

# Developing Enterprise RM Requirements

Brad Houston, City Records Officer

City Information Management Committee, 6/1/23

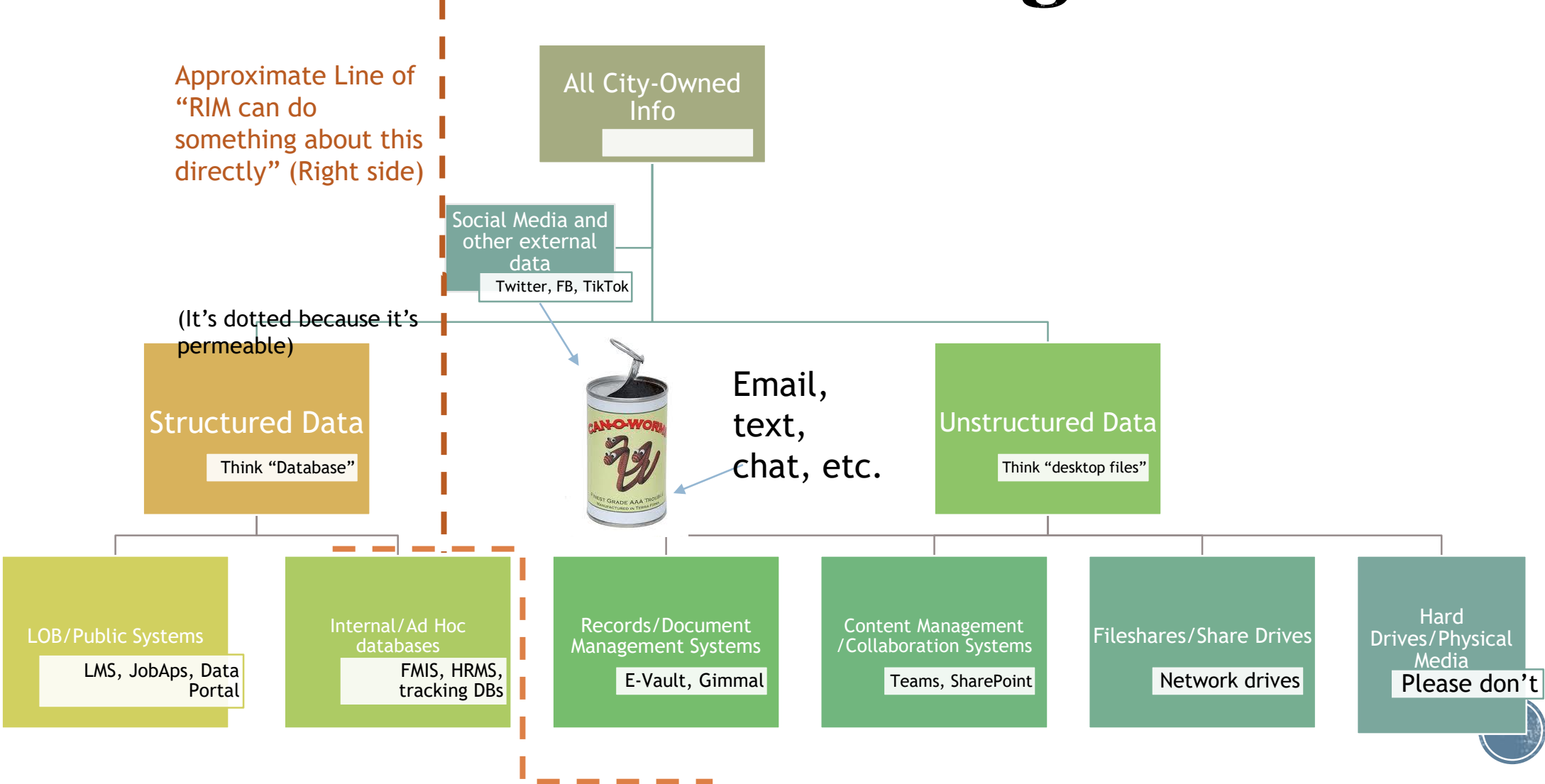


# What is the goal of RIM?

- At its base: \*control\* of organizational data/information/records throughout its lifecycle
  - Creation: Ensure documents have good identifiers and are organized appropriately
  - Maintenance: Ensure documents can be retrieved quickly and correctly
  - Storage: Ensure documents are maintained and available throughout their retention period
  - Disposition: Ensure documents are disposed of and/or archived in accordance with record value
- Electronic Records in particular: Wis. Admin Code ADM 12 says e-records must be:
  - **Legible, Reliable, Readable:** The record opens every time the same way with the same info
  - **Accurate, Authentic:** Reflects the original record and can be substantiated
  - **Accessible:** Records arranged in a way that they can be found in a short period of time



# The Info World According to RIM



# What do we want: Accessible

- Access restricted by group-based permissions
- Categorization by retention schedules/file plan
- Searchable by system and descriptive metadata
- Retention policies to clear out ROT
- E-Discovery/Centralized Repository for Control/ORRs
  - Redaction of Sensitive Data?



# Sooo... SharePoint? Well...



- In theory, SharePoint does some of this well (content types, retention policies, retention labels)
- In practice, a LOT of work required for standardization
- Out-of-the-box, requires a lot of end-user effort (which won't happen)
- Only useful for records which employees actively choose to manage there



# The Key Bit: Interoperability!

## The Repository Must Be Able To:

- Connect to Line-of-Business Systems to see content contained within
- Push data about classification/retention to the LOB systems
- Assign UIDs to \*all\* records managed by the system and track via dashboard
- Ingest archival/long-term files and maintain ingest data

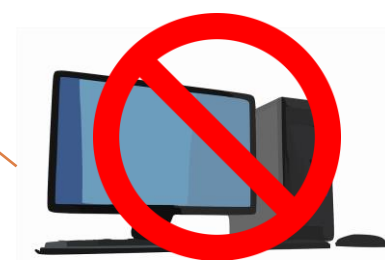
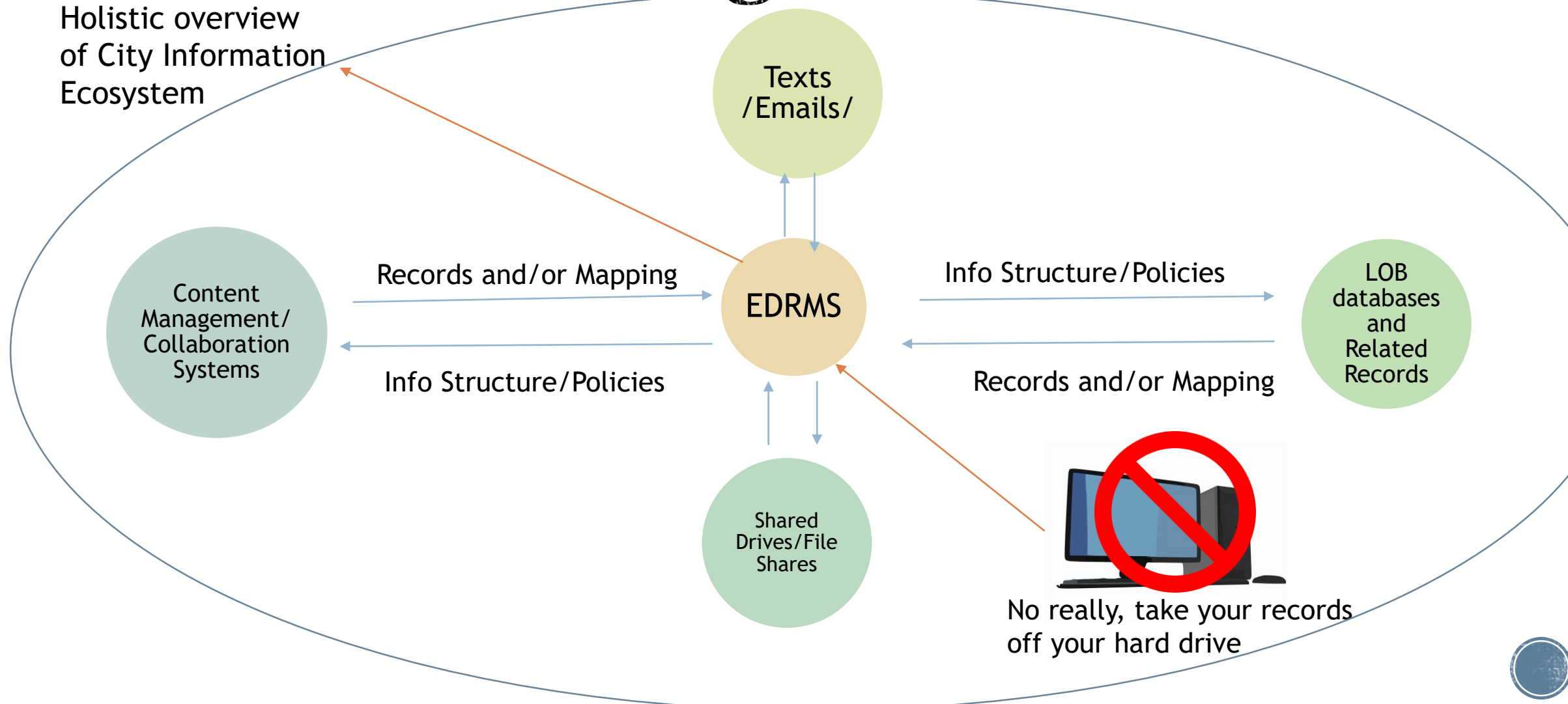
## The Line-of-Business System Must Be Able To:

- Use API or similar connectors to receive data from repository
- Either make changes to records based on data push, OR notify users of need for same
- Export data/records with associated metadata to repository for long-term preservation



# Records Management In-Place

Holistic overview  
of City Information  
Ecosystem



No really, take your records  
off your hard drive



# What do we want: Accurate/Authentic

Substantiating records as reflecting actual business decisions of city employees.

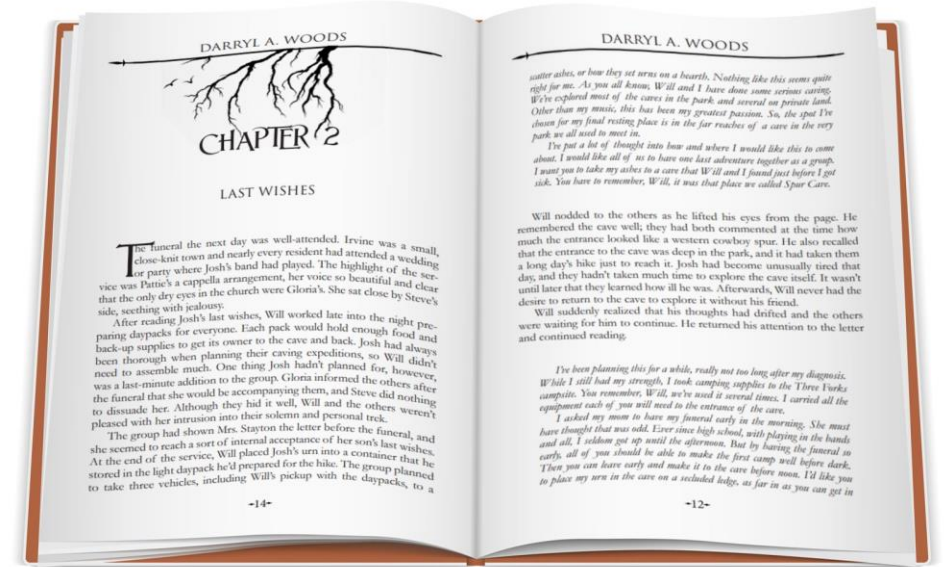
- **Records Declaration/Write Protection:** No changes can be made to a record once declared.
- **Version Control/Audit Trail:** any changes that ARE made to records are documented as to who, when, and what, and can be reversed if necessary.
- **Authenticity Certificate:** Additional trust source-based assurance (e.g. DocuSign e-signature) that *\*this\** record reflects the *\*actual\** record.



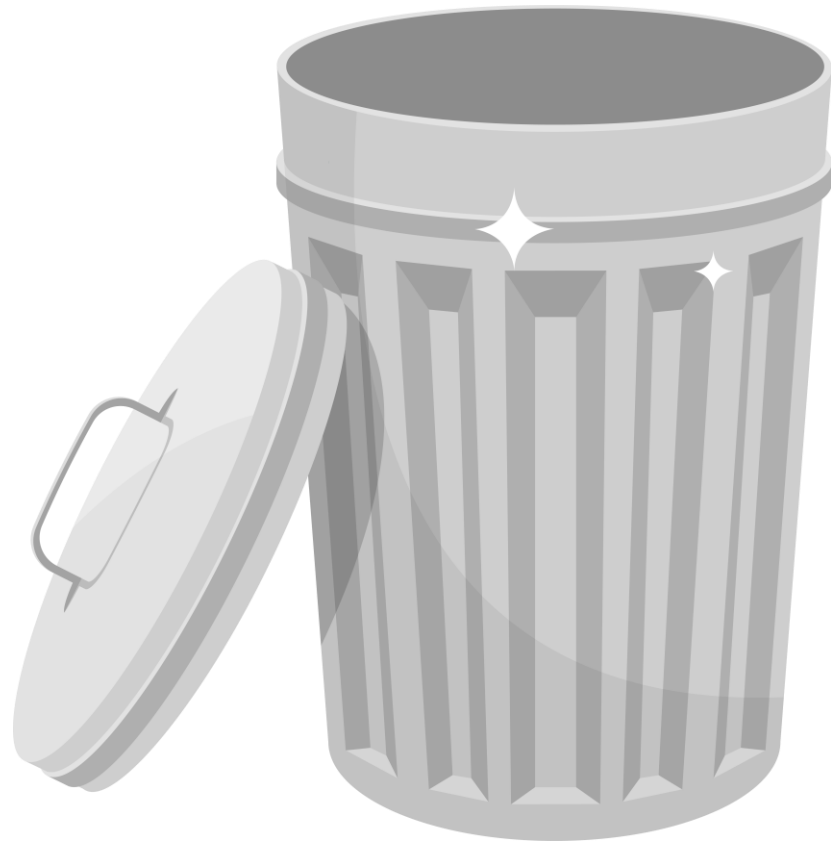


# What do we want: Legible/Readable/Reliable

- These three requirements come down to making sure the records remain **technically available**.
  - Do you have the right hardware to read the records? (media migration)
  - Do you have the right software? (format migration)
  - Are all the parts of complex records available and uncorrupted? (digital preservation)
  - Have you protected the records against unauthorized access/use/loss? (information security)



# Records Retention/Disposition



- Proper application of records retention is critical for achieving adherence to the standard:
  - Timely deletion of sensitive records reduces data breach costs
    - And amount of records to be provided for ORRs!
  - Clear memory and space from the database to improve performance
  - Prioritize maintenance of records likely to be long-term
  - More quickly discover those records that are immediately relevant

The idea is to **automate it**, so that it gets done.



# Imaging/Capture

- Paper is lessening, not going away
- Need several methods of capture
  - Via production scanners (existing CRC scanning applications)
  - Via direct scan from multi-function devices (Department MFDs)
  - Via mobile capture? (Mobile App)
- Indexing: bespoke and bulk
- Must support secure delivery/storage of existing 6.5M imaged records to City customers



# How to do it: Systems

The easiest way going forward is to invest in ALL systems at the point of design/acquisition (i.e. not just the EDRMS).

- Include interoperability requirements in RFP specifications and contract boilerplate
- Look for systems with \*easy\* document and data import/export
  - Most systems have it in some form per contract, but they make it a lot of trouble to do
- Encourage built-in retention processing, or ease of connection to processing in the EDMS
- Line-of-Business Systems ARE NOT BUILT AS ARCHIVES- approach with this in mind!
  - (c.f. Personnel Records, building plans, etc.)



# How to do it: Users

To the extent possible, all of this should be **automated** and **invisible** to the end user.

- Management-in-place vs. manual records declaration
  - ...But make it POSSIBLE to add to system/declare manually (External Records!)
- Emphasis on developing positive User Experience
  - If an external solution works better, people will use that solution instead of the official one. (OneDrive for Business?)
- Increased use of, and trust in, AI/Machine Learning
  - This is the only way email, texts, etc. will ever be categorized and managed appropriately
  - Supervised AI processing (i.e. Records/IT/Legal training of AI, facilitated by vendor)
- Training, Training, Training!



# Information Needed: ITMD

- Technical Environment for on-premises portion of system
- Requirements for integration with cloud services
- Integration info with enterprise storage (present and future)
- Information Security requirements
  - Encryption in transit/at-rest
  - Compliance with cloud security best practice
  - Legal requirements for infosec (HIPAA etc.)



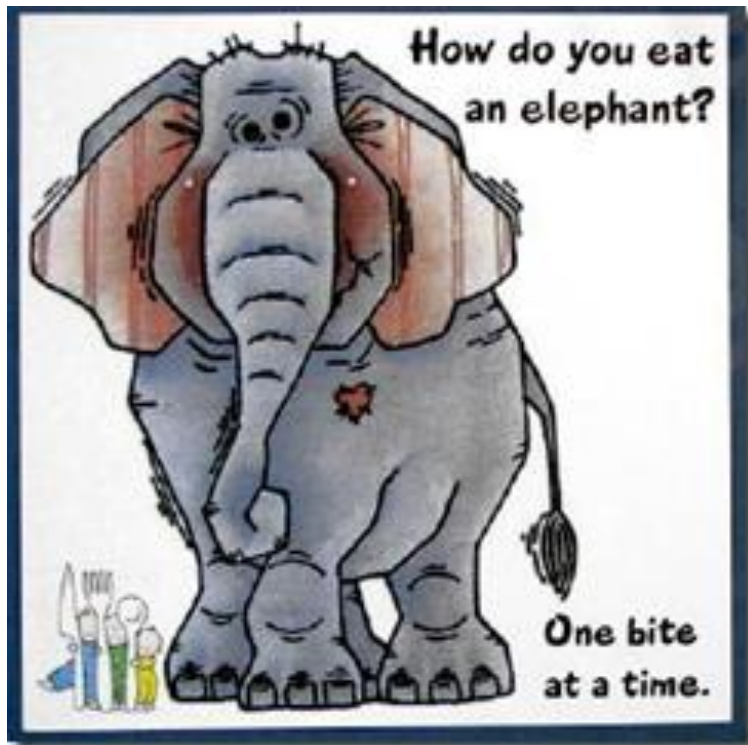
# Information Needed: Departments



- City-Owned systems and databases currently in use
- NON-City-owned systems currently in use
- Identification of records vs. non-records on share drives etc.
- Department-specific security or taxonomy requirements
- Approx. number of information workers (i.e. use a computer for most or all of their work)



# Eating the ERMS Elephant



- Pilot Department to get started (DER? DPW?)
- Identify major management/storage needs
  - Large data sets
  - Surveillance Files
- Will almost definitely require a meet-and-confer session
- Plan for implementation/rollout DURING procurement
  - General best practices/records principles

