

ERMS, Case Management & Workflow

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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

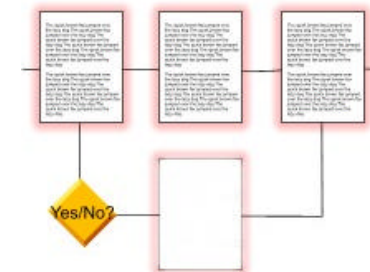
- ✍ Many applications incorporate case management
 - Don't need full-blown EDRMS functionality
 - Don't focus on long-term storage or disposal
 - Increasingly need to cope with many channels of communication
 - ✍ Letter
 - ✍ E-mail
 - ✍ Telephone
 - ✍ Web-form
 - ✍ Instant messaging or mobile phone texting

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.”

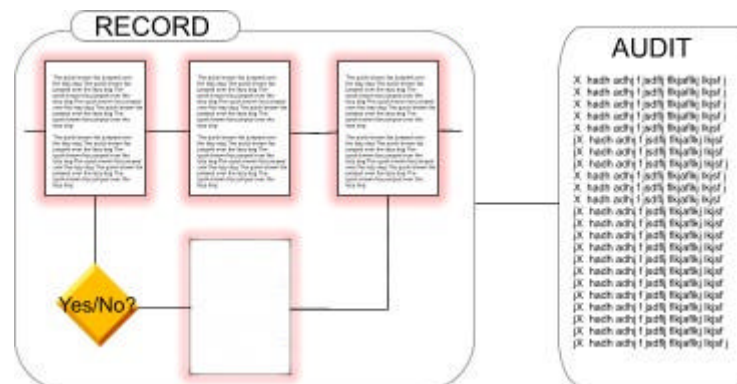
✍ Different types of workflow

- 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

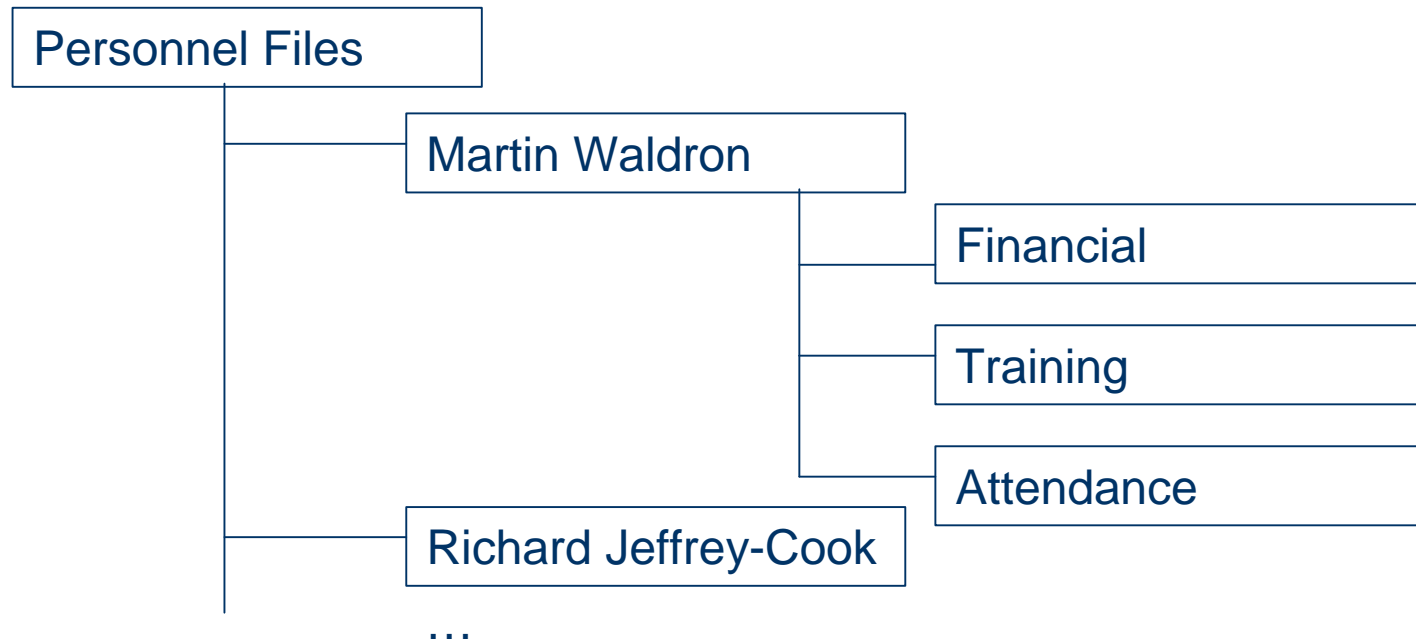
Important Requirements

- ✍ 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

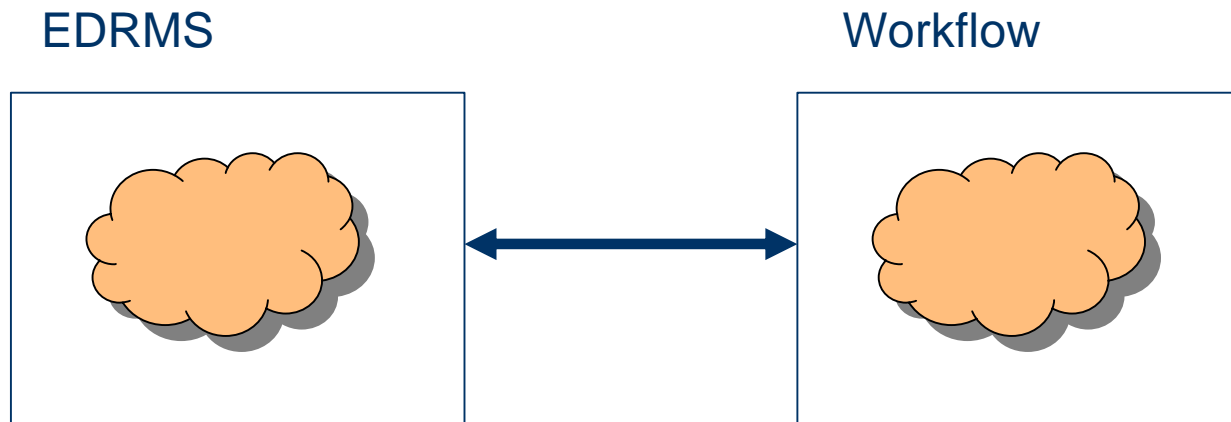
Example of case “class”



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

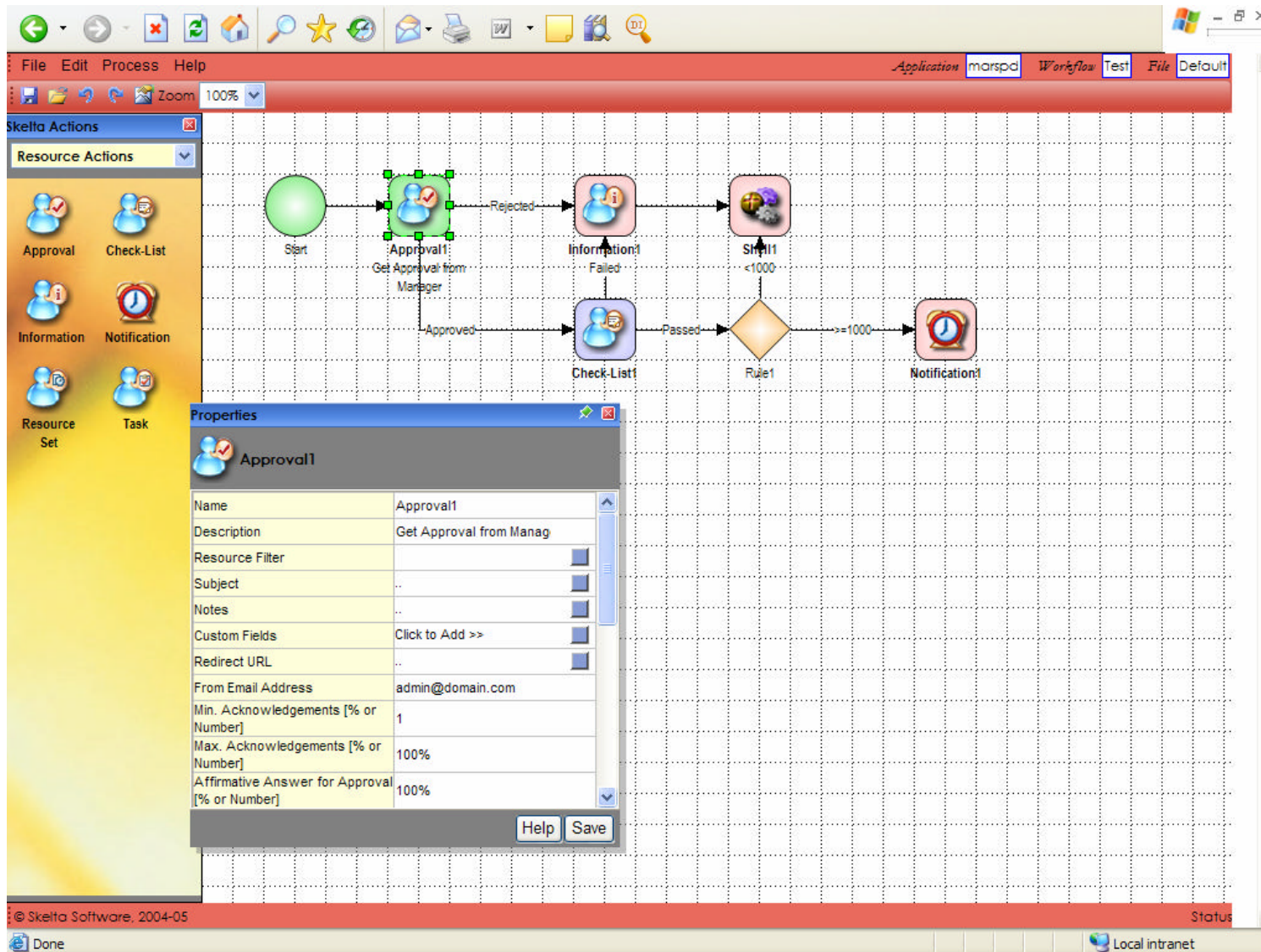
Philosophy

- ✍ 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 software interface. The main workspace shows a workflow diagram on a grid background. The workflow starts with a green circle labeled 'Start', which leads to an 'Approval1' task (represented by a person icon with a checkmark). From 'Approval1', there are two paths: one labeled 'Rejected' leading to an 'Information1' task (person icon with an 'i'), and another labeled 'Approved' leading to a 'Check-List1' task (person icon with a checkmark). From 'Information1', the path leads to a 'Skill1' task (person icon with a gear) with the condition '<1000'. From 'Check-List1', the path leads to a diamond-shaped 'Rule1' task with the condition '>=1000'. From 'Skill1', the path leads to a 'Notification1' task (bell icon) with the condition '<1000'. From 'Rule1', the path leads to another 'Notification1' task (bell icon) with the condition '>=1000'.

A 'Properties' window is open in the foreground, showing the configuration for the 'Approval1' task:

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

The interface includes a menu bar (File, Edit, Process, Help), a toolbar with various icons, and a 'Skelta Actions' sidebar on the left with categories like 'Resource Actions', 'Approval', 'Check-List', 'Information', 'Notification', 'Resource Set', and 'Task'. The status bar at the bottom shows '© Skelta Software, 2004-05' and 'Local intranet'.

Any Questions ?

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