

# ERMS, Case Management & Workflow

**Richard Jeffrey-Cook**  
**Director of Operations**  
**In-Form Consult Ltd**

## Case Management - Definition

“The process of managing transactions performed in a structured or partly-structured way.”

✍ Information typically held in Case Folders.

- Records
- Documents



## Examples of case management

- ✍ Permits, applications, benefits etc...
  - Licensing food premises
  - Planning application
  - Benefit application
- ✍ UK FOIA or EIR enquiries
- ✍ Regulatory cases
  - Mis-sold endowment policies

## Contents of a Case Folder

- ✍ Case folders:
  - Typically numerous
  - Contain similar set of documents
    - ✍ Variations on a theme
    - ✍ e.g. Application form, assessment, authorisation or rejection letter
  - Requirements for retention under legislation
  - May be created (and in many cases closed) by junior staff

## Application software

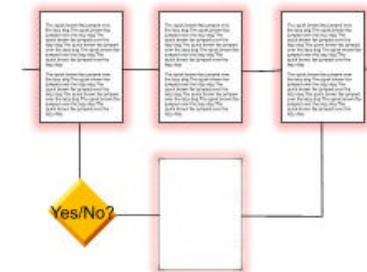
- ✍ Many applications incorporate case management
  - Don't need full-blown EDRMS functionality
  - Don't focus on long-term storage or disposal
  - Increasingly need to cope with many channels of communication
    - ✍ Letter
    - ✍ E-mail
    - ✍ Telephone
    - ✍ Web-form
    - ✍ Instant messaging or mobile phone texting

# Workflow

“The automation of a business process, in whole or in part, during which documents, information or tasks are passed from one participant to another for action, according to a set of procedural rules.”

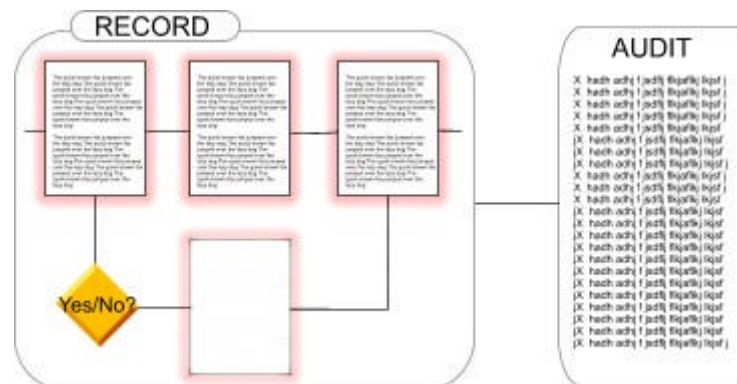
## ✍ Different types of workflow

- Document workflow – “holiday application form”
- Enterprise workflow – workers used flexibly on a number of tasks, managed according to demand
- High volume transactions – insurance claims, simple set processes



# Workflow and ERMS

- ✍ Workflow process itself may be a record
- ✍ Processes can involve
  - Creation of a record or records
  - Declaration of a record or records
- ✍ Audit trail may be required for an instance of a workflow process



## Workflow Processes

- ✍ No single standard
  - eBXML standard (OASIS) (latest v 2.0.2)
  - OASIS Business Transaction Protocol (v1.1.0)
  - Wf-XML – Workflow Management Coalition (latest v.2.0)
- ✍ None consider RM requirements for a workflow process although they do address areas such as security

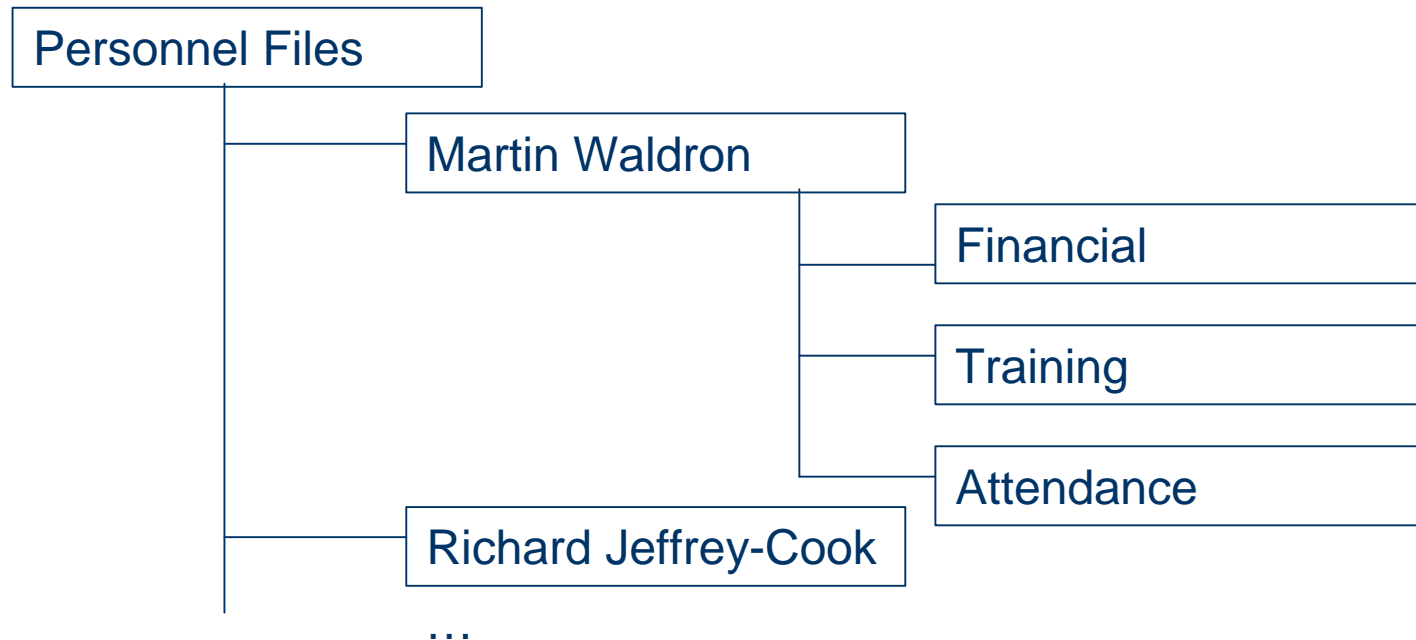
## Important Requirements

- ✍ Capture a case process as a record
- ✍ Distinguish policy from case folders
- ✍ Ability to open case folders or even a case “class”
  - by application
  - validated
  - with appropriate reference
- ✍ Ability to close folders
  - on reaching appropriate point in process
- ✍ Ability to link to structured data
- ✍ Option for sub-folders

## Important Requirements (2)

- ✍ Declaration triggered by process
- ✍ Extract metadata from application
  - Sufficient for RM needs
- ✍ Ability to dispose of case according to rules
- ✍ Full audit trail
- ✍ Ability to export
  - Case
  - Process associated with case
  - Audit trail

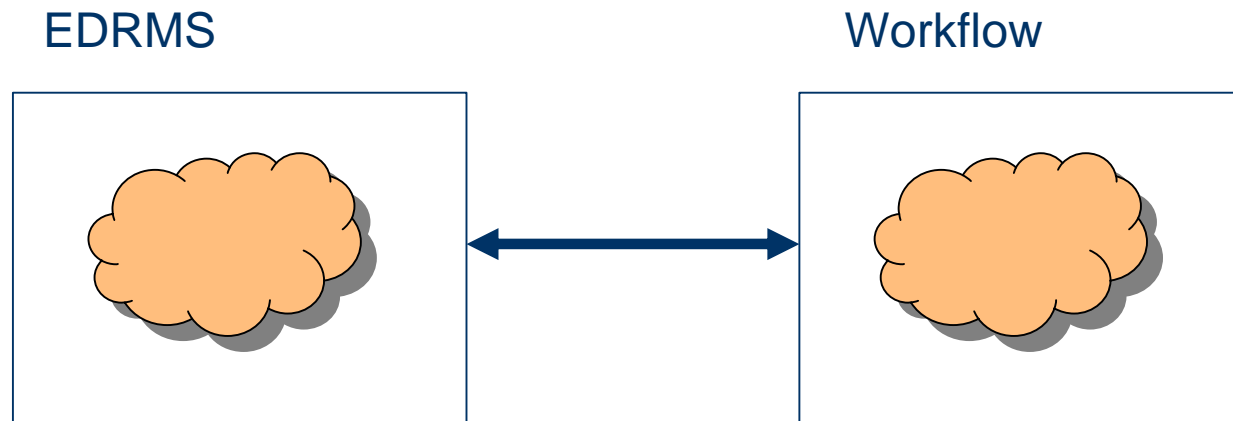
## Example of case “class”



- ✍ Different retention schedules and access control for Financial, Training, Attendance

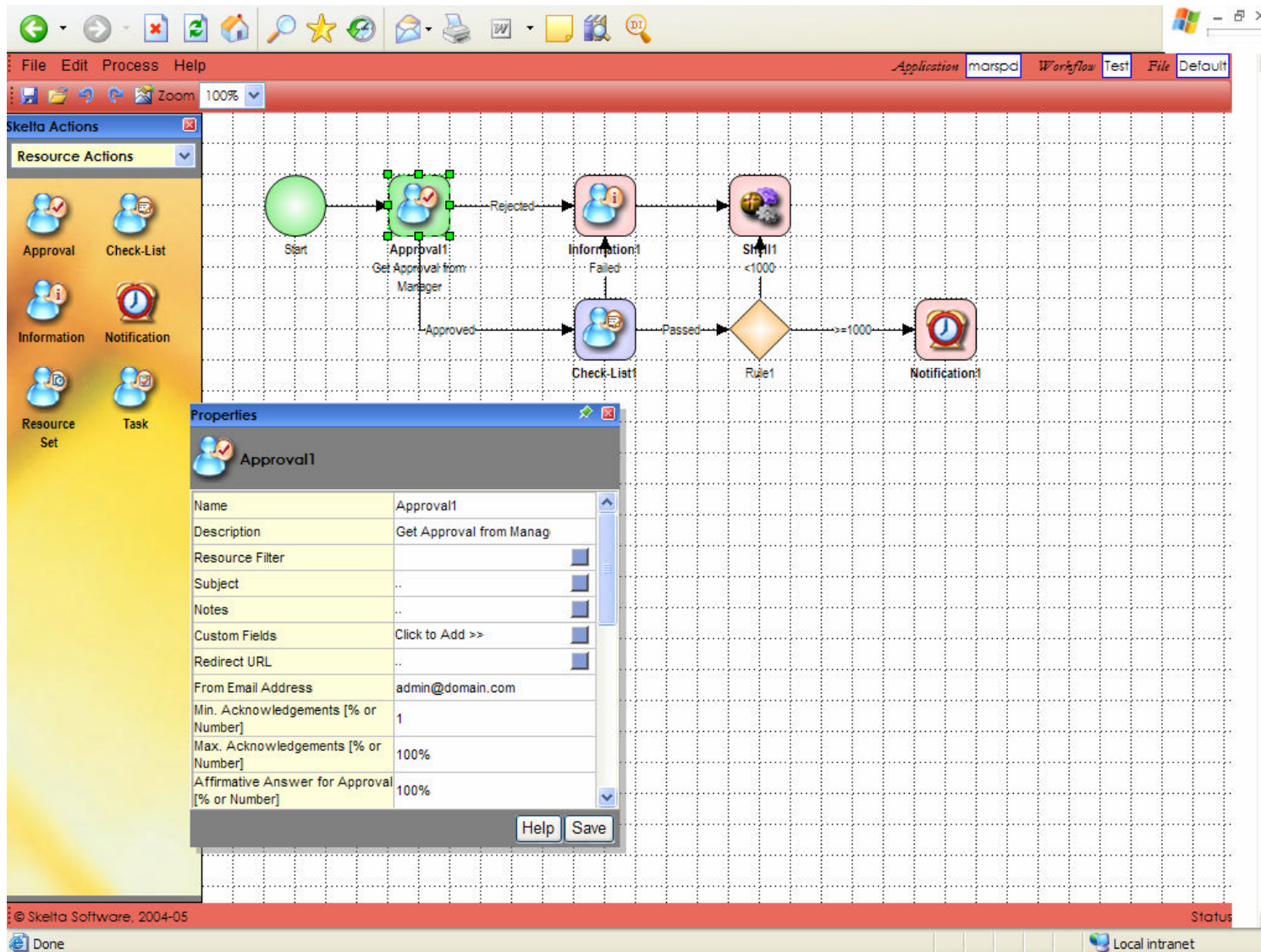
## Philosophy

- ✍ Workflow applications incorporate RM?
- ✍ RM applications incorporate workflow?
- ✍ Integrate RM and Workflow applications?



Hard edges, soft centres

# ERMS Incorporating Workflow



The screenshot displays the Skelta Actions workflow editor interface. The main workspace shows a workflow diagram on a grid background. The workflow starts with a green circle labeled 'Start', followed by a green square task labeled 'Approval1' with the description 'Get Approval from Manager'. From 'Approval1', there are two paths: one labeled 'Rejected' leading to a pink square task 'Information1' with description 'Failed', and another labeled 'Approved' leading to a blue square task 'Check-List1'. From 'Information1', the flow goes to a pink square task 'Skill1' with description '<1000'. From 'Check-List1', the flow goes to a yellow diamond task 'Rule1'. From 'Skill1', the flow goes to 'Rule1' with the condition '<1000'. From 'Rule1', the flow goes to a pink square task 'Notification1' with the condition '>=1000'. A 'Properties' window is open in the foreground, showing details for the 'Approval1' task.

**Properties**

Name	Approval1
Description	Get Approval from Manag
Resource Filter	<input type="checkbox"/>
Subject	..
Notes	..
Custom Fields	Click to Add >>
Redirect URL	..
From Email Address	admin@domain.com
Min. Acknowledgements [% or Number]	1
Max. Acknowledgements [% or Number]	100%
Affirmative Answer for Approval [% or Number]	100%

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Local intranet

**Any Questions ?**

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