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Final Review:
RM Program Recommendations

Norfolk County – Records Management Strategy

December 12, 2022

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Agenda

- ☑ **Project Summary**

- ☑ **Roadmap**

- ☑ **Implementation Plan Estimations**

- ☑ **Q&A**

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Project Summary

Completed Activities and Deliverables

Project Goals

Here's what we've achieved within the project

Goal #1

Review existing systems, processes, content, and governing documentation to understand current state and needs.

Goal #2

Analyze needs and develop records and information management modernization and digitization strategy for the County.

Goal #3

Review and refine strategy and plan for organizational rollout of recommended solutions.
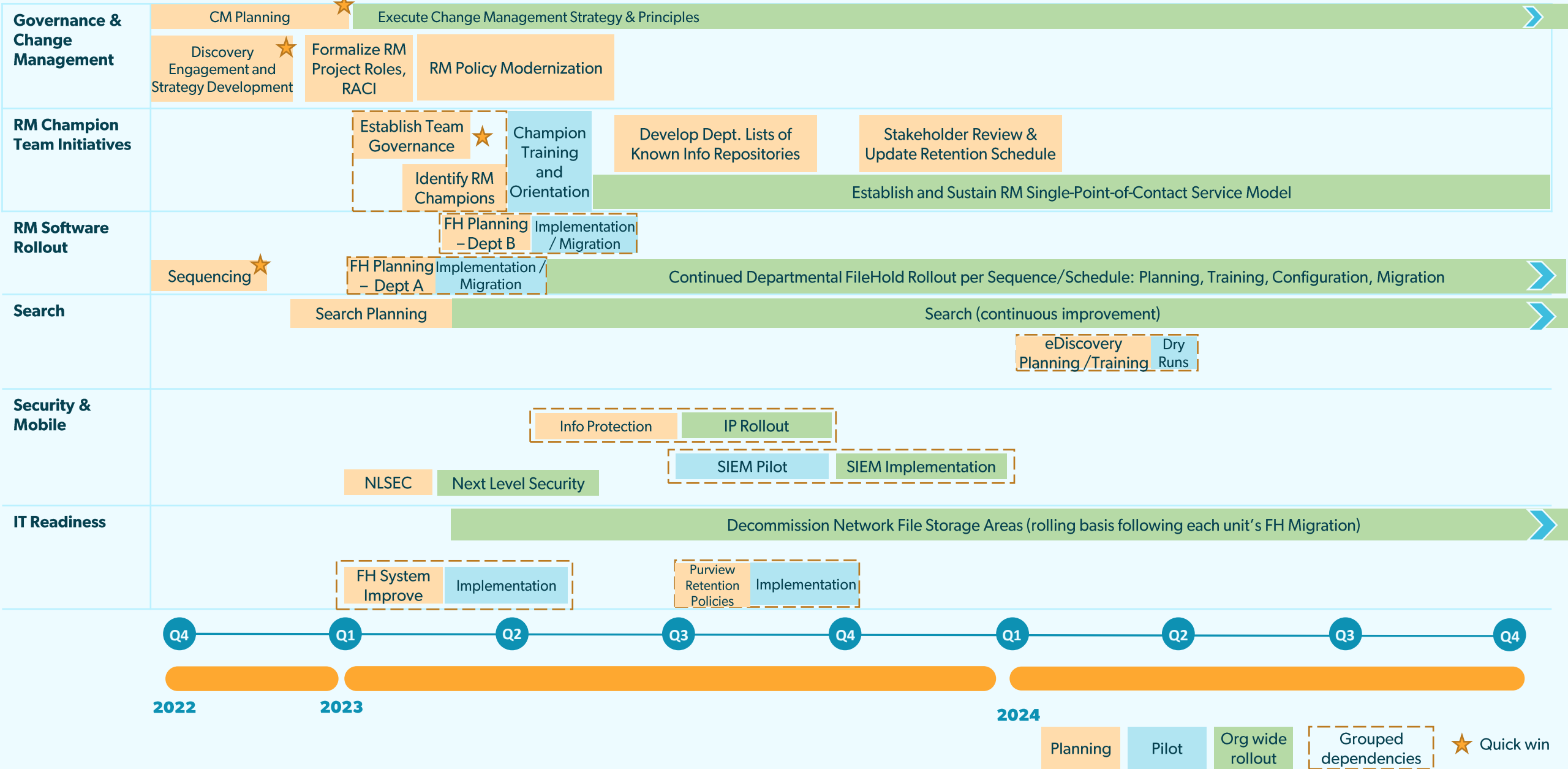
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Summary of Provided Deliverables

1. **Current State Assessment report.**

2. **Strategy and Future State Recommendation presentations (7)**

3. **Supplemental resources from Recommendations sessions**

   - Scanning QA guide, scanning strategy, change mgmt. strategy, software analysis, etc.

4. **RM Program Roadmap and Detailed Implementation Plan**

   - Sequencing model for FileHold rollout project also included.

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Roadmap

A high-level sequence of initiatives recommended to benefit the County's RM program.

Roadmap: Next 2 years

Governance & Change Management			

Governance & Change Management
- CM Planning ★
- Execute Change Management Strategy & Principles ›
- Discovery Engagement and Strategy Development ★
- Formalize RM Project Roles, RACI
- RM Policy Modernization

RM Champion Team Initiatives
- Establish Team Governance ★
- Champion Training and Orientation
- Develop Dept. Lists of Known Info Repositories
- Stakeholder Review & Update Retention Schedule
- Identify RM Champions
- Establish and Sustain RM Single-Point-of-Contact Service Model

RM Software Rollout
- FH Planning – Dept B
- Implementation / Migration
- Sequencing ★
- FH Planning – Dept A
- Implementation / Migration
- Continued Departmental FileHold Rollout per Sequence/Schedule: Planning, Training, Configuration, Migration ›

Search
- Search Planning
- Search (continuous improvement) ›
- eDiscovery Planning / Training
- Dry Runs

Security & Mobile
- Info Protection
- IP Rollout
- SIEM Pilot
- SIEM Implementation
- NLSEC
- Next Level Security

IT Readiness
- Decommission Network File Storage Areas (rolling basis following each unit's FH Migration) ›
- FH System Improve
- Implementation
- Purview Retention Policies
- Implementation

Timeline: Q4 — Q1 — Q2 — Q3 — Q4 — Q1 — Q2 — Q3 — Q4

2022 | **2023** | **2024**

Legend:
- Planning
- Pilot
- Org wide rollout
- Grouped dependencies
- ★ Quick win

High-level roadmap: RM Program

Phase 1:
Program & Project Governance

Formalize RM Roles and Project Governance

Sequence FileHold Rollout

Establish an RM Champion Team

Update RM policies and procedures

FileHold System Improvements (IT-Led Initiative)

Phase 2a:
RM System Rollout & Enhancements

FH Onboarding and Training for IT Group + Other Early Adopter(s)

Evolve FH Configuration (throughout rollout)

FH Search Log & Monitoring

Implement Next Level Security Practices (IT-Led Initiative)

Phase 2b:
Evolving for M365 Collaboration Platforms

eDiscovery Training and Planning for Records Analyst

Retention Policies on M365 Collaboration Platforms (IT-Led)

Metadata Alignment b/w FH and SharePoint Online (IT-Led)

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Recommended Activities

Governance and Change Management

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Program Governance & Documentation

Description:
Establish, document, and formalize the constituent roles and responsibilities of the County's Records Management program and initiatives. Update the County's Records Management policies, schedules, and bylaw to reflect updated requirements and to clarify permitted practices.

Detailed Activities:
1. Formalize and document the roles, responsibilities, and key stakeholders (such as a RACI) for each of:
   - County Records and Information Privacy program
   - FileHold implementation project
   - FileHold operational maintenance
   - FileTrail operational maintenance
2. Update By-Law 2020-90 section 6 to clarify which storage locations are approved systems of record in the County.
3. Update role descriptions in Records Management Policy CAO-14 to reflect current staffing structure and changed duties.
4. Establish and document a digitization standard for City records: outlining image quality and other conditions that would authorize staff to destroy physical originals (see scanning standard shared from the engagement).
5. Establish directives around (1) supervisor RM responsibilities following personnel departure, and (2) requirements around working with or storing County records in remote locations or at home.

Outcome:
- Established, documented standards for defensible digital reproductions of County physical records, assisting with the destruction of redundant paper storage.
- Updated, clear expectations available to staff around suitable records storage locations, and offboarding RM responsibilities.
- Comprehensive accounts of the program's portfolio and staff roles to assist program planning and resourcing evaluations.

Resources

Owners / Drivers of Initiative
- Clerks and By-Law Department

Contributors
- County Clerk
- Deputy Clerk
- Records Analyst
- IT (to establish ongoing support roles for FileHold/FileTrail)
- External support as desired.

Skill Sets Required
- Records and Information Management
- Policy Development
- Domain knowledge of County Legislative Services roles and processes.

Schedule & Duration:

Q1 – Q2 2023
(where activities do not require Council assent)

Effort:

70 hours

Change Management Planning for FileHold

Planning project	Pilot	Org wide rollout

Description:
Change Management is a critical part of a successful project delivery framework which aims to ensure successful project outcomes by focusing on the human side of changes in the workplace. The results and outcomes of workplace changes are intrinsically and inextricably tied to individual employees doing their jobs differently and involves fear of the unknown and requires behavioral change. Change Management is the bridge between technology solutions and business results.

Detailed Activities:
1. Affirm/formalize Change Management Implementation Strategy for FileHold project including:
   - Sponsorship Plan
   - Resistance Management Plan
   - Communication Plan
   - Coaching Plan
   - Training Plans
   Note: Draft plans for Norfolk have been provided as part of the Change Management presentation.

2. Explore staffing options to support rollout, project planning, and continued maintenance of new RM systems.
   - Hiring additional PT staff or contractor support throughout major change periods.
   - Long-term: develop business case to increase # of FTE staff for RM program.

Outcome:
Successful Change Management planning seeks to ensure end user adoption, usage, and satisfaction with the solution.

Resources

Owners / Drivers of Initiative
- Clerks and By-Law Department

Contributors
- County Clerk
- Deputy Clerk
- Records Analyst
- IT (to establish ongoing support and sponsorship roles for FileHold/FileTrail)
- Corporate Communications
- External support by Gravity Union as desired.

Skill Sets Required
Change Management
- Including Communications, Training, Coaching, Sponsor and Resistance Management

Schedule & Duration:

Q4 2022 – Q1 2023 :

Initiate Change Management Strategy

Effort:

10 hours

Governance and Change Management
Summary Effort Estimate

High-level activity	Estimated Effort (hours)
Formalize Project and Operational RACIs	20
Update and Expand RM By-Law, Policies, and Standards	50
Formalize Change Management Plans and Sponsorship Roles	10
Total	80

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RM Champion Team

Establish an RM Champion Team

Description:
Establish a Team of Records Management Champions to advocate for information management best practices, to support the implementation and rollout of new records management systems, and to improve oversight over the current state of records management Countywide.

Detailed Activities:
1. Establish a Records Management Champion Team in the County with required representatives from each business unit.
   - Team members would have a single-point-of-contact role: acting as a liaison b/w business unit and Records Analyst.
2. Formalize Team governance structure, activities, and meeting schedule. Identify and secure executive and business sponsors.
3. Provide advanced training for RM Champions on: records management foundational concepts and policies, FileHold, and FileTrail (incl. advanced search in both systems).

Outcome:
- Establish/affirm accountability of Divisional/Departmental Leadership over the state of their records holdings and processes.
- Increase compliance and RM advocacy across County, improve ROI on system investments, free up capacity for Legislative and Information Services staff.

Schedule & Duration:

Q1 – Q2 2023+

Effort:

60 hours

Resources

Owners / Drivers of Initiative
- Clerks and By-Law Department
- Records Custodians / Creators (business units)

Contributors
- County Clerk
- Deputy Clerk
- Records Analyst
- Records Management Champions

Skill Sets Required
- Intermediate Records Management knowledge (for Team lead)
- Knowledge of business area's records and requirements
- Advanced training on FileTrail, FileHold

RM Champion Initiatives

Description:
Once established, leverage the County's RM Champion Team to support annual compliance review tasks, to undertake records inventory initiatives, and to assist in training and implementation of County RM Systems.

Detailed Activities for RM Champion Team:
1. Establish a single-point-of-contact service model for RM inquiries: where questions are channeled first through their departmental RM champion and escalated to Analyst when required.
   - Increases reach of RM program initiatives and help foster an information-aware culture at the County.
   - Departmental champions will have additional domain knowledge over their unit's records and would be especially equipped to assist their team.
2. Leverage RM champions to perform departmental inventories of active record storage and collaboration locations.
3. Task RM Champions with onboarding and refresher training on FileHold and FileTrail in their unit.

Outcome:
- Establish/affirm accountability of Divisions and Departments over the state of their records holdings and processes.
- Increase compliance and RM advocacy across County, improve ROI on system investments, free up capacity for Legislative and Information Services staff.

Schedule & Duration:

Q2 – Q4 2023 +

Effort:
- **~4 hours** per departmental inventory (high-level)
- 1 hour for onboarding and refresher training (ad-hoc basis)

Resources

Owners / Drivers of Initiative
- Clerks and By-Law Department
- Records Custodians / Creators (business units)

Contributors
- County Clerk
- Deputy Clerk
- Records Analyst
- Records Management Champions

Skill Sets Required
- Intermediate Records Management knowledge (for Team lead)
- Knowledge of business area's records and requirements
- Advanced training on FileTrail, FileHold

RM Champion Team
Summary Effort Estimate

High-level activity	Estimated Project Team Effort (hours)	RM Champion Effort (hours)
Establish Team, Formalize Governance and Terms-of-Reference	24	
Champion Training Preparation	24	
Champion Training on RM, FileHold, FileTrail	12	12
Conduct Departmental Record & Information Inventories		4
Total	**60**	**16**

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Records Management Software Rollout

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Sequence FileHold Rollout

Planning project | Pilot | Org wide rollout

Description:
Determine strategic sequence for departmental rollout and onboarding of the FileHold Records Management system.

Detailed Activities:

1. **Determine department rollout sequence based on evaluated factors like:**
   - Risk (willingness to engage, content complexity, content volume, department size, technical and organizational readiness)
   - Benefits (value of solution to business, risk mitigation, increased productivity).
     *Sequencing tool has been populated and provided with the engagement.
2. **Recommended next department is IT**: assessed as having high benefit, low risk, and unit is eager to learn and support the rollout.
   - Sequence higher-risk groups later in the rollout order for greatest ROI: benefit from lessons learned, honed rollout strategy, and previous successes to motivate change.

Outcome:
- Strategic sequence / rollout plan for FileHold to secure greatest ROI on project and system investment.
- Identify potential risks and delays to mitigate their impact on the rollout effort and schedule.

Schedule & Duration:

Q4 2022 – Q1 2023

Effort:

~4 hours

Resources

Owners / Drivers of Initiative
- Clerks and By-Law Department

Contributors
- County Clerk
- Records Analyst
- IT (if selected as next department)

Skill Sets Required
- Project planning
- Knowledge of business area's records, risks, and requirements
- Advanced administrator skills with FileHold

FileHold – Departmental Rollout

Description:
Design, plan for, and develop records management solutions in FileHold for each department as part of the County's workplace modernization strategy.

Detailed Activities per Collaboration Portal:

1. Current state assessment of information environment and determine group's requirements
2. Content discovery of group's existing information estate: documenting data on types of content, location, quantity, migration eligibility, retention, collaboration requirements, security, metadata, volume.
3. Determine document schemas in collaboration with dept. staff to guide solution design and navigation. Define metadata required for each schema.
4. Iteratively refine FileHold solution in consultation with end-users.
5. End-user platform training and solution-specific training.
6. Migration planning and "migration parties" (supervised end-user manual migration).
7. Go-live and supported transition to Operations.

Outcomes:
- Trained staff comfortable with using new records management solution.
- Increased visibility and discovery of County records, reduced reliance on paper processes.
- Ensure eligible records are classified against the County retention schedule and appropriately destroyed or archived at the end of their lifecycle.

Resources

Owner / Driver of Initiative
- Corporate Analytics and Technology

Contributors
- Records Analyst
- IT (license acquisition and technical support)

Skill Sets Required
- Advanced administrator skills with FileHold
- Records and Information Management
- Adult-oriented instruction

Schedule & Duration:

Q1 2023 +

(anticipate approx. 8-12 weeks per business unit with current resourcing)

Effort:

Department Resources:
Avg. 2-4 hours per week, per stakeholder

Records Analyst or Consultant Resources:
150-250 hours per department

Evolving FileHold Configuration

Description:
Resume the rollout of FileHold as the County's dedicated RM system, plan for likely compliance gaps, and automate retention wherever possible to minimize user input required and ensure timely destruction of expired information assets.

Detailed Activities:

1. Automate retention event metadata wherever possible to ensure timely destruction for expired assets.
   - Often, Event Date might be a redundant value that can be reasonably substituted with system-generated or existing custom metadata values (such as last modified time, contract expiry, fiscal year end date, etc.)

2. Set "convert-to-record" event schedules on select vital or high-value records series to ensure their continued integrity.

3. Consider revising FH's navigational tree to be more decentralized and reduce onus on end-users to understand and interpret County retention schedule (stemming first from business unit where possible):
   - Most records created and stored by a business unit should be near to one another in navigational tree for ease of use.
   - Will simplify security assignations, maintenance, and custody transfers in event of organizational restructure.

Outcomes:
- Increased automation over electronic record lifecycle and read-only conversion in FileHold.
- More efficient and reliable retention and disposition patterns.
- Adoption of user-driven, accessible information architecture to soften change curve and improve adoption.

Resources

Owners / Drivers of Initiative
- Clerks and By-Law Department

Contributors
- Records Analyst
- Records Custodians / Creators (business units)

Skill Sets Required
- Advanced administrator skills with FileHold
- Records and Information Management

Schedule & Duration:

Q1 2023 +

(throughout rollout)

Effort:

New Departments:
Integrated with estimate for Departmental Rollout

Already-Onboarded Departments:
Approx. 40 hours per business unit to revise existing IA and event metadata.

FileHold Software Rollout
Summary Effort Estimate

High-level activity	Estimated Effort (hours)
Sequence FileHold Rollout	4
Evolve existing IA and event metadata in FH	40
Total	**44**

High-level activity	# Departments	Estimated Effort (hours)
FileHold Rollout – High Complexity Department	5	250
FileHold Rollout – Medium Complexity Department	8	200
FileHold Rollout – Low Complexity Department	8	150
Total	**23**	**4,050**

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Search

Search Enhancements

Description:
Govern, enhance, and maintain strong search solutions for organizational records and information across FileHold, FileTrail, and Office 365 platforms.

Detailed Activities:
1. Create a Search Centre of Excellence in the County: a group of staff to meet, assess, and take actions that improve search outcomes and solutions on an iterative basis.
2. Enable and monitor search performance logs in FileHold to identify search patterns, prioritize enhancements, and capture error or timeout frequency.
3. Train Department RM Champion team on advanced search skills in FileHold, FileTrail, and SharePoint to alleviate workload pressure on Clerk's office and to facilitate quick service where required.
4. Design new and existing SharePoint repositories so that they also capture the relevant metadata required in FileHold for more consistent search outcomes and to facilitate metadata entry when documents are saved to FileHold out-of-place.

Outcome:
- Increased oversight and governance over search performance, strategies, and outcomes in RM systems.
- Established community of search experts to assist and train staff when questions arise.

Resources

Owners / Drivers of Initiative
- IT (esp. SharePoint)
- Clerk's Office

Contributors
- RM Champion Team
- Records Analyst
- IT (SharePoint search administration)
- End-users (feedback providers)

Skill Sets Required
- FileHold search administration
- FileTrail search administration
- SharePoint search schema and content type configuration
- Advanced search skills across platforms

Schedule & Duration:

Q1 2023+

Effort:

~150 hrs

Purview eDiscovery Training

Description:
Adopt Purview eDiscovery as a tool to search County information in Microsoft 365 platforms such as SharePoint, Exchange, OneDrive, and Teams.

Detailed Activities:

1. Grant access to Purview eDiscovery to Records Analyst and/or other key FOI staff in Clerk's office.
   - One County administrator account should be named an eDiscovery Administrator (create, see, manage all cases)
   - Records Analyst should be assigned role of eDiscovery Manager (create, see, manage own cases)
   - E3 required for eDiscovery Standard, E5 or Compliance add-on for Premium eDiscovery.

2. Arrange advanced training for Analyst on eDiscovery features, functions, and hold settings to support FOI and other investigations.

Outcome:
- Enhanced ability using eDiscovery to identify County records and information held in other collaboration platforms, and to enforce holds on responsive records.

Resources

Owners / Drivers of Initiative
- Clerks and By-Law Department

Contributors
- IT Systems Administrator
- Records Analyst
- Solution training by Gravity Union as desired.

Skill Sets Required
- Microsoft Purview eDiscovery
- Advanced KQL Syntax and operators

Schedule & Duration:

Q4 2023 – Q1 2024

Effort:

~4 hours

Search
Summary Effort Estimate

High-level activity	Estimated Project Team Effort (hours)	IT Resource Effort (hours)
Establish Search Center of Excellence	24	
FileHold configuration and monitoring	24	16
Create and provide Search training for RM tools and SharePoint	16	
Design new and existing SharePoint repositories to match FileHold	36	36
Total	100	52

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Security and Mobile

Deploy Information Protection

Planning project	Pilot	Org wide rollout

Description:
Define, detect and secure sensitive information across systems

Detailed Activities:
1. Define and classify sensitive information across platforms
2. Plan and implement data loss prevention and sensitivity labels in Microsoft 365
3. Extend data information protection from M365 to other apps with Defender for Cloud Apps
4. Use Purview data map and on-premises scanner to apply labels in other information stores such as FileHold, file shares or SharePoint on-premises

Outcome:
- Increased security of your sensitive information
- Visibility of sensitive data
- Added protection on-premises and in cloud

Schedule & Duration:

Q2 2023 – Q3 2023

Effort:

~160 hours

Resources

Owner / Driver of Initiative
- IT

Contributors

Department / Stakeholder:
- **IT**
- **RM**

Skill Sets Required
- Windows Systems Administrator
- DBA/SQL Server Administrator
- Microsoft 365 Administrator
- Microsoft Purview (Compliance) Administrator

Next Level Security

Description:
Increase your security posture and ensure access is provisioned to who requires it.

Detailed Activities:
1. Planning for Azure AD Premium implementation
2. Design and Implement Conditional Access Policies
3. Design and Implement access reviews
4. Design and Implement Terms of use
5. Promote Secure access best practices campaign

Outcome:
- Increased security and performance of the FileHold system and other County systems
- Increase security awareness of staff

Schedule & Duration:

Q1 2023 – Q2 2023

Effort:

~100 hours

Resources

Owner / Driver of Initiative
- IT

Contributors

Department / Stakeholder:
- **IT**
- **RM**

Skill Sets Required
- Windows Systems Administrator
- Microsoft 365 Administrator
- Microsoft (Azure AD) and Entra
- Change Management
- Modern workplace security

Evaluate MS Sentinel as a SIEM

Planning project	Pilot	Org wide rollout

Description:
Increase your security posture and ensure access is provisioned to who requires it.

Detailed Activities:
1. Introduction to MS Sentinel
2. Cost analysis and planning for Sentinel pilot
3. Implementing Sentinel for cloud workloads (M365/FileTrail)
4. Configuring Sentinel for on-premises SharePoint
5. Develop/Implement Sentinel connector for FileHold POC

Outcome:
- Evaluate Sentinel as a potential cloud-SIEM platform
- Estimate cost of SIEM solution
- Run POC with cloud workloads

Schedule & Duration:

Q3 2023 – Q4 2023

Effort:

~300 hours

Resources

Owner / Driver of Initiative
- IT

Contributors

Department / Stakeholder:
- **IT**
- **RM**

Skill Sets Required
- Windows Systems Administrator
- Microsoft 365 Administrator
- Microsoft (Azure AD) and Entra
- Change Management
- Modern workplace security

Security and Mobile
Summary Effort Estimate

High-level activity	Estimated Effort IT (hours)
Deploy Information Protection	160
Next Level Security	100
SIEM Pilot	300
Total	560

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IT Readiness

FileHold System Improvements

Description:
Increase the reliability of the system for internal and external users, ensuring continuity and engagement from an IT perspective

Detailed Activities:
1. Define and implement a set of metrics to baseline SQL Server and Web servers to proactively identify resource contention and potential system degradation.
2. Address lag in opening the public version of FileHold so that the general public can access it without issues.
   a) Implement warm-up scripts.
   b) Implement real user monitoring (RUM) to measure and validate service availability.
   c) Evaluate access to FileHold
3. Develop or complement guidelines, best practices and training to encourage staff to use a recommended Internet speed for a desirable experience that allows staff to work with the system from home.

Outcome:
• Increased resiliency and performance of the FileHold system
• Increased adoption and engagement .

Resources

Owner / Driver of Initiative
• IT

Contributors

Department / Stakeholder:
- **IT**
- **RM**

Skill Sets Required
• Windows Systems Administrator
• DBA/SQL Server Administrator
• Policy development

Schedule & Duration:

Q1 2023 – Q2 2023

Effort:

~60 hours

Set Purview Retention Policies

Description:
Using Microsoft Purview, develop and implement County retention policies on collaboration locations that are only intended to house transitory information or that serve as temporary storage for working documents.

Detailed Activities:

1. Identify content locations that should be subject to a retention policy based on the nature of their content and supported conditions of use.
2. Determine reasonable retention period and destruction outcome for each content location (ie. Auto-delete Teams chat messages after 1 month).
3. Ensure retention changes are thoroughly communicated and forewarned County-wide before implementation.
4. Configure retention policies in Purview Data Lifecycle Management as needed.

Outcome:
- Mitigate risks of content over-retention and sprawl in Microsoft 365 collaboration platforms by implementing reasonable retention limits.
- Reduce volume of transitory information and communications that may be responsive to FOI/FOIPPA requests.

Schedule & Duration:

Q3 – Q4 2023

Effort:

~60 hours

Resources

Owners / Drivers of Initiative
- IT

Contributors
- IT – Systems Administrator for Microsoft 365
- Records Analyst
- Corporate Communications (to communicate retention changes)
- Gravity Union (configuration and training available as desired)

Skill Sets Required
- Intermediate Records Management knowledge (to assess retention needs)
- Purview Data Lifecycle Management
- Change communications

IT Readiness
Summary Effort Estimate

High-level activity	Estimated Effort (hours)
FileHold System improvements	60
Set Purview Retention Policies	60
Total	120

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Q&A

Thank you!