

## EDRMS BUSINESS RULES

Before an agency can decide on business rules, it has to decide how it intends to use EDRMS once it is installed.

3 models have been described below, with a description of how they would work, and benefits and risks of each. Please note that these benefits and risks are from my perspective, and they are open to debate.

It is important that any decision about which model to use takes in to account the needs and likely behaviours of end users, not just management and administrative staff. EDRMS implementations live or die based on the actions of end users.

It is also important to ensure that all business unit users are using the system according to the same model, as this system is designed to support the way that people work.

### MODEL 1

Under this model, shared and personal drives are still used. Staff author documents outside the EDRMS in shared or personal drives.

When the documents are ready for a formal approval process, they are saved in The EDRMS.

All documents are saved attached to The EDRMS files (electronic versions of official files).

Share Drive Folders may be linked to an The EDRMS equivalent via an The EDRMS Reference (basically a small file that, when double clicked, opens a folder in The EDRMS).

**Fully electronic or hybrid?** Either. The agency can choose to scan all incoming paper documents or leave them in physical form and create a physical version of the electronic file. (Note – I recommend going fully electronic if you can commit to the effort of scanning, in that someone looking at the electronic version of the file can feel secure that they are looking at all the relevant documents). Whatever decision is made, it needs to be carried out consistently.

**Workflow.** Can be handled in one of 3 ways

1. Full The EDRMS workflow
2. Via the EDRMS approval process
3. Via email (email as an informal workflow tool)

**Versions.** Can be handled in one of 4 ways

1. The EDRMS versioning accessible via right click and relying on user to include the business context of the version in notes
2. Saving versions with the email that transmitted them (“here is the version for submission to the board”, “the board has considered your paper and approved it subject to the following changes”) – relies on option 3 under workflow above
3. Saving versions against the workflow step that created them (a bit like 2 above) – relies on option 1 under workflow above
4. Saving versions against the the EDRMS approval step – relies on option2 under workflow above

Options 3 and 4 would need to be tested – I am not sure if they come “out of the box” with the EDRMS

**Email** – Email would be saved in the system

**Drafts** – Informal drafts maintained in shared drives. Informal consultation would be done through shared drive copies. Formal consultation and approval would be done through versions in The EDRMS.

**Document check in / check out.** Not used, as all documents are records.

**Non-records documents** – These include background informational documents, eg copies of academic papers, interstate policies. These are not captured in The EDRMS.

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## BENEFITS OF MODEL 1

- Mimics the way users currently work most closely, thereby minimizing impact
- Does not confuse end user with many document “states”, eg draft, published, final, checked out
- Low risk
- The management of records in the system is (mostly) done automatically by the system, with a minimum of staff input

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## RISKS OF MODEL 1

- Saving records in the system relies on the end user
- Non-official drafts not controlled, not quickly full text searchable
- Shared drives still need to be managed

## MODEL 2

Under this model, personal drives are still used, but shared drives are shut down. Staff author documents outside The EDRMS in personal drives, or the The EDRMS equivalent of a personal drive.

When the documents are ready for a formal approval process, or need to undergo informal consultation, they are saved in The EDRMS.

All documents that are records of business activity are saved attached to The EDRMS files (electronic versions of official files). Documents that are not records are saved in a relevant subject folder along with the files, except those in a user's The EDRMS equivalent of a personal drive.<sup>1</sup>

**Fully electronic or hybrid?** Either. The Agency can choose to scan all incoming paper documents or leave them in physical form and create a physical version of the electronic file. (Note – I recommend going fully electronic if you can commit to the effort of scanning, in that someone looking at the electronic version of the file can feel secure that they are looking at all the relevant documents). Whatever decision is made, it needs to be carried out consistently.

**Workflow.** Can be handled in one of 3 ways

1. Full The EDRMS workflow
2. Via the the EDRMS approval process
3. Via email (email as an informal workflow tool)

**Versions.** Can be handled in one of 4 ways

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<sup>1</sup> See Attachment 1 for a description of how this might work

1. The EDRMS versioning accessible via right click and relying on user to include the business context of the version in notes
2. Saving versions with the email that transmitted them (“here is the version for submission to the board”, “the board has considered your paper and approved it subject to the following changes”) – relies on option 3 under workflow above
3. Saving versions against the workflow step that created them (a bit like 2 above) – relies on option 1 under workflow above
4. Saving versions against the the EDRMS approval step – relies on option 1 under workflow above

Options 3 and 4 would need to be tested – I am not sure if they come “out of the box” with the EDRMS

**Email** – Email would be saved in the system

**Drafts** – Informal drafts maintained in shared drives. Informal consultation would be done through shared drive copies. Formal consultation and approval would be done through versions in The EDRMS.

**Document check in / check out.** Needed for documents going through an informal consultation phase.

**Non-records documents** – These include background informational documents, eg copies of academic papers, interstate policies. These are not captured in The EDRMS.

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## BENEFITS OF MODEL 2

- Shared drives do not need to be managed
- The management of those documents in the system is (mostly) done automatically by the system, with a minimum of staff input

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## RISKS OF MODEL 2

- More disruptive
- Relies on staff to save documents that are records in to the system and attach them to files
- More complex implementation for end user, many document “states”, eg draft, published, final, checked out

## MODEL 3

Under this model, shared and personal drives are shut down. Staff author documents wholly within The EDRMS application.

All documents that are records of business activity are saved attached to The EDRMS files files (electronic versions of official files). Documents that are not records are saved in a relevant subject folder along with the files.

All internal transmission of documents is via The EDRMS, not via email.

**Fully electronic or hybrid?** Electronic. The Agency must scan all incoming paper.

**Workflow.** Can be handled in one of 2 ways

1. Full The EDRMS workflow

2. Via the the EDRMS approval process

**Versions.** Can be handled in one of 3 ways

1. The EDRMS versioning accessible via right click and relying on user to include the business context of the version in notes
2. Saving versions against the workflow step that created them – relies on option 1 under workflow above
3. Saving versions against the the EDRMS approval step – relies on option 2 under workflow above

Options 2 and 3 would need to be tested – I am not sure if they come “out of the box” with the EDRMS

**Email** – Email would be saved in the system. There would be less need to save email for communication within the Agency, as more documents would be shared and approved via the The EDRMS client.

**Drafts** – Informal drafts maintained in the EDRMS. Informal consultation would be done through The EDRMS versions not attached to files. Formal consultation and approval would be done through versions in The EDRMS attached to files.

**Document check in / check out.** Needed for documents going through a consultation phase.

**Non-records documents** – These include background informational documents, eg copies of academic papers, interstate policies. These are not captured in The EDRMS.

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### BENEFITS OF MODEL 3

- Work controlled through a business tool and in a controlled environment (The EDRMS)
- No longer have to manage shared drives
- The management documents is (mostly) done automatically by the system, with a minimum of staff input
- Records that should have been saved in files are still in the system (but often lacking in business context)

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### RISKS OF MODEL 3

- Most disruptive change model leading to potentially unhappy staff
- Potential to halt business within the office or force rollback if model does not support the business adequately
- More complex implementation for end user, many document “states”, eg draft, published, final, checked out
- Staff lack incentives to attach documents that are records to files, as these documents are already in the system

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