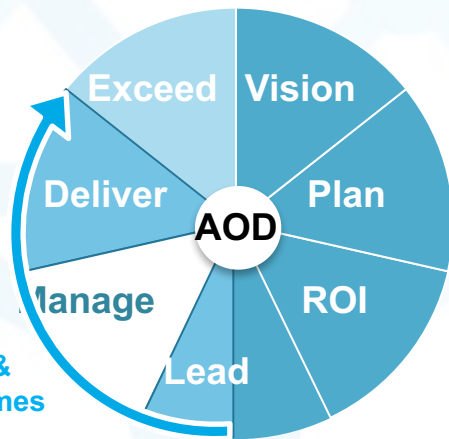


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Information Mgt Toolkit – EDRMS Project Def'n

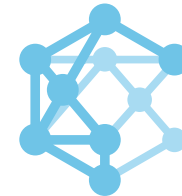


Sharing the tools our team use successfully to enhance Clients' information management and governance capabilities.....how we suggest adoption of best practice IM will secure real value from your organisation's knowledge and skills



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Electronic Documents & Records Management....

.....Project Definition Workshop



Agenda

10.00 - 11.00 - Intro to the use of document-held information:-

- A discussion to scope out the uses for document driven information, the proposed affected business areas and their key business processes. This should enable the rest of the day to remain focussed and may also identify some areas where quick wins could be achieved.

11.00 - 12.00 - What would the Scope of an EDRM project look like and how would it fit into the existing programme activity:-

- Key aspects of a Documents and Records Strategy
- How do you properly scope out an EDRMS project - some options
- How would an EDRM project fit into the wider programme

12.00 - 12.30 - Lunch

12.30 - 1.30 - What EDRM can do for an Organisation, the benefits and requirements of an EDRM project:-

- How does EDRM support an organisation,
- What are the benefits of EDRM in Efficiency and Effectiveness terms
- What metrics could be utilised to measure benefits
- What might a governance structure for managing EDRM look like.
- Ways that EDRM changes how an organisation performs

2.00 - 4.00 - EDRM Project Planning Workshop -

- Scope out the components and timelines of an EDRMS project.
- What are the tools and deliverables that would be required to maximise the technology capability
- What are the milestones of an EDRM project



Session 1: EDRM – Scope and Fit within a Transformation Programme

- Key aspects of a Documents and Records Strategy
- How do you properly scope out an EDRMS project - some options
- How would an EDRM project fit into the wider programme



Defining Documents and Records Strategy

1 - What

- Define the Principles you wish to apply to your information
 - Clear, concise, few in number , related to a specific capability that the strategy (or technology introduced by the strategy) will allow
- Define the Business Objectives they support
 - Relate the strategy to clearly defined Business goals
- Define the Policies implied by the Principles
 - What has to be mandated to allow the principles and business objectives to be achieved
 - Define whether Mandatory, Advisory, Guidance, Process
 - Technologically governed/controlled or business managed
- Define the Business Processes affected
 - What has to change in the way people
 - Behave, Operate, Deliver



Defining Documents and Records Strategy

2 - How

- Define the methodology to be applied across the organisation to implement
 - Project methodology
 - Rollout style
- Define the benefits and how they will be measured
 - What is delivered at the end of the Project
 - How do you define success
 - How will benefits be captured (end if financial - realised in cash)
- Define the timelines and ongoing review processes
 - When is the Strategy up for renewal/review



Future Vision: For all unstructured information contained in 'document' form

- **Information is accurate** – users “trust” the information to be correct
- **Information is re-used** – “re-use” of information is the norm – not re-invent
- **Information used to maximise its use and value** – information and records are created for purpose and controlled
- **Information created collaboratively** – information is created and managed within a group context.
- **Information is accessible** – information is clearly labelled and can be located easily
- **Information created and presented it in a way that assists its customers, stakeholders and staff**



Options to scope out an EDRMS project

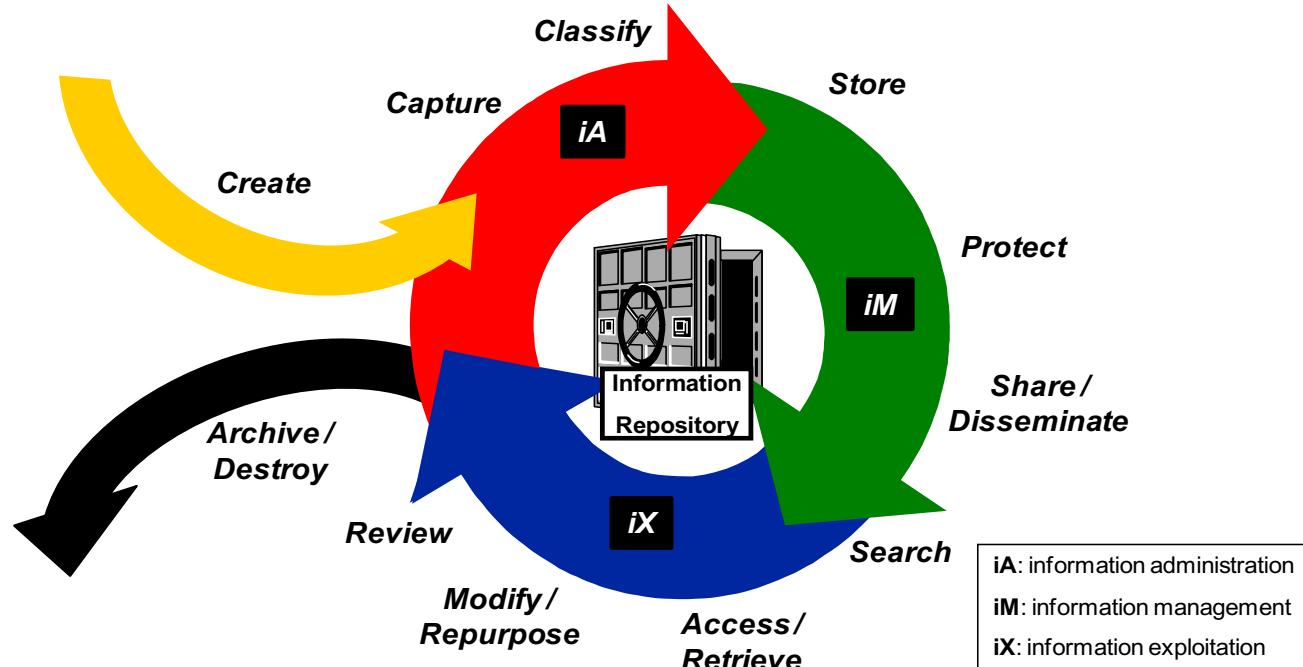
- **Technology**
 - Defined by the Technology Selected/available
 - Business processes are changed to meet functionality of system
- **Business Process**
 - Defined by the Business Processes
 - Technology is adapted to the process requirements
- **Information Centric**
 - Defined by Business Purpose – what is the information used for
 - Technology is defined by the Information Lifecycle needs



EDRM & Information Lifecycles

The information lifecycle

The procedures for document and records management are modelled on the information lifecycle:



EDRM – Project Scope

- A project that handles *Unstructured Information*:
 - Any document, file, image, report, form, etc. that has no defined, standard structure that would enable convenient storage a database - Examples of unstructured data are - Word, PDF, Excel, PowerPoint, text files, e-mail, etc

- There is an accepted international standard exists for the specification of EDRMSs:
 - *Model Requirements for the Management of Electronic Records - Update and Extension, 2008* (MoReq2).
 - This is a public domain specification, developed for the European Commission.
 - All leading EDRMS vendors are committed to ensuring that their products comply with MoReq2



High Level Functions of an EDRMS

- Document management
 - Version control, document 'check-in, check-out' for authorised editing
 - Access control
 - Collaborative creation of documents
 - Creation, capture & declaration of records, including:
 - Scanning facilities
 - Bulk importing
 - Classification of records using:
 - Business Classification Scheme, Fileplan, Classes, Files, Volumes
 - Retention and disposal,
 - Storage and archiving
 - Use and management of Metadata
 - Filing and indexing
 - Search, retrieval, and rendering, including:
 - Referencing
 - Printing and displaying records
 - Security and confidentiality
 - Access control
 - Tracking record movements
 - Authentication
 - Electronic signatures, encryption, electronic watermarks
 - Audit trail
 - Backup and recovery
- ALSO:**
- Management of non-electronic records (paper, images, video or audio)
 - Migration, & Digital Preservation of documents and records
 - Workflow
 - Integration with other systems – CRM, Accounting, Case Management etc.



The Scope of an EDRM Project – Points to Note:

Objective - What the project seeks to deliver:

This project will determine the requirements for electronic document management, will define how these requirements will be met and will produce a plan for the implementation of the proposed solution.

In Scope

- Service / Process
- Customer Service and Care & Support
- All documents and paper records
- Review and refine policy around document retention, data protection, FOI, document disposal
- Review what are the key documents and records and how are they used
- Define which documents will be stored electronically
- Define how the documents will be captured
- Define how the documents will be stored, structured and managed
- Define who needs what access to which electronic documents
- Technology
- Define how electronic documents are linked to other systems (POPS, CRM etc)
- Evaluate the current EDRMS solution against the developing EDRMS requirements
- People
- Definition of ongoing document management arrangements, teams, roles
- Produce plan for implementation of EDRMS strategy

Points to Note

- Identify those Business Processes using Unstructured Information that will be affected by a non-organisation level implementation & expand scope and/or design mitigation.
- Define which type of Document (Hard or Soft Copy) is the Master for any particular Class and then either declare that Class in or out of Scope – and govern accordingly.
- Involve the Business in EDRMS Management artefact design – difficult to impose process
- Decide the default status of information and design Access Model accordingly
- Avoid Technological “Rabbit Holes” – excessive Customisation (not Configuration) of EDRM solution
- Allocate (and prove in benefits case) sufficient people resources to ensure success in both transition and steady state.
- Scope clearly the level of training resources required and do not compromise



Integration with a Wider Programme

Build on other activities wherever possible

- Integration Workshops – Where does EDRM project implementation allow for integration with other projects:
 - Example – Training delivery in EDRM Workflow can be used as training in new processes
 - Relocation – EDRM is often an enabling mechanism for property consolidation
 - Cross Team/Geography organisational structures – collaboration can form the basis for facilitating organisational integration
- Dependency Matrix- How does the EDRM Project depend, or is depended upon, by other projects in the wider Programme:
 - Example – Process improvement studies can be used as the basis for designing workflow within EDRMS
 - Example - Collaboration capabilities can provide opportunities for introducing new management structures and processes – Matrix Management & Team Structures, Project Support processes etc
- Project Scheduling – based on rollout methodology and philosophy, either link EDRM to other activities or ensure no implementation conflicts/crossovers



Session 2:

EDRM – Benefits and Project Requirements

- How does EDRM support an organisation,
- What are the benefits of EDRM in Efficiency and Effectiveness terms
- What metrics could be utilised to measure benefits
- What might a governance structure for managing EDRM look like.
- Ways that EDRM changes how an organisation performs



Why EDRM? – The Problem

By not having the means to properly manage its unstructured information *, an organisation:

- doesn't know all the information it holds
- cannot easily find the information it does hold
- cannot easily use the information it does hold, across the Group either effectively or efficiently
- cannot properly control the information it holds
- has extensive duplication of paper and electronic records
- cannot easily ensure that it is using the right information in the best way to develop product and service
- has colleagues who are unaware of the value to the organisation or the legal implications of the records they hold

(*: documents, Pdfs, emails, presentations, plans, photos etc)



Why EDRM? – Overview

EDRMS will provide the capability to:

- **Improve information quality:** confidentiality, integrity, availability, consistency of information and one master
- **Find information more easily:** quicker responses to enquiries – legal, Freedom of Information, regulatory, audit, etc
- **Improve knowledge management:** for both paper and electronic documents
 - EDRMS can store a stub pointing users to a paper document in an indexed storage
- **Reduce business risk:** full traceability of decision making, compliance with legislative & regulatory regime
- **Boost productivity:** personal productivity improvements, streamlined processes
- **Reduce costs:** cost avoidance (storage, stationery, etc)



Why EDRM?:

Information quality and availability

- Confidentiality – contents can be secured
- One master - duplication can be minimised
- Integrity and consistency of information – version history and validation
- Improved management of all documents – both paper and electronic
 - Keeping all relevant information together in context, including e-mails
- Better management of e-mail – reduce critical information stored on e-mail servers
- Availability – Is always available
- Findability - quicker responses to enquiries – legal, Freedom of Information, regulatory, audit, etc
- Improved knowledge management: for both paper and electronic documents
 - EDRMS can store a stub pointing users to a paper document in an indexed storage
 - Keeping all relevant information together in context, including e-mails



Why EDRM?:

Reduction of business risk

- Full traceability of decision making
- Contributes to better business continuity and disaster recovery
- Improved responses to enquiries – legal, regulatory, Fol, audit, etc
- Compliance with legislative & regulatory regime:
 - For the Private Sector:
 - Data Protection Act (1998)
 - For the Public Sector:
 - Freedom of Information Act (2002)
 - Environmental Information Regulations (2004)
- Reduced risk of litigation – documents are of evidentiary standard
- Sound foundation for information security policy (e.g. prevention of inappropriate access, loss of sensitive data, etc)



Why EDRM?:

User productivity & Streamlining processes

More Productive Staff

- Quicker to create, classify and store documents
- Minimum admin burden on end users
- Streamlined staffing processes
- Secure collaborative working
- Better re-use of existing knowledge assets
- Easy access to old documents and other reference material

Simpler Processes

- Single repository + workflow - opportunity to improve business processes
- Platform for replacement of obsolescent applications
- Less paper – physical transport of paper increases turnaround times
- Faster communication of information across boundaries
- Learning from each other by breaking down silo boundaries – promulgation of “best practice”



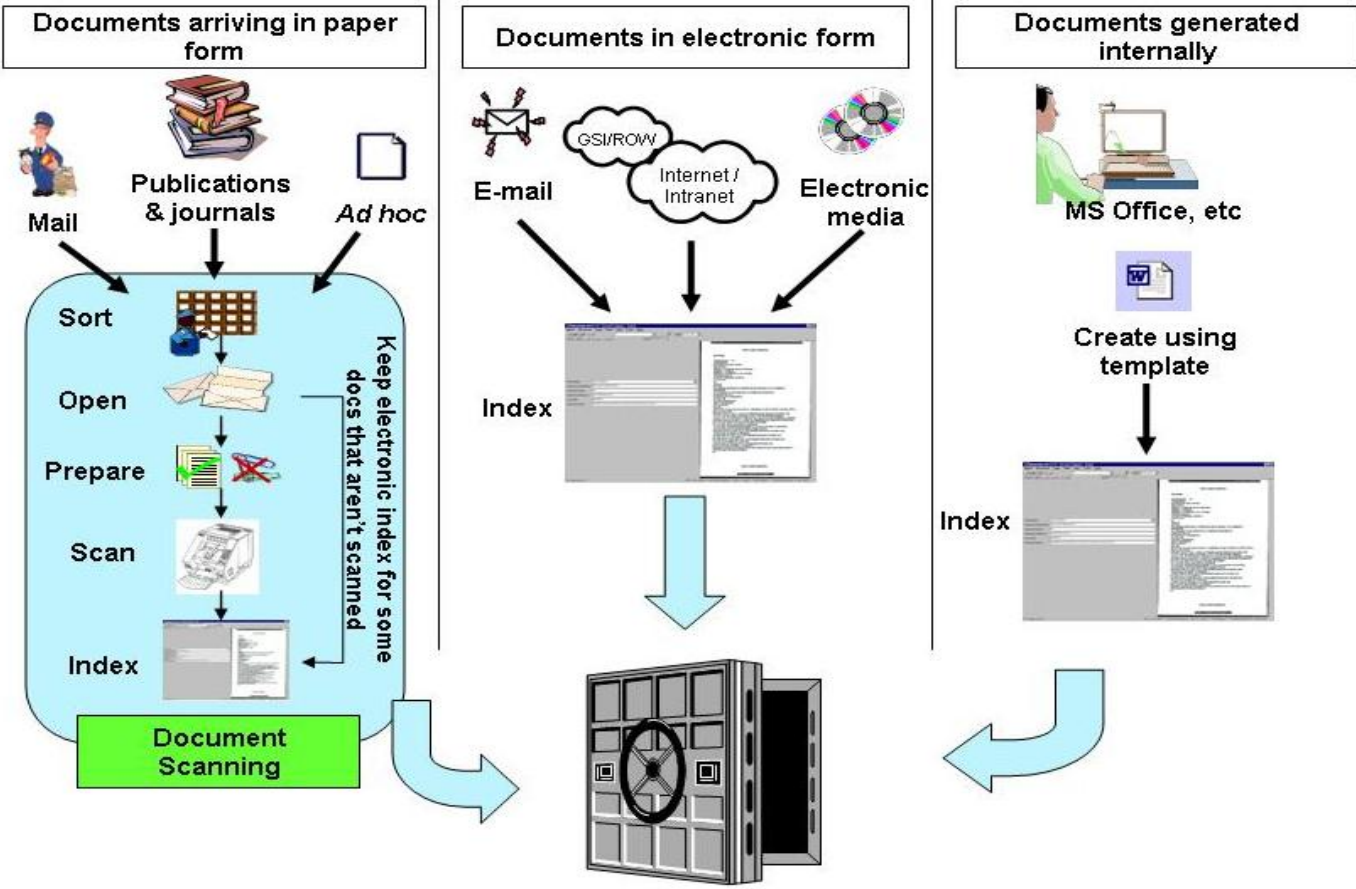
Why EDRM?:

Cost reductions

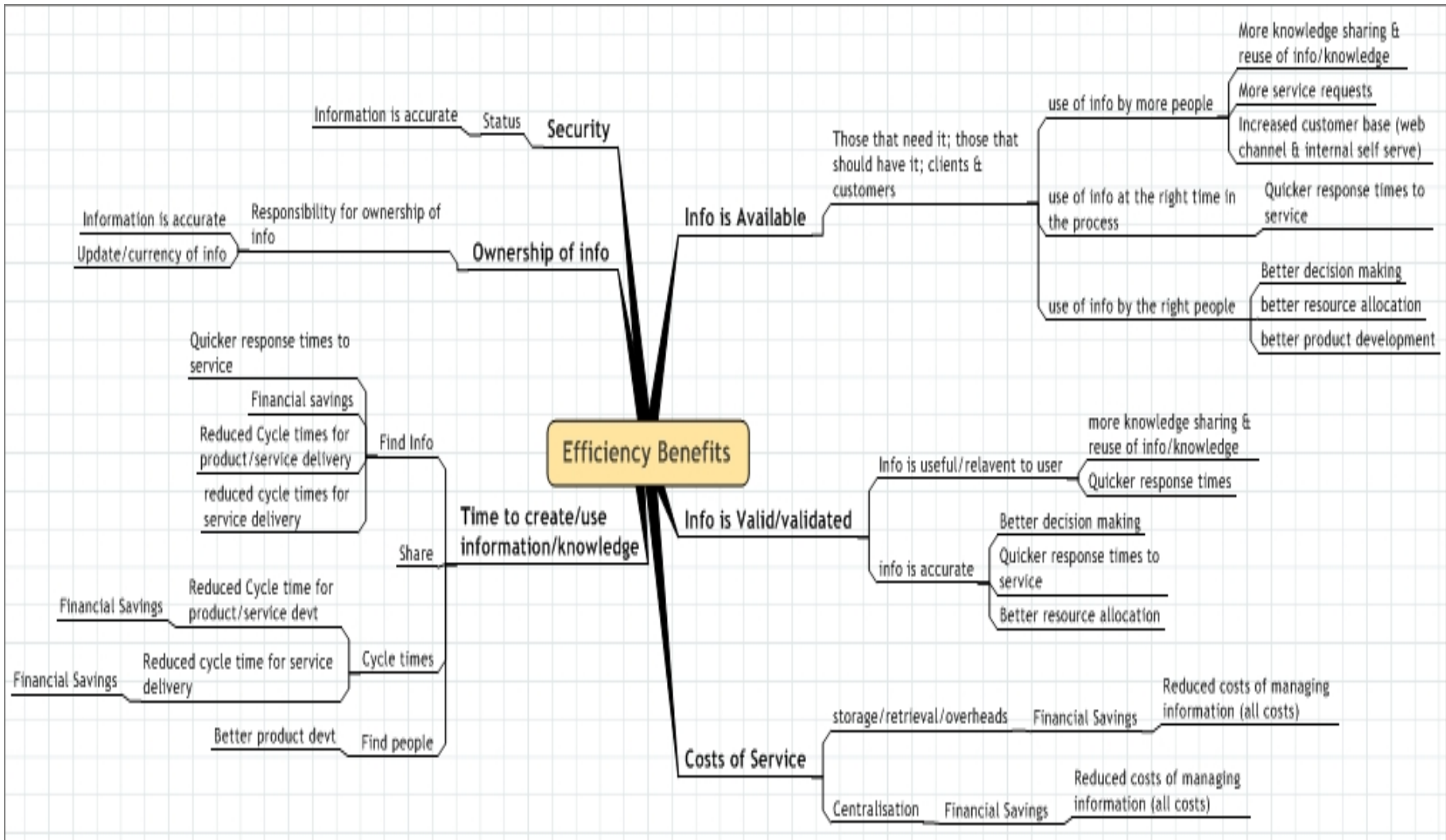
- **Cost avoidance:**
 - reduction in paper & electronic storage
 - reduction of lost and/or misfiled information
 - future savings through not storing information that is not needed
 - reduction in use of stationery
- **Process improvements:**
 - cost of time saved by streamlining enquiries
 - information is reused, rather than recreated
 - shorter cycle times for services
 - better information handover between staff (leavers/recruits); i.e. less information is lost and has to be recreated.
- **Productivity improvements:**
 - better access to information
 - faster information retrieval (information is not lost or misfiled, and can be located across Service boundaries)
 - elimination of duplication of information
 - reduced time to classify and save information
 - more accurate information (reducing errors and processing faults)
 - no searching local physical storage (information is all created electronically and held in the EDRM repository)
 - no searching physical archive storage (the EDRMS will have an electronic index to physical records)



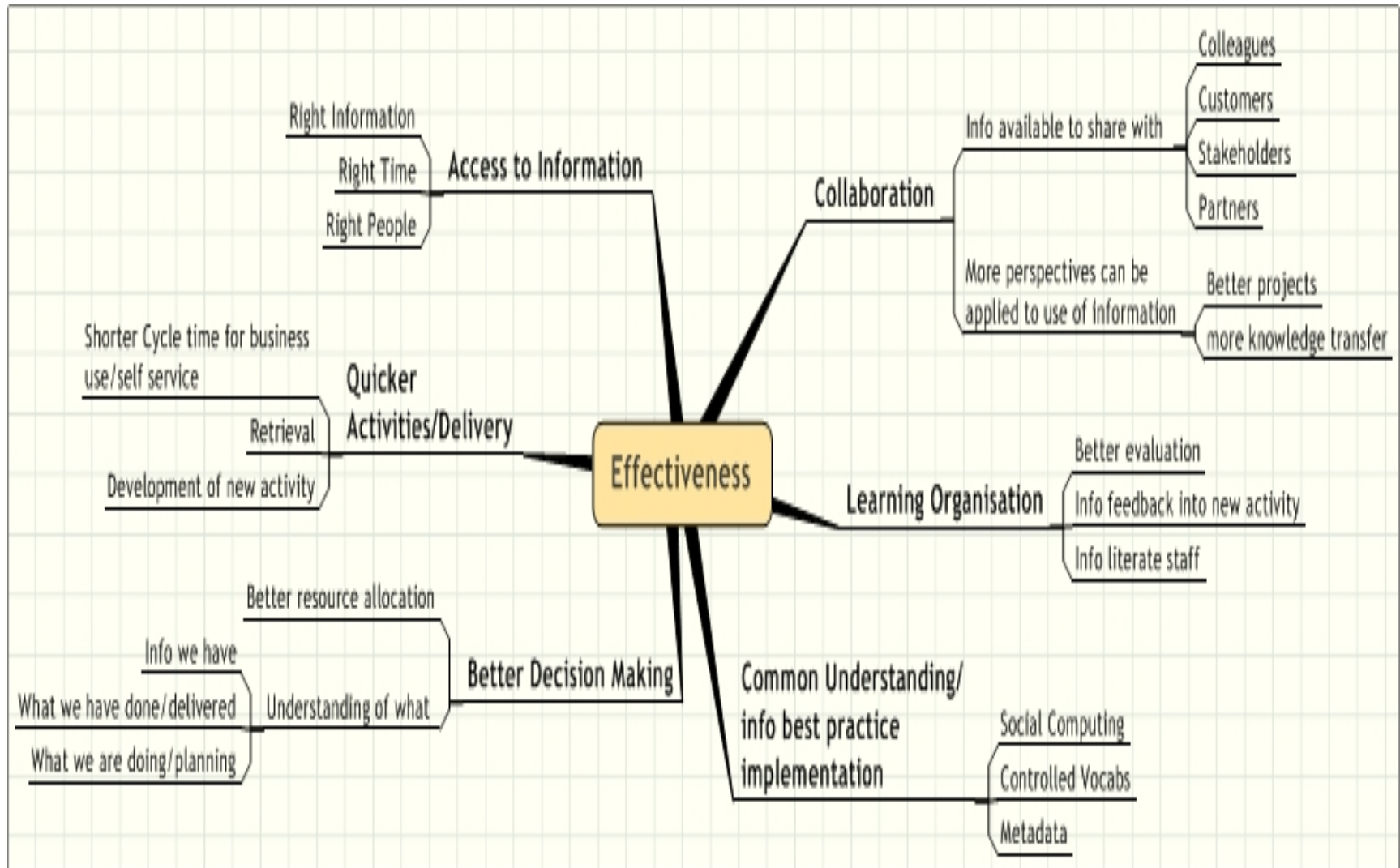
EDRM Captures Documents in all formats



EDRM: Efficiency Benefits



EDRM: Effectiveness Benefits

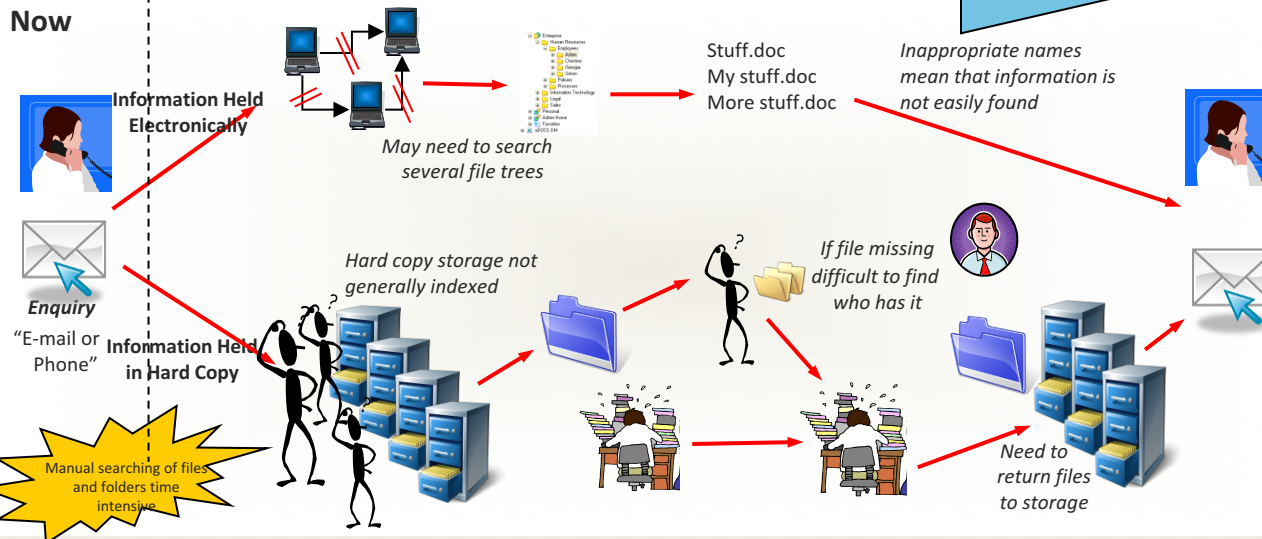


Why EDRM? - Productivity benefits

- Faster search and retrieval
 - Structured Corporate File Plan and Naming Conventions
 - Enterprise level search facility
- Ability to share information across teams and Services
 - Re-use of existing knowledge across services
 - Removal of information “silos” within services
- Individual productivity improvements
 - Reduced time “handling” information = more time to utilise information
- Ability to redesign and (partially) automate standard processes
 - Workflow to minimise and streamline elapsed time between process stage (e.g. Surface mail vs. e-mail)
 - Better service to citizens
- Therefore – Reduced cost of all aspects of information use



Up to 1 hour of information handling time per request/change
 Repeat from scratch if repeat request to different team member



Activities - Electronic

- Navigate to potentially correct folder
- Check files for content
- Navigate to alternative folder location
- Check content

Activities – Hard Copy

- Find correct folder
- Extract correct information in hard copy
- Digitise information to respond to query
- Replace information in hard copy folder
- Return folder to hard copy storage

Dependencies

- Accurate/up to date information in files
- Correct re-filing of hard copy
- Naming of documents meaningfully
- Proximity of filing space
- Same person available for repeat queries

Up to 10 Minutes & Repeatable by any team member

EDRM



Improved information management timescale by up to 80%

What's different?

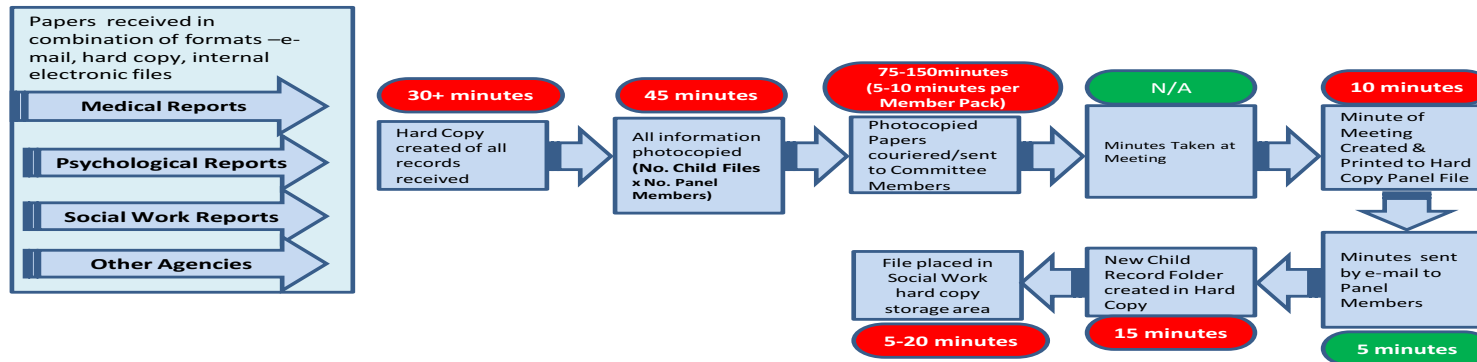
- Rules driven processes
- All information held electronically in common storage environment
- Search available and common file structure
- Fast search using key words
- Naming convention allows file content to be known without opening

What's eliminated?

- Chasing round to find information several times over
- Time away from desk filing & retrieving
- Manual Errors
- Loss of access to information when someone is away from desk / on leave
- Loss of information due to misfiling
- Physical storage of hard copy information



EDRM Effectiveness Benefits: Example of Improved Business Process



Social Work Foster/Adoption Panel Meetings
Time Spent In Information Management Activities = 185-275+minutes

Example: - Social Work Foster/Adoption Panel Process

•All information in future will be electronic and available from the Committee Collaboration Room. Information received from external sources in other formats will be digitised centrally. This will be available to non-Council staff so all panel member will have access. All notifications will be workflow enabled and automatic and support links not attachments. It is therefore expected that all Red numbers will essentially disappear.



EDRM: Measuring Benefits

Benefits Calculation Example

Shorter Cycle time for business use	Staff time saved handling tasks
<p>All process have a Cycle Time for their completion. This is the length of time from start to finish the process takes. A large part of the time taken on a process is the time taken to transfer the information from one stage to the next. An EDRM facilitates the information transmission aspects of business process to a significant degree. All interactions with Customers have a cycle time to respond. <i>The assumption is that 2000 events of a business process being speeded up in a year occur across all Business Areas, each one saving one day of staff time.</i></p>	
Days saved per instance	1
No of annual instances	2000
Proportion of staff affected	100%
Confidence Factor/ Benefits Realisation Rate	75%
Total Days saved p.a.	1500
Total savings p.a	£178,571.43

Based on 210 working days p.a.; 35hr week; average staff cost £25000 p.a.



Critical Success Factors for EDRM

Three elements need to be put in place to ensure the successful delivery of EDRM an organisation

- **An appropriate infrastructure:** users are frustrated by not being able to access information in a timely manner and that secure out-of-office access is unreliable. Without this, users will rapidly become disaffected.
- **Commitment to realise concrete financial benefits:** EDRM has the proven ability to produce cost savings. However these are only realisable if there is commitment to take them; e.g. by implementing changes in working practices and restructuring. Without this the benefits will not be realised.
- **The EDRMS Manager role:** Governance is key not only to the success of EDRM but also to the security and risk management of data across the organisation. An EDRMS Management team should have organisation-wide responsibility for governance, training, policies and procedures in documents and records handling. Without this the EDRM implementation will fail.



EDRM Governance Framework

- Governance must be set in place to support both the successful implementation and ongoing maintenance of an EDRMS.

- **Governance Regime**

The main function of a Governance Regime is to define accountability for unstructured information. This includes the following five main themes:

- **Governance and Performance Management (compliance)** – a governance framework to control risks and ensure minimum standards are met for regulatory and legislative compliance.
- **Policies, processes and standards** – the creation of a common infrastructure of services, policies, standards and best practice guidance to support effective EDRM across the organisation.
- **Identification of People (roles and responsibilities)** - providing leadership and direction for EDRM across the organisation; identifying information owners and custodians; providing support and expertise to Managers and users in the Business Areas, in order to improve current documents and records processes and procedures.
- **Communication** – putting in place an EDRM Communications Strategy and Plan to disseminate Policy, Standards and Procedures to people at all levels
- **Inspections and Audit** – monitoring EDRMS usage and practices to ensure that Policy, Standards and Procedures are being followed.



Session 3: An EDRM Project – Outputs, Deliverables and Milestones

- Scope out the components and timelines of an ERDMS project.
- What are the tools and deliverables that would be required to maximise the technology capability
- What are the milestones of an EDRM project



Components of an EDRM Project

Phase 1: Prepare for EDRM - Data Cleansing

Establish Transitional Environment

- Define, scale & establish technical environment
- Populate with transitional file plan
- Apply current permissioning structure & validate against existing model
- Usability & User Acceptance Testing on file
- Reconfigure legacy servers permissioning & structures for affected staff

Create Templates and Other Data Migration Support Tools

- Implement Data Migration Support Tools
- Create & Implement Templates

Training for Transition

- Define & Create training for transition environment
- Activities to Support staff in Transition
- Train Information Managers in the use of the transition environment

Transition Environment

- Cleanse & migrate legacy digitised paper information holdings into transitional environment
- Migrate Data
- Monitor transition Environment
- Confirm Migration & Archive Legacy Content



Components of an EDRM Project

Phase 2a: Implement EDRM - People Projects

Specify and set up DRM governance regime

- Define DRM Policy
- Define DRM Processes & Procedures
- Define Information ownership model
- Handbook of Processes, Procedures for EDRM Super-users/DRM Managers
- Handbook of Guidelines for all Staff

Specify and set up EDRM support organisation

- Define governance Roles & responsibilities against "To Be" model
- Allocate roles and responsibilities against named individuals
- Activate Local Super-users tool kit and monitor implementation

Create and manage EDRM communication strategy & sub plans

- Create & maintain EDRM programme communications strategy for transition environment
- Create & maintain EDRM programme communications strategy for EDRMs environment
- Implement communication plans at service levels EDRMs environment
- Maintain EDRM programme communications plan

Staff Training

- Prepare, distribute & analyse online skill set
- Conduct TNA for EDRM Super-users
- Develop training course for Super-users
- Implement DRM Training for Super-users



Components of an EDRM Project

Phase 2b: Implement EDRM - Process projects

BCS & File Plans

- Develop detailed BCS with high level security permissions
- Validate Detailed BCS

Metadata Model

- Develop and Implement
- Maintain

Detailed access control model

- Create access control model from transition environment
- Define business roles, business responsibilities & information security models
- Define access control model for trusted third parties & partners
- Create transition access control model into EDRM
- Implement Full EDRM Access Model

Retention and disposal schedules

- Develop and Implement

Productivity Improvements

- Define basic working practices with new IM tools
- Identify candidate processes for automation (workflow)
- Collaboration environments and processes



Components of an EDRM Project

Phase 3: Implement EDRM -Technology projects

Business Requirements spec & design for EDRMS user interface

Upgrade IT infrastructure as required

- Scope and scale Transition & Legacy Environment

Test EDRMS

- UAT Testing
- Usability Testing

Migration

- De-dup migrate data from transitional environment into EDRMS

- **Scoping LOB Applications for Integration with EDRMS**

- Analysis of major LOB applications for integration with and/or transfer of function to EDRMS



Components of an EDRM Project

Phase 4 – Managing Externally Generated Hard Copy

Implement Digitised Mailroom

- Set Up Scanning Facility
- Train DRM Staff
- Create DRM Processes
- Create Gazetteer / Glossary
- Validate Change Processes
- Create hard Copy Treatment processes (evidentiary weight standards)
- Create DMR Record Governance

Imaging

- Scanning Facilities
- Digitised images
- Review & Rationlise Current Imaging Software



EDRM Project Deliverables - Overview

- Information Management Principles and Policies
- Information Management Governance
- EDRM Management Tools
 - Transition to Electronic Documents and Records Management Tools
 - Business as Usual EDRMS Tools



EDRM Deliverables 1:

Example EDRM Principles in organisation

- All information used by staff and/or created in furtherance of the objectives of the organisation is a corporate resource and will be managed accordingly. The responsibility for the proper management of information is held by all organisation staff.
- Information should be freely available as a default unless there is a clearly identified reason for the restriction of access to it.
- Information created by the organisation will have a clear Owner who is **accountable** for the proper management of that information. There may also be a Custodian of the information on a day to day basis who is **responsible** for the proper management of that information.
- Any information created by the organisation will be required to be:
 - **Authentic:** It is clear when the information was created, by whom and that it is what it purports to be;
 - **Reliable:** The information can be trusted as accurate and can be depended upon in subsequent activities;
 - **Useable:** The information can be located, retrieved, presented and interpreted;
 - **Have integrity:** The information has a clear version history and any changes since creation have been properly authorised.
- Wherever possible only one master copy of any document will be stored and the master copy of any organisation created information will be the electronic version. As a result, wherever possible, no new hard copy information will be created or stored and any hard copy copies of organisation created information will be deemed to be uncontrolled and unverified.
- All organisation information will be managed in accordance with the relevant Information and Records Management legislative and regulatory compliance requirements.
- The review and disposal actions for Records Management of Information held by the organisation will be scheduled automatically



EDRM Deliverables 2:

Document and Records Management Policies

Specific mandatory organisation-wide Policies in the following areas:

- Information Management (IM)
 - E-Mail
- Information Security and Access
- Information Ownership
- Information Purpose and Quality
 - Information Purpose – Case Files
 - Information Purpose – Project Files
 - Information Quality - EDRMS Metadata
 - Information Quality – Naming Conventions
- Document and Records Management
 - Record Declaration
 - Legacy Paper Files
- Records Review and Disposal
- Information Compliance



EDRM Deliverables 2: Example Policy Structure

<p>E-Mail</p> <p>Purpose and Benefits The purpose of this Policy and guidance is to ensure that important business related email is stored in the EDRM system, with minimal duplication.</p> <p>Applicability and Status The policy applies to all staff.</p> <p>Policy</p> <p>Background</p> <p>Types of E-Mail</p> <p>Retention and Disposal</p> <p>Attachments</p> <p>Best Practice</p> <p>Legal Admissibility</p> <p>Roles and Responsibilities</p> <p>Criteria for Waivers None</p>	<p>Governance</p> <p>Policy No: XXXX/YY</p> <p>Owner:</p> <p>Version: 1.0</p> <p>Status: Draft</p> <p>Last Reviewed:</p> <p>Review Cycle: Annual</p> <p>Applicability: Mandatory</p> <p>Revision History: 0.1 Initial Draft</p> <p>Stakeholders:</p> <p>Related Information Sources:</p> <p>Measures of Effectiveness System Administrators will monitor the growth in e-mail accounts vs the growth in the no. of documents and records within each business area of the EDRMS.</p> <p>Compliance Checks Utilisation reports from System Administrators.</p> <p>Further Information</p> <p>Contact:</p>
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EDRM Deliverables 3:

Information Governance Framework

- Governance must be set in place to support both the successful implementation and ongoing maintenance of an EDRMS.

- **Governance Regime**

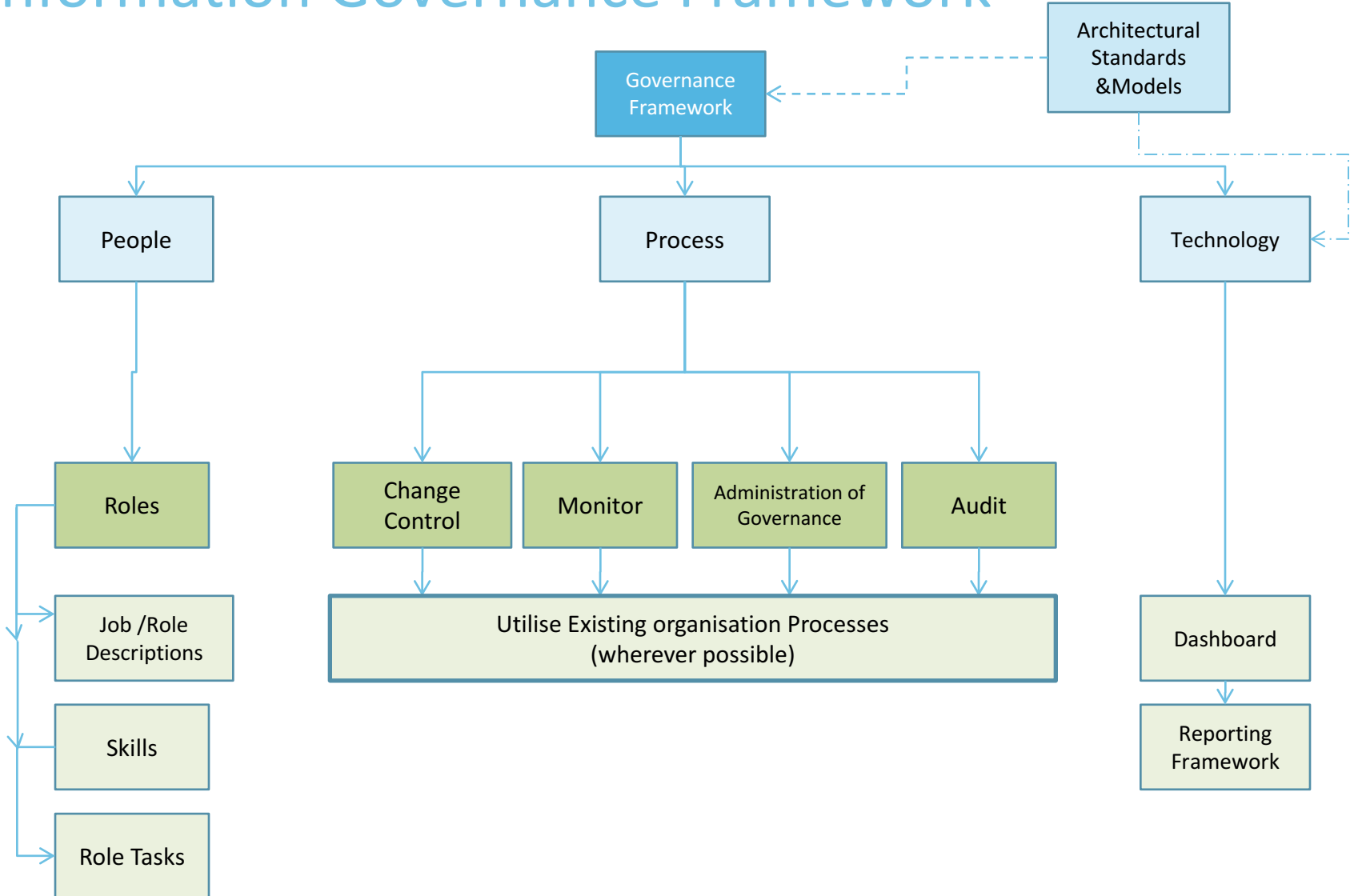
The main function of an IM Governance Regime is to define accountability for organisation's information. This includes the following five main themes:

- **Governance and Performance Management (compliance)** – an IM governance framework to control risks and ensure minimum IM standards are met for regulatory and legislative compliance.
- **Policies, processes and standards** – the creation of a common infrastructure of services, policies, standards and best practice guidance to support effective IM across the organisation.
- **Identification of People (roles and responsibilities)** - providing leadership and direction for IM across the organisation; identifying information owners and custodians; providing support and expertise to Information Managers and users in the Business Areas, in order to improve current IM processes and procedures.
- **Communication** – putting in place an IM Communications Strategy and Plan to disseminate IM Policy, Standards and Procedures to people at all levels within organisation
- **Inspections and Audit** – monitoring IM usage and practices to ensure that IM Policy, Standards and Procedures are being followed.



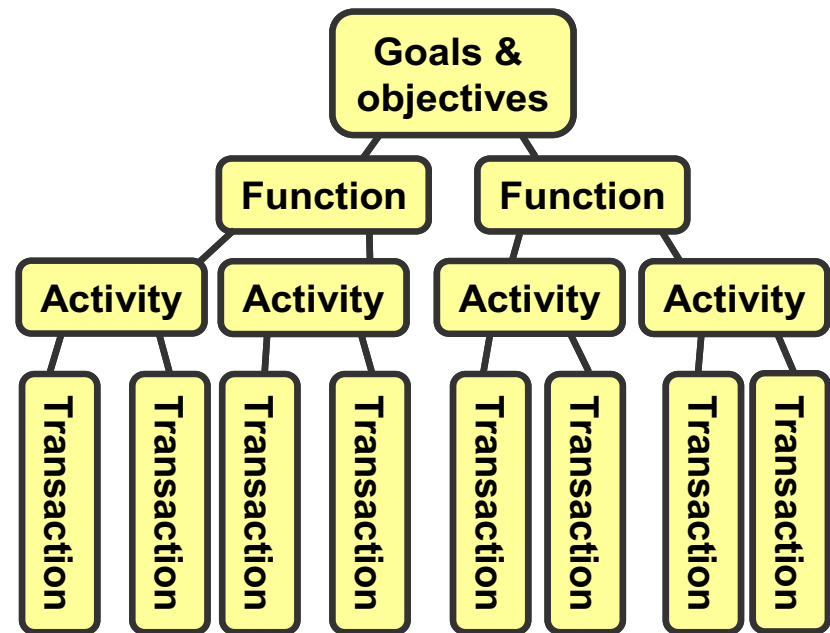
EDRM Deliverables 3:

Information Governance Framework



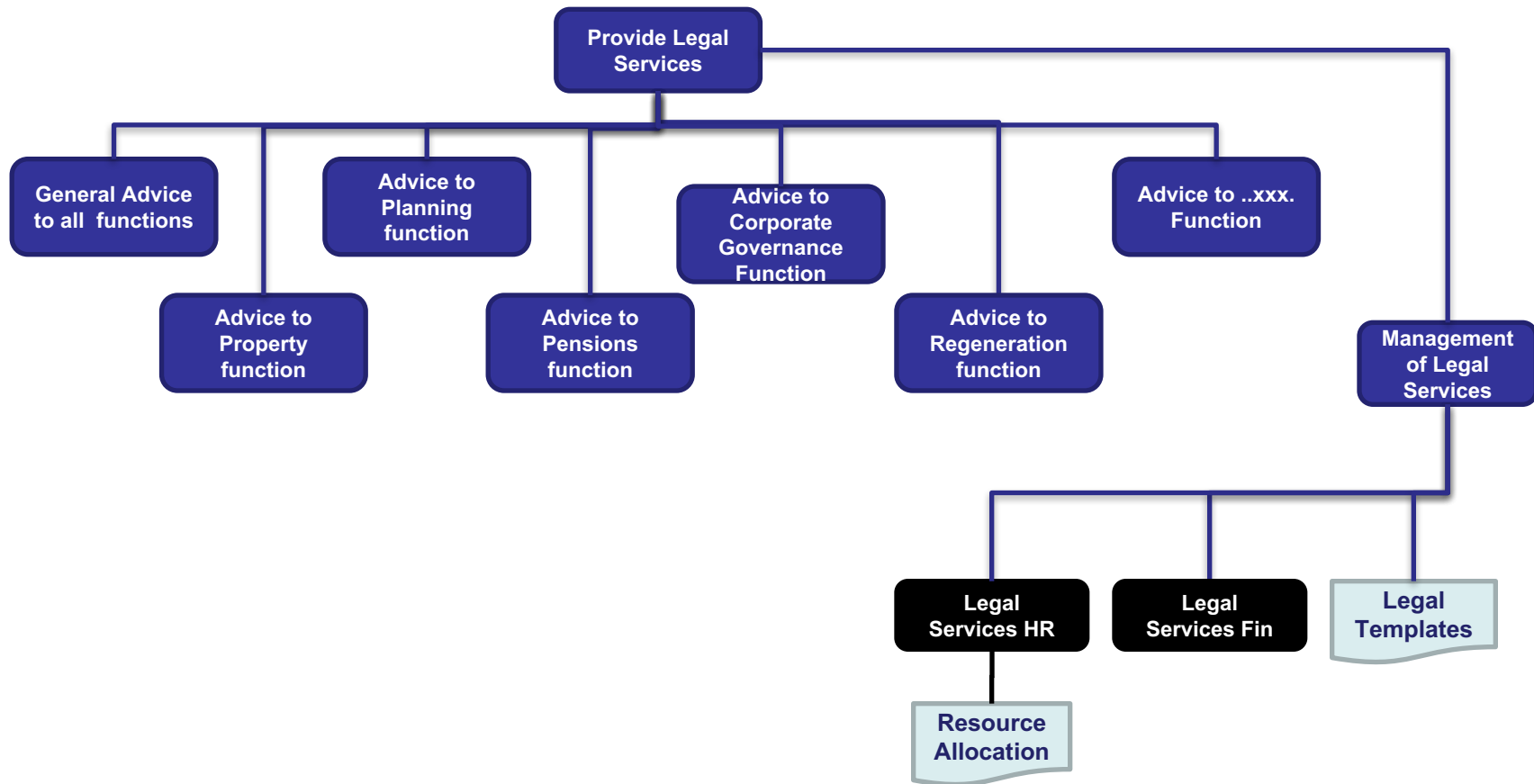
EDRM Deliverables 4: Corporate File Plan

- Model of an organisation's business activities
- Hierarchical
 - *Level 1 - A business function;*
 - *Level 2 - Activities constituting the function;*
 - *Level 3 - Transactions that take place within each activity*
- Used as the intellectual basis for:
 - *Classifying records*
 - *Retaining records*
 - *Controlling access to records*
 - *Protecting vital records*

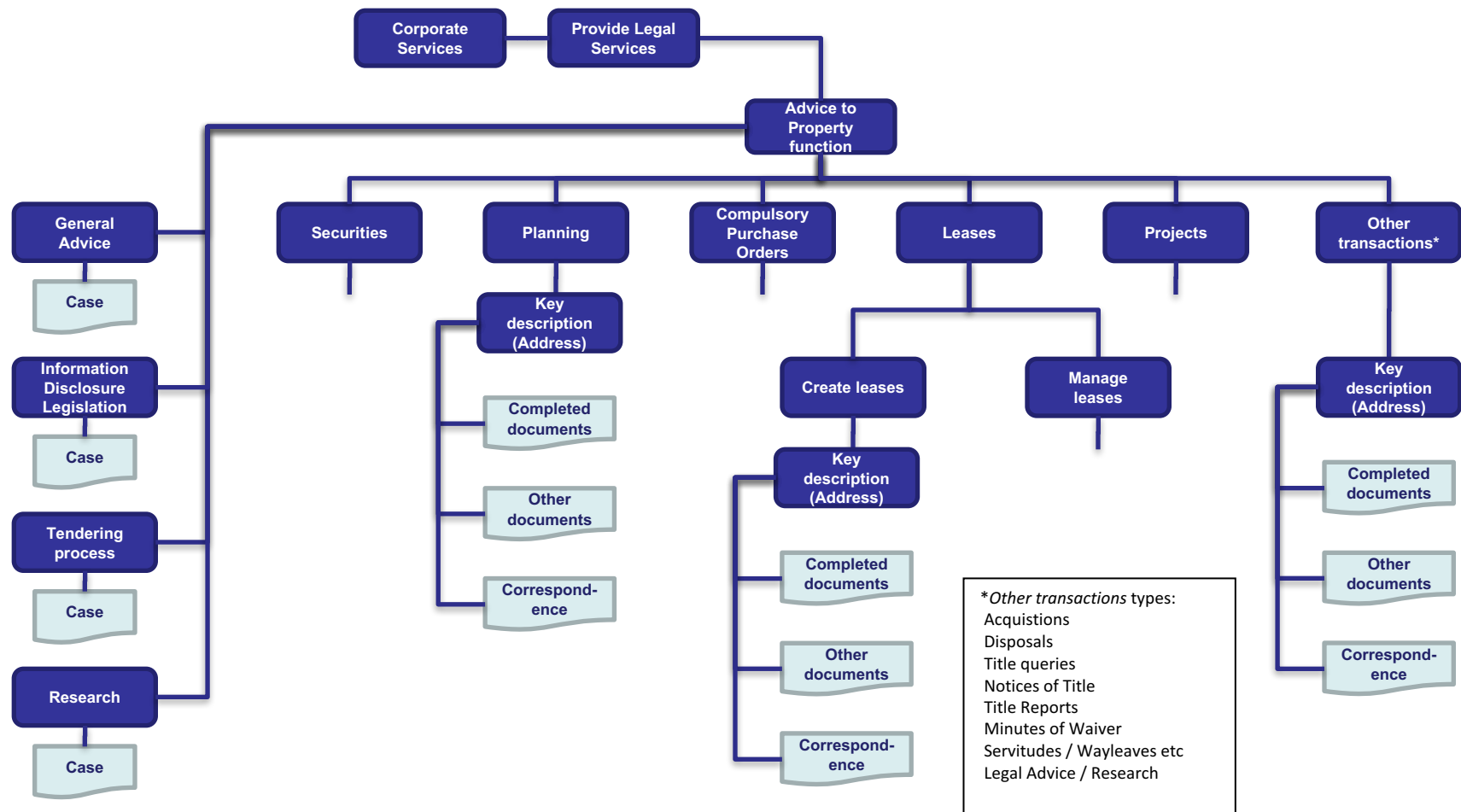


EDRM Deliverables 4 :

Post EDRM File Plan Example 1: Legal Services



EDRM Deliverables 4 : Post EDRM File Plan Example 2: Legal Services - Advice to Property function



EDRM Deliverables 5

Permissions and Classifications Model

An EDRMS has normally the ability to enable access controls and security in two differing styles;

- **organisational**, An end-user will have rights based on the Service, Department and workstream that he or she is a member of, in much the same way that a shared drive is secured within a windows-based environment.
- **role-based**, In addition to this group-based security model an EDRMS also has the concept of a role-based model. In this every user is not only the member of one or more groups but also has a role which allows certain activities to be undertaken within the system.
- Typically the following types of Roles would be found in an organisation (based on (MoREQ2))
 - **End User** – standard role allocated to everybody who accesses the EDRMS;
 - **Reviewer** – a workgroup-based role with specific responsibility for reviewing records in accordance with the retention schedule;
 - **Information Manager** – a role with specific responsibility for managing the file plan and the documents and records contained within it; and
 - **Central Information Manager** – a role with access to the advanced administrative features of the system.



EDRM Deliverables 5:

Example Permissions and Classifications Model

Example Role	Rights	Highly Confidential	In Confidence	No Marking
Authorised End User	See metadata	Y	Y	Y
	Search on content	Y	Y	Y
	See content	Y	Y	Y
	Write	Y	Y	Y
	Modify Metadata	Y	Y	Y
	Delete	N	N	N
	Assign permissions	N	N	N
	Modify permissions	N	N	N
Reviewer	See metadata	Y	Y	Y
	Search on content	Y	Y	Y
	See content	N	Y	Y
	Write	N	N	N
	Modify Metadata	Y	Y	Y
	Delete	N	N	N
	Assign permissions	N	N	N
	Modify permissions	N	N	N



EDRM Deliverables 6:

Record Series and Retention Policies

A corporate Policy that lays out:

- The types of information that constitutes a Record
- The type of information that do NOT constitute a Record
- When a Record should be declared
- Responsibilities of Staff for Record-keeping

A Corporate Retention and Disposal Schedule:

- The overall objective of a retention schedule within a document management strategy is to ensure that records are retained for as long as they have positive value to an organisation and for no longer, and that they are controlled efficiently and effectively throughout their life cycle.
- Each business unit should have a statement of its Key Record Series and a formal Retention and Disposal Schedule

The EDRMS should have

- A schema that ensures that each folder and/or document (depending on the functionality and Access model) has the correct Retention Period and the appropriate Disposal Process



EDRM Deliverables 6: Example Retention Policy

Audit Directorate

Document Description	Retention Timescale	Reason For Retention
Audit Planning (Including Network Plans)	3 Years	Audit
Financial Review Files	Until New Audit Carried Out	Audit
Investigations	Indefinitely	Audit
Operational Review Files	Until New Audit Carried Out	Audit
Audit Reports	3 Years	Audit



EDRM Deliverables 7:

Master Data Sheets – File Plan Folders

ID	LS01
Name	Property
Description	
Protective marking	
Roles to be granted /denied access	<ul style="list-style-type: none"> • • • •
Retention rules	<p>Trigger:</p> <p>Proposed action:</p>
Metadata	<ul style="list-style-type: none"> • • •
Relationships	<pre> graph TD A[Provide Legal Services] --> B[Advice to Privately Function] B --> C[Securities] B --> D[Planning] B --> E[Compulsory Purchase Orders] B --> F[Leases] B --> G[Projects] B --> H[Other transactions*] I[General Advice] --- J[] K[Freedom of Information Act] --- J L[Tendering process] --- J M[Research] --- J style J width:0px,height:0px </pre>



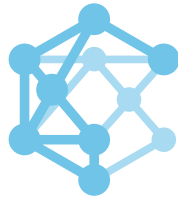
EDRM Project Milestones – a Baker's Dozen

- Principles Agreed
- Policies & Governance Approved
- CIO & DRM Team Appointed
- EDRMS initially Configured
- Corporate BCS & File Plan Defined
- Corporate Information Control Models Approved
- Record Series identified, Retention & Disposal Scheme Approved
- Workflows & Process Improvements Approved and Configured
- Collaboration spaces and processes Defined & Approved
- Scanning & Information Capture Processes & Tools implemented
- UAT & Usability Tests Complete
- Users Trained
- Initial Rollout/Go Live



Questions?





Assured
Outcome
Delivery

Do you need advice on EDRMS projects?

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