Developing Enterprise RM Requirements

Brad Houston, City Records Officer

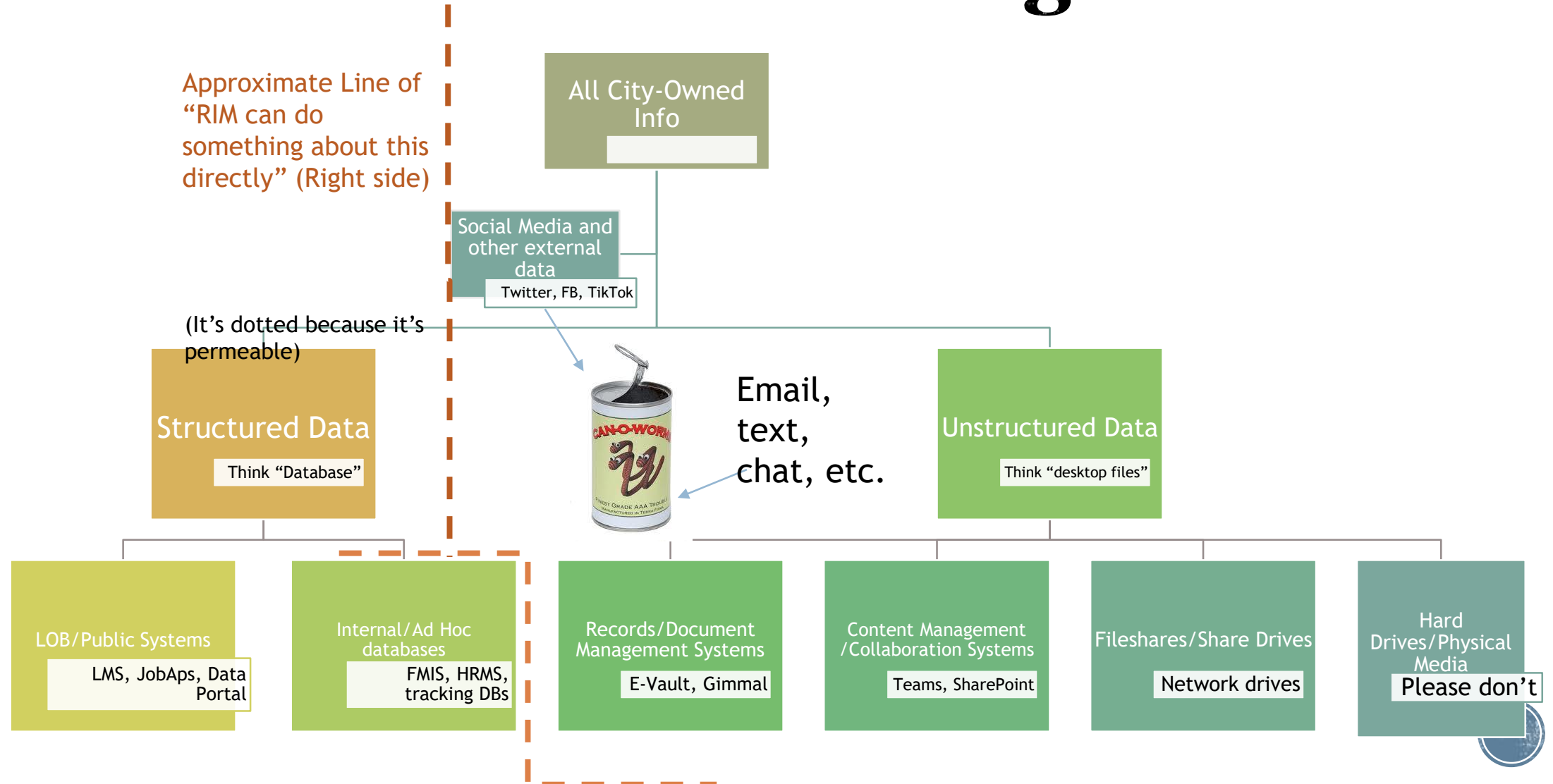City Information Management Committee, 6/1/23

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

Approximate Line of "RIM can do something about this directly" (Right side)

All City-Owned Info

Social Media and other external data

Twitter, FB, TikTok

(It's dotted because it's permeable)

Structured Data

Think "Database"

Email, text, chat, etc.

Unstructured Data

Think "desktop files"

LOB/Public Systems

LMS, JobAps, Data Portal

Internal/Ad Hoc databases

FMIS, HRMS, tracking DBs

Records/Document Management Systems

E-Vault, Gimmal

Content Management /Collaboration Systems

Teams, SharePoint

Fileshares/Share Drives

Network drives

Hard Drives/Physical Media

Please don't

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

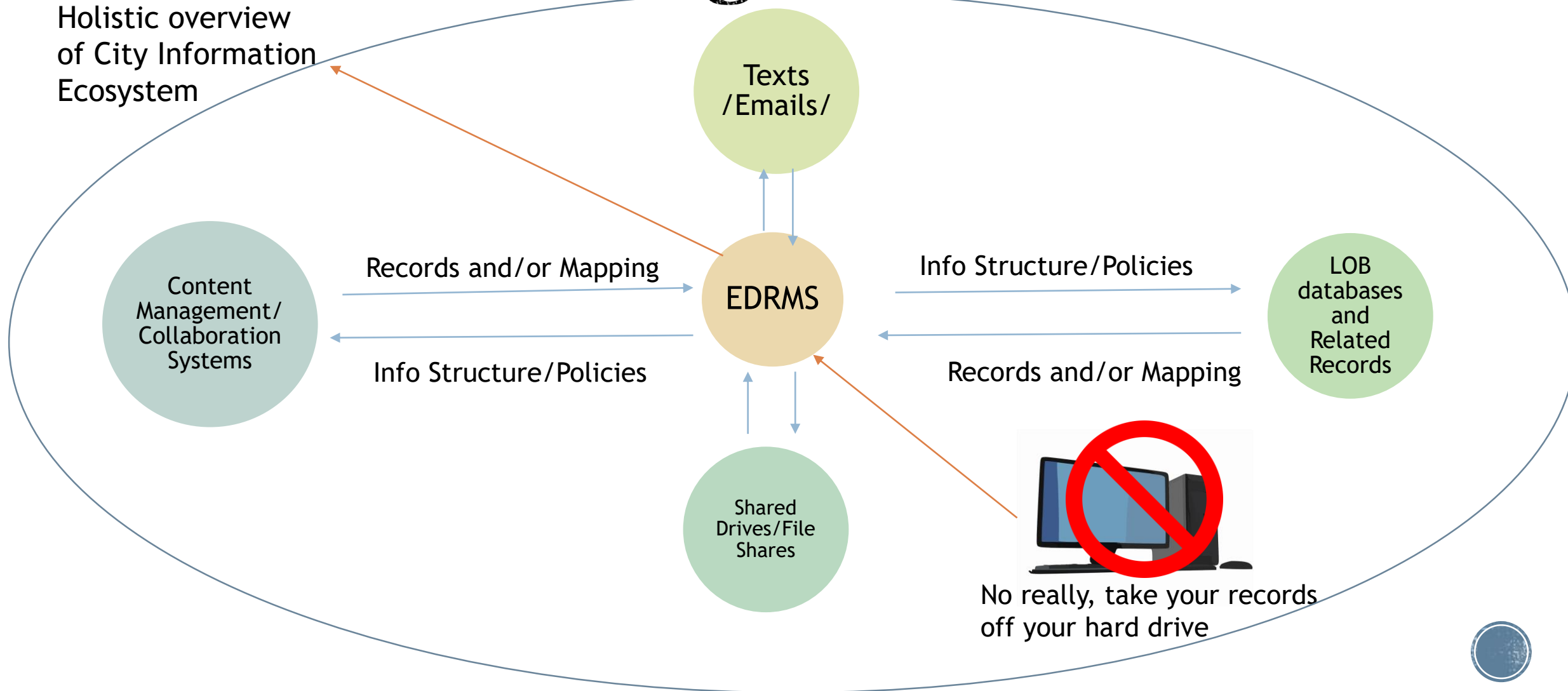- Ingest archival/long-term files and maintain ingest data

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

Texts
/Emails/

EDRMS

Content
Management/
Collaboration
Systems

Records and/or Mapping

Info Structure/Policies

LOB
databases
and
Related
Records

Info Structure/Policies

Records and/or Mapping

Shared
Drives/File
Shares

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)
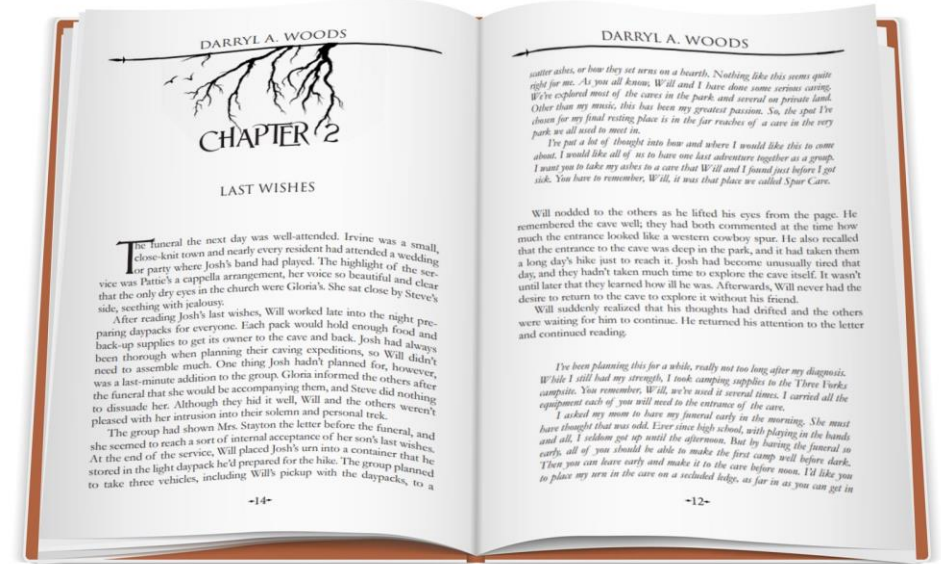
Records Retention/Disposition
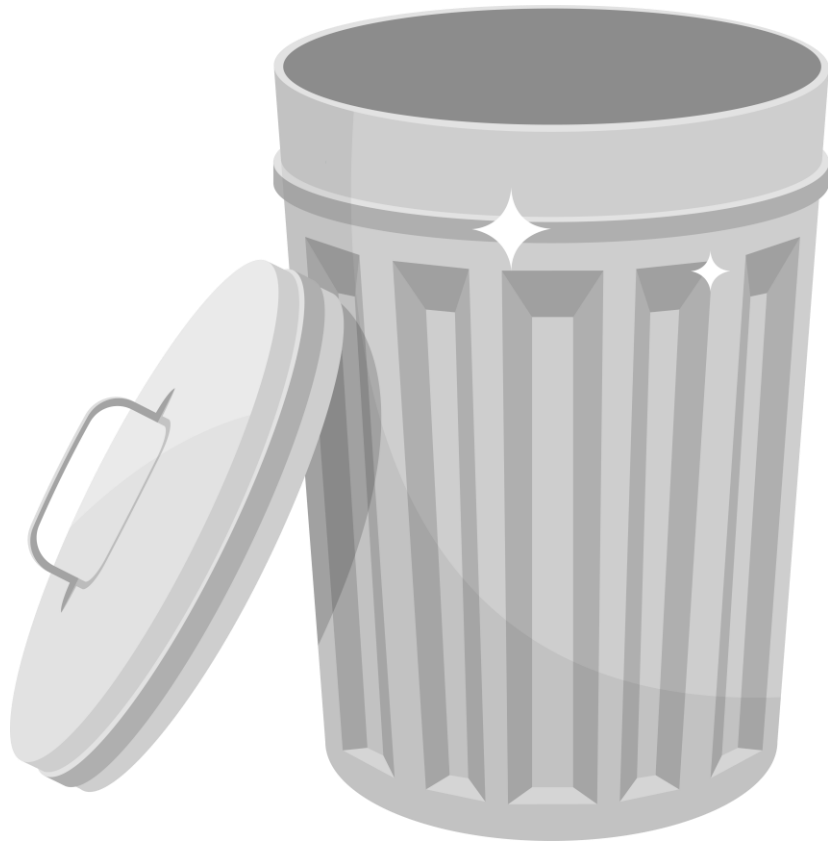
- Proper application of records retention is critical for achieving adherence to the standard:
  - Timely deletion of sensitive records reduces data breach costs
    - And amount of records to be provided for ORRs!
  - Clear memory and space from the database to improve performance
  - Prioritize maintenance 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
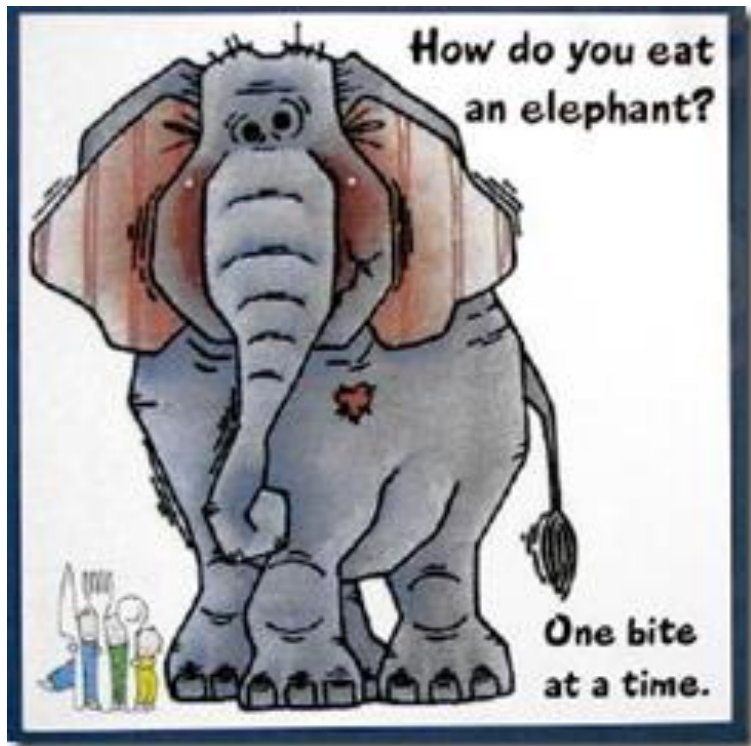
- Pilot Department to get started (DER? DPW?)
- Identify major management/storage needs
  - Large data sets
  - Surveillance Files
- Will almost definitely require a meet-and-confer session
- Plan for implementation/rollout DURING procurement
  - General best practices/records principles