a document, the software again lists ALL document types. There is no way to force users to select an assignment, so the correct procedure must be stressed during training to ensure users don't leave the Assignment field empty.

As of version 2012.3, it may also be possible to use security groups to limit access to the 'wrong' kind of document type and mitigate these issues. By creating an 'Insolvency' security group and excluding the general practice Document Types from that group (via **MAINTENANCE >> SECURITY >> DOCUMENT SECURITY**), the non-insolvency Document types would be permanently hidden from general practice users. A degree of care would be needed to ensure there were no unexpected side effects from such an action, and clearly any partner or member of staff who needed to review documents across departments would not be suitable for this.

Option 1 ½

It is worth pointing out that it would be possible to create a hybrid of the two options – using the Option 1 approach, and then adding custom fields (from the Option 2 approach) to provide a degree of document-type categorisation (the extra field would be set up with a list of types (Letter, Bank Statement, Checklist, Meeting Minutes, etc.) and the user would have the option of selecting these if they wished.

This approach does suffer from the same disadvantage of option 2, namely that it adds four extra mouse-clicks PER DOCUMENT, but there may be times when this extra workload can be justified, and if you made the extra field optional, then users need only incur the extra workload on documents where it really mattered.

CONCLUSION

While there is still room for improvement, the latest version of CCH Document Management now delivers a level of functionality to at least make insolvency filing within a multi-disciplinary practice a practical proposition.

For small to medium sized practices, I recommend using the option 1 approach, as it minimises the user workload for each document, and provides a perfectly workable display of an entire job, organised by the traditional file-sections that staff will find familiar.

APPENDIX: UNDERSTANDING THE CCH DOCUMENT APPROACH

CCH Document Management is tightly integrated with the Time & Fees design used in CCH Practice Management. When you file a document, you *must* categorise that document using information from the CCH Central and Practice Management database.

LIBRARY

In CCH Document Management, a Library is the top-level container for a collection of documents. For example: A firm might have one library for Client Filing, and another for administrative and HR filing. Sadly, CCH Document only permits a single Library to be associated with the Central Contact/Client record, so general practice and Insolvency client documents have to co-exist inside the same library – which is where the problems arise.

CONTACT/CLIENT

Within the client filing library, every document *must* be coded to a client (it cannot be saved until this has been done). This ties the document directly to the Contact database in CCH Central.

ASSIGNMENT AND JOB

CCH Document Management prefers it when each document is associated not just with a client, but also with a particular Assignment. An assignments' primary purpose is for recording timesheet entries to particular jobs, but in general practice, these typically mirror the way in which paper document files are organised. If you need a 'Personal Tax' assignment in CCH Practice Management, then you'll probably have a tax file in a cupboard for that client.

The 'best practice' recommendation from CCH is that assignments are organised into 'Jobs'. A Job usually represents a tax or financial year. The Document Management system uses jobs to categorise a document in the same way.

DOCUMENT TYPE

Every document filed to CCH DM *must* be assigned a document type. Document Type is an important categorisation system within the software. It can be considered as similar to the once-common practice of using different coloured paper in a traditional client file (Green paper for HMRC correspondence, pink for bills, etc.)

CCH uses a document's type to decide how the document is treated:

- Different Document Types can be given different security settings (in terms of who is allowed to view, edit and delete the document)
- Different Document Types can be assigned different archive and destruction lifespans
- Different Document Types can be assigned different combinations of 'extra' fields

So… when filing a piece of tax working papers to a personal tax client, a user might complete the CCH document profile as follows:

- **Library** = **'Client Files'**
- **Contact** = **'SM001 – John Smith'**
- **Assignment** = **'Personal Tax'**
- **Job** = **'2012'**
- **Type** = **'Letter'**
- **Description** = **'Letter enclosing draft SA100'**
- **Filename** = **'SA100Letter.DOC'**

In general practice, this works well because the range of Assignments in CCH (Personal Tax, Accounts, Payroll, etc.) translates nicely to the sort of document filing structures demanded by most firms. The Assignment design can match the filing design.

With insolvency jobs, this is not the case. Time & Fees analysis demands are usually very simple (just enough to deliver SIP9 compliance), often with no more than two or three assignments ('Pre-Appointment', 'Post-Appointment' and 'Advice' is the most elaborate I've encountered). Conversely, the typical insolvency case-file has many sections (and sometimes sub-sections):

File Section	Contents
A – Appointment	All paperwork up to appointment, and all post appointment statutory and working filing
B – Assets	Correspondence relating to sale of assets, including agents correspondence, sales packs, pensions
C – Creditors	Correspondence with creditors
D – Employees	Employee correspondence, paperwork, etc.
E – Office Holders Bank A/c	Receipts, payments and journal documentations, Opening of accounts investigations
F – Post Appointment Taxation	VAT Returns, VAT notification (VAT 769), VAT 426/427/833 Corporation tax returns and working papers
G – Remuneration	Working papers to support bills, SIP9 analysis of final fees and details of disbursements
H – Checklists & Working Papers	File Notes, Strategy Notes, Checklists, six monthly reviews Diary Printouts, Inventory of books and records Work Plans, including explanations for decisions made Dividend calculations and working papers.
I – Investigations	Correspondence with directors, bankrupts Investigation correspondence including solicitors D returns, checklists and working papers
J – Creditors Committee	Six-monthly reports
K – Trading	Cashflows, Purchases, Sales, VAT, Working papers and file notes, trading and P&L accounts, Orders and commitments File notes of trading decisions.
L – Closing	Final reports, Fee calculations, tax clearances, closing checklists
M – Other Correspondence	

The problem when setting up an Insolvency filing system in CCH is that there is no obvious place in the standard document profile to record the file-section a document should appear under, which is why this document has been prepared.