ERMS Folder Development and Access Process

1. Purpose

The ERMS Folder Development and Access Process outlines the actions required to create folders, provide access and finally allow record contribution. This document describes the process and templates used in creating records, their location within ERMS and identifying those individuals who require access to the records using the ERMS Record, Location and Access spreadsheet template.

2. Introduction

ANU staff are required to retain records of the business activities undertaken on behalf of the University. The ANU policy on records and archives management states that staff will:

- document activities performed and decisions made on behalf of the University, and
- incorporate records created and received into the University's recordkeeping systems.

In order to comply with legislation and ANU policy it is essential that relevant records be held within ERMS. Further information relating to what constitutes official University records, their importance and our legislative requirements can be found on the University Records website.

3. Related Information

The ERMS Folder Development and Access Process is based on six steps:

1. **ERMS Records Folders and Access Identified**: responsible
   - Business Process Owners or Area ERMS Working Group
   - Business Area or Process Approver

2. **Folders created in ERMS**: responsible
   - ERMS Power User

3. **ERMS security groups created**: responsible
   - ERMS Administrator

4. **Security access applied to folders**: responsible
   - ERMS Power User

5. **Communicate ERMS folders ready for contribution**: responsible
   - Business Area or Process Approver
- ERMS Power User

6. **Staff contribute records to ERMS folders**: responsible
- Staff members

The ERMS Folder Development and Access Process map (Fig.1 below) has four headings:
- ERMS Folder and Access Development Steps (will be looked at in sequence)
- Responsible
- Process - lists the process activities
- Reference Guides and Templates

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### ERMS Folder Development and Access Process

<table>
<thead>
<tr>
<th>STEPS</th>
<th>RESPONSIBLE</th>
<th>PROCESS</th>
<th>REFERENCE GUIDES/TEMPLATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>Business Process/Area ERMS Working Group</td>
<td>Identify records to be contributed to ERMS</td>
<td>Ref: ERMS Record Identification Checklist</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Identify folder BCS location; Complete ERMS Record Location/Access Spreadsheet</td>
<td>Template: ERMS Record, Location, Access Spreadsheet</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Name ERMS functional folder; define folder attributes</td>
<td>Ref: ERMS Business Classification Scheme</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Identify security access groups</td>
<td>Ref: Area ORS Functional Folder Titles List</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Approve folder structure and access</td>
<td>Ref: ERMS Naming Conventions Guidelines</td>
</tr>
<tr>
<td></td>
<td>Business Process/Area Approver</td>
<td></td>
<td>Ref: ERMS Folder Creation and Titling Conventions</td>
</tr>
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</table>

**Step 2**

**Folders created in ERMS**

<table>
<thead>
<tr>
<th>RESPONSIBLE</th>
<th>PROCESS</th>
<th>REFERENCE GUIDES/TEMPLATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERMS Power User</td>
<td>Document area/business process folder structure</td>
<td>Template: Local Area/Business Process ERMS Folder Structure and Access spreadsheet</td>
</tr>
<tr>
<td></td>
<td>Create folders within ERMS</td>
<td>Guide: ERMS Power User Reference Guide</td>
</tr>
<tr>
<td></td>
<td>Send to ERMS Administrator via Service Now</td>
<td></td>
</tr>
</tbody>
</table>

**Step 3**

**ERMS folder security access groups created**

<table>
<thead>
<tr>
<th>RESPONSIBLE</th>
<th>PROCESS</th>
<th>REFERENCE GUIDES/TEMPLATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERMS Administrator</td>
<td>Create security access groups</td>
<td>Manual: ERMS Administrator Manual</td>
</tr>
<tr>
<td></td>
<td>Send advice to Power User re location of security access groups</td>
<td></td>
</tr>
</tbody>
</table>

**Step 4**

**Security access applied to folders**

<table>
<thead>
<tr>
<th>RESPONSIBLE</th>
<th>PROCESS</th>
<th>REFERENCE GUIDES/TEMPLATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERMS Power User</td>
<td>Apply security access groups</td>
<td>Guide: ERMS Power User Reference Guide</td>
</tr>
</tbody>
</table>

**Step 5**

**Communicate ERMS folders ready for contribution**

<table>
<thead>
<tr>
<th>RESPONSIBLE</th>
<th>PROCESS</th>
<th>REFERENCE GUIDES/TEMPLATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERMS Power User/ERMS Folder Structure Approver/Management</td>
<td>Communicate ERMS folder structure and contribution groups</td>
<td>Template: Communication: Local Area/Business Process ERMS Folder Structure and Contribution Groups</td>
</tr>
</tbody>
</table>

**Step 6**

**Staff contribute records to ERMS folders**

<table>
<thead>
<tr>
<th>RESPONSIBLE</th>
<th>PROCESS</th>
<th>REFERENCE GUIDES/TEMPLATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERMS Users</td>
<td>ERMS Users contribute records to ERMS folders</td>
<td>Guide: ERMS User Reference Guide</td>
</tr>
</tbody>
</table>

*Figure 1: ERMS Folder Development and Access Process Map*
Roles and Responsibilities

Several roles are identified as responsible for specific process steps and include:

**Business Process Owners or Area ERMS Working group**

University Service Divisions are business owners of university wide processes e.g. HR, Student Administration, Finance, and Research. Service Divisions are responsible for creating the folder structure and record contribution process for their business processes and communicating these practices to the rest of the University. Any area outside of the Service Division (for this document called ‘area’ or ‘local area’) that is responsible for one of these functions can only create folders in that business process with the approval of the Service Division.

Local area business process owners are responsible for creating their own folder structures for the functions that they are responsible for and communicating the local area record contribution process to their staff.

Working groups are established to identify the records that need to be managed within ERMS. The ERMS Working Group usually comprises: management representatives, individuals representing different functional or administrative areas of the business process or the local area, plus the Power User or Representative.

The ERMS Working Groups use the ERMS Record, Location and Access spreadsheet template as a guide to identify records, folders and access groups within ERMS.

**Business Process Owner or Area Approver**

The ERMS folder structure and access list for an area or business process must be approved prior to implementation within ERMS.

Local areas provide the approver with the ERMS Record, Location and Access spreadsheet (RLA spreadsheet) which contains the list of records, folders and access. Approval is provided by a management team member with knowledge of the records and folders contained within the spreadsheet and staff members to have access to that folder. For example, for a Research School the School Manager would approve the ERMS folders and access, RLA spreadsheet, for that school. The approver may wish to send the spreadsheet to the next management level for information purposes.

Business process owners also utilise the RLA spreadsheet or the Business Process ERMS Folder Structure and Access spreadsheet to approve the ERMS folders and access. Approval is provided via an email confirming the folder structure and access groups. In the case of university wide business process folders, the Service Division Director must always be the folder and access approver.

**ERMS Power User or ERMS Representative**

Power Users are nominated by University areas or business process owners and have additional access to the ERMS system to create contribution folders. Some Power Users fulfil both Power User and ERMS Representative roles.

Power Users:
- Create folders and folder structures within BCS framework, to allow staff to contribute records
- Receive and create lists of approved individuals who are to have access to particular folders
- Submit requests to ERMS Administrator for creation of security groups
- Receive and apply security groups from ERMS Administrator to restrict access to records or folders (as authorised)

ERMS Representatives:
- Coordinate the ERMS efforts with the local area
- Are the first point of contact for ERMS communications
- Disseminate communications to staff
- Receive, answer or source answers for questions from staff

**ERMS Administrator**

The ERMS Administrator is a member of the University Records team responsible for the ERMS system and for ensuring the integrity of University recordkeeping. Responsibilities include:

- Manage the overall systems and recordkeeping processes within ERMS
- Modify, update and manage the BCS structures in ERMS
- Modify, update and manage disposal authorities in ERMS
- Create and manage membership of security groups
- Provide organization wide ERMS business support and advice

**Process Steps**

**Step 1 ERMS records, folders and access identified**

This first step, ERMS records, folders and access identified, incorporates five activities that are documented in the ERMS Record, Location and Access spreadsheet. The spreadsheet facilitates the identification of records and development of folders through a structured approach: documenting business processes, identifying the output from each process and determining if that output is a record. The next step is the development of a name for the access group and to document the name and UID of individual staff members requiring access to specific folders.

The final activity in this step is for approval to be obtained from the person authorised to approve the creation of the folder and the access group.

The Power User sends the Record Location and Access spreadsheet to the approver. In the case of university wide business processes folders, the Service Division Director must always be the folder and access approver. [Process Guide 4: ERMS Record, Location and Access Spreadsheet]

**Step 2 Folders created in ERMS**

The Power User utilises the Record Location and Access spreadsheet or the Local Area or Business Process ERMS Folder Structure and Access spreadsheet to create the contribution folders within ERMS. [ERMS Power User Reference Guide].

The contribution folders are created by ERMS Power Users and ERMS Administrators in University Records following Folder Creation and Titling Conventions. These contribution folders are then made available for authorised individuals to contribute records.

Contribution folders contain records that relate to a specific business process or subject. ERMS is designed as a flat structure without multiple hierarchical layers of folders. Correct ERMS folder titling and using the ERMS search interface allows the easy location of folders, unlike shared or network drive folders which rely on subfolder structures. In exceptional circumstances a Level 4 folder may be created. For example large and complex projects may need Level 4 contribution folders.

When a contribution folder is created the metadata fields are automatically updated to show the location of the folder, name of folder creator, and creation and modification dates.

Using ServiceNow (the ANU Helpdesk function) the Power User sends the list of security access groups and their membership to the ERMS Administrator for creation of the security access groups. [Process Guide 5: Request Creation and Changes to Security Access Groups].
Step 3  ERMS folder security access groups created
The ERMS Administrator creates the requested security access groups and advises the Power User of the creation and location of security access groups.

Step 4  Security access applied to folders
The Power User applies the security access groups to the folders. [Process Guide 5: Request Creation and Changes to Security Access Groups]

Step 5  Communicate ERMS folders ready for contribution
Communication is issued to relevant staff of ERMS folder structure and contribution groups. This communication can be sent by the either the Power User, ERMS business process folder structure approver, i.e. the Service Division Director, or local area management.

Step 6  Staff contribute records to ERMS folders
Staff members save ERMS records to the contribution folders created. Staff members can refer to the ERMS User Reference Guide which provides a step by step explanation of how to contribute a record.

4. Documents referred to in this Process Guide
- ERMS Record Identification Checklist
- Identifying Records, Locations and Access spreadsheet
- ERMS Business Classification Scheme (BCS)
- Area CRS Functional Folders Title List: A list of the titles of physical record (paper files) created by specific business area that were managed through CRS
- ERMS Naming Conventions Guidelines
- ERMS Folder Titling and Naming Convention
- Local Area or Business Process ERMS Folder Structure and Access spreadsheet
- ERMS Power User Reference Guide
- ERMS Administrator Manual
- Communication Template: Local Area or Business Process ERMS Folder Structure and Contribution Groups
- ERMS User Reference Guide

5. Abbreviations used in this Process Guide
CRS: CRS refers to the University's paper based records management system called Central Records System. CRS paper files are either digitised and available in ERMS, or not digitised but information about them (metadata) is available in ERMS.

ERMS: Is an acronym for Electronic Records Management System

BCS: Is an acronym for Business Classification Scheme
Identifying Business Area ERMS Records, Location and Access

- **Establish the person authorised to approve the creation of the folder and the access group**
  - Responsible: ERMS Power User/Representative

- **Organise business areas ERMS working party**
  - Responsible: ERMS Power User/Representative

- **Utilise the Identifying ERMS Records, Locations and Access Spreadsheet template to step through the process**
  - Responsible: ERMS Working Party

- **Complete business area identification information in the spreadsheet: College/Service Division, Business Unit/Area, Contact Person**

- **Business Area records already known?**
  - NO: Continue to next step
  - YES: Go to step listing output and records

- **Identify and list key processes within the business area.**

- **Identify and list any sub processes related to the process.**

- **List the output of each process and/or sub process**

- **Determine if these outputs are records - referring to the ANU ERMS Records Identification Checklist**
  - YES: Identified as a Record
  - NO: Not a record - no further action required

- **Identify location of the record - needs to be contributed to ERMS?**
  - YES: Contribute to ERMS
  - NO: Remains in current location e.g. enterprise system - no further action required

- **Refer to BCS and identify the most appropriate location of the record i.e. the Function Folder**

- **Refer to BCS and identify the most appropriate location of the record i.e. the Activity Folder**
  - Responsible: ERMS Working Party

- **Create Access Group Name. List staff to have access and record UID**
  - Responsible: ERMS Power User/Representative

- **Obtain approval from person authorised to approve ERMS folders and access group**
  - Responsible: ERMS Power User

- **Create folders in ERMS**
  - Responsible: ERMS Power User

- **Send spreadsheet to listing access groups to ERMS Administrator**
  - Responsible: ERMS Administrator

- **Security Access Groups created and advice provide to Power User**
  - Responsible: ERMS Power User

- **Apply Security Access Groups to ERMS Folders**
  - Responsible: ERMS Power User
### 6. Process steps: Identifying Record, Locations and Access

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>Prior to completing the Record Location Access Spreadsheet</td>
<td><strong>Responsibility</strong>: ERMS Power User or Representative</td>
</tr>
<tr>
<td>1.1</td>
<td>Establish the person authorised to approve the creation of the folder and the access groups. Include the name of the person who is responsible for the process. Identify the management level individual who needs to provide overall approval.</td>
<td><strong>Responsibility</strong>: ERMS Power User or Representative</td>
</tr>
<tr>
<td>1.2</td>
<td>Organise business areas ERMS working party</td>
<td><strong>Responsibility</strong>: ERMS Power User or Representative</td>
</tr>
<tr>
<td>1.3</td>
<td>Utilise the Identifying ERMS Records, Folders and Access Spreadsheet template to step through the process</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.0</td>
<td>Stepping through: ERMS Records, Locations and Access Spreadsheet</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.1</td>
<td>Business Area records already known? &lt;br&gt; <em>If Yes</em> Go to step listing output and records  &lt;br&gt; <em>If No</em> Continue to next step</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.2</td>
<td>Identify and list key processes within the business area</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.3</td>
<td>Identify and list any sub processes related to the process</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.4</td>
<td>List the output of each process and/or sub process</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.5</td>
<td>Determine if these outputs are records - yes or no - referring to the ANU ERMS Records Identification Checklist &lt;br&gt; <em>If Yes</em> Identified as a Record &lt;br&gt; <em>If No</em> Not a record - no further action required</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.6</td>
<td>Identify and document location of the record &lt;br&gt; Does it need to be contributed to ERMS? &lt;br&gt; <em>If Yes</em> Contribute to ERMS  &lt;br&gt; <em>If No</em> Remains in current location e.g. enterprise system - no further action required</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.7</td>
<td>Refer to BCS and identify the most appropriate location of the record i.e. the Function folder</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.8</td>
<td>Refer to BCS and identify the most appropriate location of the record i.e. the Activity folder</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.9</td>
<td>Create access group name</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.10</td>
<td>List each staff member name to have access and record UID</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.11</td>
<td>List name of manager approving the folder and access on the spreadsheet</td>
<td><strong>Responsibility</strong>: ERMS Working Party</td>
</tr>
<tr>
<td>2.12</td>
<td>Obtain approval from person authorised to approve ERMS folders and access group via email (the spreadsheet) e.g. College General Manager, School or Business Unit Manager, or Service Division Director</td>
<td><strong>Responsibility</strong>: ERMS Power User</td>
</tr>
</tbody>
</table>
### 3.0 Create folders and apply security access groups

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1</td>
<td>Receive ERMS folder and access group approval, create folders within ERMS</td>
<td>ERMS Power User</td>
</tr>
<tr>
<td>3.2</td>
<td>Send spreadsheet listing access groups to ERMS Administrator</td>
<td>ERMS Power User</td>
</tr>
<tr>
<td>3.3</td>
<td>Security access groups created and advice provide to Power User</td>
<td>ERMS Administrator</td>
</tr>
<tr>
<td>3.4</td>
<td>Apply security access groups to ERMS folders</td>
<td>ERMS Power User</td>
</tr>
</tbody>
</table>

End of Process