

Presented To

Township of South Glengarry

Delivered On

January 28th, 2022.

Deliverable

Records Management Current State Assessment

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CONTACT

Nina Carter, President

The Information Professionals

613.298.6206

nina@the-infopros.com

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Executive Summary

The Township of South Glengarry (Township) creates information that enables the delivery of their municipal programs and services and ensures accountability and transparency of its actions to community members. As these information resources are valuable to ensure the delivery of its programs and services, structured planning of their management must occur to meet corporate goals and objectives.

The Information Professionals (InfoPros) was engaged by the Township to review their Records Management Program and practices, assess them against recognized best-practices, and to develop a set of recommendations that would assist the Township in realizing their goals and objectives to move towards the implementation of an electronic document and records management solution (EDRMS).

The InfoPros completed a detailed analysis of the Township's recordkeeping practices and management capabilities. The analysis consisted of reviewing the Township's current records management program including by-laws, policies, and systems of record (e.g., network drives and Outlook). It also included the analysis of information provided by 14 key stakeholders during an online survey. Observations were further investigated using interviews with stakeholders and focused on current practices and challenges in their respective areas of expertise.

The analysis conducted by the InfoPros identified meaningful gaps between the Township's current Records Management Program and practices and the essential elements required for a successful EDRMS implementation. As such, the Information Professionals recommends that the Township revise its Records Management Program to ensure that its recordkeeping practices are compliant with current legislation. Moreover, the InfoPros recommends that the Township leverage its investment in M365 by implementing SharePoint Online to improve the way that information is organized, secured, and managed.

The recommendations in this report is defined in phases that are based on industry best practices and our 25+ years experience in supporting municipalities management of records in physical and electronic formats.

1. REPORT FORMAT

The summary of findings report has been organized into the following four categories:

- **Records Management Policies and Procedures.**
- **File Plan and Retention Schedule.**
- **Records Management Resources; and**
- **Technologies.**

Each above-noted category is further broken down into three areas of analysis: Best Practices, Observations and Recommendations.

BEST PRACTICE

Based on the InfoPros experience in the definition and implementation of records and information management program, this section summarizes best practices in the industry and in accordance with leading Associations such as the Association of Records Managers and Administrators (ARMA) and the Association for Information and Image Management (AIIM).

OBSERVATIONS

The purpose of the observations is to summarize the completed detailed analysis of the Township's current records and information management or privacy practices. Furthermore, the InfoPros also highlighted any potential gaps or risks that the Township may be faced with regarding its current practices.

RECOMMENDATIONS

The recommendations summarize the requirements to mitigate any potential risks and to better align the Township's records and information management practices with industry and municipal best practices. Additionally, in some areas, these recommendations are listed in the respective order that they should be developed and implemented. It is important to note that the recommendations in this report are necessary to ensure that Township can meet its current and future legislative-compliance requirements.

Records Management Policies & Procedures

The guiding principle of records management is to ensure that information is available when and where it is needed, in an organized and efficient manner, and in a well-maintained environment. Organizations must ensure that their records are:



The Information Professionals completed a detailed review of Township’s records management-related by-laws, policies, procedures, and current systems of records. Additional analysis was captured during a series of interviews and a focused online survey with key stakeholders to understand current recordkeeping practices and validate the recommendations described below. The stakeholder interviews and online survey focused on the following areas:

- Discussion of Key Departmental Business Functions and Activities.
- Records created during the execution of Business Functions and Activities.
- Knowledge and awareness of the Township’s Records Management Program.
 - File Plan and Retention Schedule (i.e., The Ontario Municipal Records Management System or “TOMRMS”)
 - By-laws and policies

- Electronic Recordkeeping Practices and Systems of Records (network drives, Outlook and Township applications).
- Records Management Challenges.

BEST PRACTICE

Policies and procedures are key elements of a records management program as they define the necessary governance for the management of corporate records and information assets to the Township. As such, clear accountability for records management and a definition of a record are essential to:

- Achieving transparency.
- Managing corporate risk.
- Defining authority, responsibilities, roles, and expectations; and
- Maintaining consistency within an organization.

In the event of litigation, proving that documented policies and procedures are followed supports the admissibility of evidence by establishing that the information is used and relied upon during business. Consistent records management practices according to these documented policies and procedures is essential for both short- and long-term information retrieval, legislative compliance, and risk management.

An important consideration regarding the way in which we communicate and share information is evolving from mostly physical formats to increasingly more electronic formats, including text messages and content created or shared on social media platforms. Every corporation is challenged with managing all information under a single policy to account for and properly organize this deluge of data captured (paper, electronic, audio, video, etc.). Social media presents a significant challenge for corporations, as it often challenges the traditional definitions of “what is a record.”

OBSERVATIONS

During its detailed analysis, The InfoPros noted that the Township is missing a number of records management policies and procedures. Since one of the most important considerations regarding the way in which we communicate and share information is evolving from mostly physical formats to increasingly more electronic formats, including text messages and content created or shared on social media platforms, the Township needs to address answering the fundamental questions: definition of a record, employee’s responsibilities and how should employees manage records, scan documents or where email messages should be saved. Most municipalities are challenged with managing all

information under a single policy to account for and properly organize this deluge of data captured (paper, electronic, audio, video, etc.) however, it is vital to the fidelity of records management programs that policies and procedures provide the necessary governance.

RECOMMENDATIONS

Develop additional policies to further define Township objectives relating to the key aspects of the Records Management policy.

The Records Management policy often requires more granular policies to further define the Township's expectations. In addition to the privacy and retention policies that already exist, additional policies should be considered regarding, but not limited to the following:

Policies

Revise Records Management By-law

- Revise the current records management by-law and reference the TOMRMS file plan and retention schedule instead of adding it within the by-law. This will ensure that the Township is kept up to date with The InfoPros' retention schedule changes.

Establish Electronic Records Policy

- Establish the parameters for the use of technologies that enable scanning of physical records or the use of electronic signatures, so that records can be relied upon for their authenticity (e.g., admissible as evidence should they be needed in a court case).
- Define the roles, purposes and use of components such as email, voice communication, instant messaging, cloud storage and social media.

Procedures

Consider Procedures Required to Support Electronic Records Management Implementation

The way in which the procedures are made available should also be reviewed to ensure that the most recent version can be easily accessed. A central location should be created for by-laws, policies, and procedures to ensure that staff are able to locate the current and official versions easily so that staff are not relying on outdated physical copies or

copies saved to local drives. Required procedures may include but are not limited to those that address:

- Individual employee and stakeholder roles and responsibilities in managing records.
- How and when to apply the records management tools such as TOMRMS (classification, retention, vital records listing) to paper and electronic records, including email.
- How and when to use information creation and capture components such as the multiple shared drives, email, voice communication, instant messaging, and social media.
- Email best practices and the capture into corporate repositories and classification of records and information.
- Effective use of imaged and electronic records while ensuring suitability for evidentiary purposes.
- Protecting information privacy and confidentiality.
- Effective use of electronic signatures.
- Inactive records storage and retrieval.
- Applying the retention By-law to paper and electronic records and maintaining destruction lists of records that have been destroyed.
- Applying destruction holds in the event of litigation, regulatory or audit issues.
- Electronic media destruction.
- Identifying records required for Disaster Recovery and business continuity.
- Vital records capture, protection, and preservation; and
- Records management compliance monitoring.

2. FILE PLAN AND RETENTION SCHEDULE

The Township leverages The Ontario Municipal Records Management System (TOMRMS), a methodology and compliance service for organizing the information that exists within a municipality in Ontario. It was co-developed in 1990, by the InfoPros in conjunction with the Association of Municipal Managers, Clerks & Treasurers of Ontario (AMCTO), to meet the needs that would arise from the introduction of Municipal Freedom of Information and Protection of Privacy Act (MFIPPA).

The TOMRMS structure includes high-level functions and activities, scope notes and examples, retention periods and applicable legislation. With more than half of Ontario municipalities using TOMRMS, it is currently considered a best practice for the management of municipal records.

BEST PRACTICE

Two foundational elements in a well-designed records management program are content classification and the identification of retention requirements for all business records and information. Best practice requires that the content of information holdings is identified by a hierarchical structure – based on a corporation’s functions and activities. The structure must be simple, with as few levels in the hierarchy as feasible to meet user needs. Each category must be mutually exclusive and defined in scope notes to identify what is included (and in some cases, excluded) from the category. Since retention requirements are dictated by the content of a record, the retention and content category are often directly linked. The structure must be consistently applied regardless of the media in which the information is stored.

Collectively, classification and retention tools, along with the policies and procedures that define and describe their use, provide the core platform required for a corporate-wide records management program. They should be viewed as the corporate standard upon which all departmental records handling practices are based. In a corporate-wide system, deviation from these standards is not permitted. Users cannot be permitted to add or modify classification categories to make the structure unique to their department. Nor can they choose to retain records for less or more time than indicated in the retention standard. Where the corporate standard does not meet user needs, a coordinated approach is taken to modify and update the standard, ensuring that all changes are reflected across the enterprise. No department will use all categories or elements identified in these tools. In the ideal situation, each department or user group is provided

with a subset of only those categories and information that they use on a day-to-day basis. This is often referred to as a departmental file plan.

OBSERVATIONS

During the stakeholder interviews, it was noted that although there is some awareness regarding TOMRMS however, it has not been broadly implemented across all Departments within the Township. During our online survey more than 75% of stakeholders were unaware of the annual updates to the TOMRMS retention schedule. The challenge with the current records management practice is that most Departments have discontinued managing all records in physical format which means that electronic records are not being managed accordingly. With the growing volume of electronic records on network drives, Outlook and other applications, there are many risks that the Township could face long term such as: effective search and retrieval of records to support decision-making, respond to litigation or information requests, and the timely destruction of records in accordance with applicable retention periods.

RECOMMENDATIONS

TOMRMS Training

The Information Professionals recommends that the Township deliver TOMRMS refresher training, mandatory training for new employees and continue to implement the TOMRMS file plan and retention schedule across all Departments. Leveraging TOMRMS will help to organize the Township's records based directly on the work processes that a corporation performs to fulfill its mandate and goals - its functions. As such, we recommend that records on network drives be organized by folders according to the TOMRMS structure. By completing these recommendations, records will be organized in a structure that would facilitate content classification and migration into the future electronic records management system.

Develop Naming Convention Standards

Develop a naming convention standard to further clarify options and assist users in naming documents and folders. As part of these refinements, the use of abbreviations should be strongly discouraged, and the focus shifted to the creation of shorter titles using fewer elements in the title and standard version identification.

Naming conventions are standard rules applied to electronic documents and folders. Naming documents consistently, logically and in a predictable way distinguishes them from one another briefly and facilitates their storage and retrieval.

Formatting Best Practices

- Avoid the use of symbols, e.g., ~ " # % & *: < > ? / \ { | }.
- Hyphens and underscores are permitted.
- Avoid repetition and redundant words in folder and file names.
- Avoid using acronyms or abbreviations.
- Do not use words that are excluded from searches, e.g., the, if, but, so, for, etc.
- Keep document names short, but meaningful.
- Ensure the document name accurately describes the content of the document.

Benefits

- Creates uniformity in naming electronic documents.
- Enables accurate retrieval.
- Decreases the amount of time spent finding information.
- Eliminates storing duplicate items, especially duplicate items with different names.
- Ensures files are easily distinguished from one another.

Dates

Dates are not required since it is an attribute that is often captured by an EDRM solution as metadata. When a date is necessary (e.g., meeting minutes and agendas) use a hyphen to separate the year, month, and day, e.g., YYYY-MM-DD.

Provide Naming Convention Standards Training

Brief all staff on the use of the naming convention as part of ongoing Records Management communications and training.

Achieving consistent and standardized file and folder naming is difficult when relying on individual users for naming unstructured, subject-related documents. When defining naming conventions, users should be involved in defining the standard, trained and its use encouraged through regular monitoring and follow-up. The current naming convention should be reviewed to provide additional direction for formulating the title more clearly. For example, users could be instructed to use the most important search term first and to limit the length of the title by not including indexing tEDRMS in the document name. At a minimum, abbreviations should be intuitive, commonly used by many users, and included on a very short list of accepted tEDRMS that can be easily remembered without referring to a list.

While version control is not required for all record types, where it is appropriate and consistently applied, it is a major improvement to records management and accessibility. The identification of how many and which versions of any record that must be retained after the document is finalized can vary widely depending on the type of record and should be centrally determined and implemented, rather than left to individuals to decide. Since lengthy titles are an issue the standard for versioning could be shortened to “v” from “ver”.

An electronic records management system’ information architecture (metadata) can often replace elements of naming conventions such as version, however, the Township would still realize immediate benefits of defining and adopting a naming convention as it will improve recordkeeping practices such as search and retrieval and content identification.

3. PHYSICAL RECORDS MANAGEMENT

Physical Records Management provides the mechanism you need to manage any type of physical media, including paper documents, folders, boxes, cartons, tapes, microfiche, and many more. Physical records management systems are considered outdated, costly, time consuming to manage, and require continuous maintenance and support. However, Municipalities continue to manage records in both physical and electronic formats. To ensure compliant recordkeeping practices, Municipalities must ensure that the management of physical records is consistent with defined standards to ensure their protection and timely disposition.

BEST PRACTICE

Municipalities generate many both physical and electronic records. An efficient records management program manages records – regardless of their format – from creation through to disposition. The following best practices crucial to the management of physical records are as follows:

Indexing and Cataloguing

The effectiveness of physical records management is dependent on how easily both active and inactive records can be accessed when they are needed. Therefore, it is essential to put in place indexing and cataloguing procedures to ensure that key information such as: creation date, Department, Function and Activity are applied to boxes and folders. Poor indexing and cataloguing can contribute to poor search and retrieval and the inability to apply retention periods in a timely manner.

Offsite Storage Management

Although many Municipalities choose to store their inactive physical records onsite or in their own offsite facility, best practices suggest considering offsite storage providers. Often, a Municipal facility for managing inactive records means poor conditions such as humidity, dust, risks of floods and unauthorized access. Offsite storage providers ensure that physical records are stored in a temperature-controlled environment and in a secure facility. Additionally, most storage providers can offer tools such as online searching for inactive physical records and manage the disposition of records. Often, these additional services mean that over time, corporations are saving money while mitigating risks.

Records Access Management

Assigning accountability to a designated resource is important to ensure the management of physical records. As the primary point of contact, the resource develops procedures for archiving, indexing, and retrieving physical records.

Destruction and Archiving

Ensuring that records are disposed of or transferred to the Archives in a timely manner ensures that storage costs are managed.

OBSERVATIONS

During the stakeholder interviews, the InfoPros noted that the Township provides some physical storage for inactive records in several storage rooms in various areas of the Township. Stakeholders indicated that over time, the physical space is being overused and not adequate to protect Township records. Lastly, the InfoPros noted that records of enduring value are being managed in the same physical location as administrative records. Records that have enduring value should be stored in an offsite location and from unauthorized access to ensure long-term preservation.

RECOMMENDATIONS

Review Inactive Physical Records

A comprehensive review of existing inactive physical records stored both onsite storage facilities will uncover records that have possibly extended their defined retention period and/or provide an opportunity to apply additional metadata to improve future requests for access to inactive records.

Conduct Regular Inactive Records Disposition

Regular disposition of inactive records that have extended their retention periods is an important step to ensure that storage space is being used efficiently. Additionally, by completing a thorough disposition, the Township protects its reputation and mitigates any risks of having to produce inactive records to respond to information access requests or litigation matters.

Consider Engaging Offsite Storage Provider for Management of Inactive Records

Engaging an offsite storage provider to manage physical records improves the storage conditions, minimizes risks of floods or damage, significantly improves unauthorized

access, and reduces resource requirements. Additionally, the InfoPros believes that over time, the benefits will outweigh the risks that the physical records are currently exposed to.

4. TECHNOLOGIES

An Electronic Records Management System (EDRMS) can increase business efficacy, deliver improved accountability, and reduce compliance risks.

BEST PRACTICE

Information Management Technologies today extend beyond traditional Enterprise Content Management (ECM). According to the Association for Image and Information Management, Intelligent Information Management (IIM) is a roadmap that provides the following key capabilities:

- **CONTENT SERVICES:** A flexible and modular approach that utilizes content and information wherever and whenever it is needed, independent of where it is stored.
- **PROCESS SERVICES:** Tools that can be delivered with the simplicity of an app, but within a framework that allows the business to remain in control.
- **ANALYTICS SERVICES:** Automated tools to prepare all information – both structured and unstructured -- for machine learning.

The term services is intentional, because a modern enterprise must be able to link these capabilities together on the fly to respond to a continually changing business environment. However, transforming business (and the term ECM) has never been about the technology itself; but rather, it has always been about the business improvements organizations want to make, and the many facets of managing the lifecycle of information across an enterprise that enable organizations to make them.

INFORMATION DISPOSITION

Information disposition is a critical element of Information Management Programs and is the final operational action taken in the information lifecycle. Disposition may include the destruction of information or the permanent preservation of information. The volume of digital information that is available for disposition or destruction continues to grow as information professionals are faced with the ongoing challenge of carefully planning and executing disposition. The automation of routine processes such as disposition adds strength to existing information management programs, even when they are challenged by auditors or regulators.

The goal of automated information disposition should be based on the principle that an electronic record is destroyed as soon as it satisfies its retention period set by the Municipality's approved retention schedule. In traditional Information Management

programs, manual processes are used to eliminate stored records at the end of their retention periods.

Whether automated or manual, information disposition should include all previous versions. Information and the types of media that support them must be entirely destroyed so they cannot be reconstructed. In the best-case scenario, a Municipality can require complete, irrevocable destruction of certain types of records or forensic deletion. Forensic deletion takes more time, care, money and diligence, but it may be a requirement for the most sensitive records.

OBSERVATIONS

Like many corporations, the Township is currently facing information management challenges associated with a growing volume of electronic documents and records. During the Covid-19 pandemic, access to corporate records added to the Township's challenge of supporting employees working remotely.

Network Drives

Most the Township's corporate information (documents and records) resides on network drives. The network drives are loosely organized, with little to no Township-wide standardization. Multiple versions of documents, multiple folders and subfolders and inconsistent naming conventions makes it challenging for employees to find the information that they require and encourages the duplication of information in multiple locations. Common risks associated with storing corporate content within Network Drives are as follows:

- The loss of information related to misfiling or deletion
- Limited security options
- Multiple versions of the same document creating operational confusion
- Limited remote access options
- Poor search functionality

Microsoft Outlook

The management of email messages across Departments presents several risks to records management compliance and ensuring a timely response to FOI requests and/or supporting potential litigation matters.

Microsoft Outlook is commonly being used as a document repository for the Township's corporate information and the volume of corporate documents and records in this repository is growing quickly. The results of our survey concluded that 100% of employees interviewed manage email message within Outlook and confirmed that only 7% of employees manage email messages according to a defined retention schedule. Common risks associated with storing corporate content within Outlook are as follows:

- Inability to share/collaborate with colleagues.
- Lack of standard naming conventions, structure.
- Multiple versions of email messages with attachments being managed in several email inboxes.
- Inability to perform effective search and retrieval.
- Inability to efficiently apply retention and disposition to email messages and attachments that have reached their disposition.

RECOMMENDATIONS

Leverage Investment in M365 & SharePoint

Many municipalities are seeing the benefit of using Microsoft M365 (M365) & SharePoint Online for Content Management and Collaboration. SharePoint Online, and the broader M365 suite, is helping many municipalities ensure they are meeting information management regulations while also helping their business teams be more operationally efficient.

At the time of this assessment, the Township had begun testing the M365 suite of products. The InfoPros believes that Township should strongly consider M365 as a viable replacement option for the workloads currently being handled by Network Drives. M365 would provide the Township with a Collaboration and Content Management Platform, with seamless integration to Outlook. Moreover, the M365 platform natively provides classification and compliance capabilities that would allow the Township to automate several records management processes that currently require manual execution. Finally, M365 is supported by an abundant ecosystem of 3rd party products including Records Management "add-in's" that would provide the Township with advanced compliance capabilities over and above those provided natively by the platform, should those be required in the future. While it is not a recommendation, M365 in combination with a 3rd party Records Management add-in could be a viable option for the Townships EDRMS.

Easy to use Document Management: Municipalities are seeing the benefits of moving away from network drives to M365. Often replacing unwieldy systems which started to become popular 10 years ago, municipalities are seeing the benefits of a more lightweight solution which puts the emphasis on empowering the user and bringing productivity benefits.

The Township's network drives are not an effective repository for managing records as it contributes to duplication of documents, inefficient search and retrieval and the inability to apply retention and disposition. Empowering mobility, improving search capabilities and simultaneous collaboration across the organization are just a few of the benefits that the Township can realize by migrating content from shared drives to M365/SharePoint Online. Newer versions of SharePoint provide native records management features which allows content to be managed using metadata and labels that align to the Township's file plan and retention schedule, TOMRMS.

Collaboration: SharePoint provides the ideal way to empower your teams to work together more efficiently and collaboratively. SharePoint can be configured to provide departmental areas and temporary team sites to facilitate collaboration. SharePoint also fits nicely with other products in the M365 suite like Microsoft Teams and Microsoft Exchange.

System Integration: Organizations often implement M365 as part of a wider solution with SharePoint acting as the document repository for another system. Many organizations are connecting line of business systems to utilize document management within SharePoint. Organizations can also make use of Dynamics 365 to implement a Case Management solution where relevant documents are retained within SharePoint Online.

Third Party Add-in Software: Microsoft's mission with M365 is to make it as universally useful as possible. Many capabilities are provided natively that help organizations manage information in a controlled and compliant manner. Some municipalities have elected to supplement native M365 capabilities with a SharePoint add-in application specifically designed to address the unique information handling processes of records. These add-in software solutions process content stored in M365 or SharePoint preventing complex data integration scenarios. During the processing of content, specific features are available to compliance managers such as File Plan management, disposition processing and case records handling. These add-in solutions are not targeted at all users of the M365 or SharePoint solution, but a small community of clerks, administrators, and managers. These solutions ensure compliance and audit processes are followed.

Develop and Implement an Email Management Strategy

The InfoPros recommends that the Township consider email management as a project within the overall EDRMS strategy. Comprehensive email management would require a third-party application that will facilitate the management of email messages by integrating with the selected EDRMS. The need to gain control over the information contained in email messages should be considered a high priority.

In addition to an email management tool, the InfoPros recommends the following:

Declare Outlook as a communication delivery mechanism and not as a records repository: As a best practice for the Township, Outlook should be declared within the records management policy as a communication tool that is not to be used for storing “records”.

Define allowable mailbox size by role rather than universally: The recommendations regarding email management will require some time to implement. Therefore, we recommend that the Township consider setting limits to mailbox size. This practice ensures that employees regularly review their email messages and add them to the EDRMS. It should be noted that some Departments will require additional space due to the nature of their role and the content they manage.

5. EDRMS VALUE PROPOSITION

Ultimately, sound recordkeeping practices ensure that municipal records of vital historical, fiscal, and legal value are identified and preserved, and that non-essential records are disposed of in a timely manner according to defined retention periods. There are many added benefits in implementing an EDRMS strategy, some of them are:

- **Better management of information** – a central repository for records and documents, can replace the use of uncontrolled network drives. Improved retrieval of information enhanced by naming conventions and a controlled vocabulary. Full control of records – from creation through to disposition. Improved linking of related documents and records (copy of, translation of, attachment of, etc.) allowing end users to access information to support effective decision-making in a timely manner.
- **Improved business productivity** – industry experts estimate that employees spend approximately 40% of their day searching for documents. Investing in an EDRMS will realize improved retrieval, access and sharing of information in a secure environment. Additionally, savings are realized in the automation of key business processes and diminished duplication of records and documents. Decreased dependence on physical records, significantly decreases costs for physical storage.
- **Decreased organizational risks** - an EDRMS greatly improves security and access controls, reducing risks of unauthorized access to information, full audit capabilities and the ability to improve discoverability of information to support information access requests and response to litigation matters.
- **Compliance** - an EDRMS can support the Township's records management obligations and requirements.

APPENDIX A – EDRMS REQUIREMENTS

EDRMS Functional Requirements Traceability Matrix

Req ID	Business Requirement	Business Requirement Description	Functional Requirement	Functional Requirement Description
AS001	Access and Security	The solution shall provide system security and access management capabilities	User Access	The solution shall provide the ability for multiple users to simultaneously access the same area of the solution.
AS002	Access and Security	The solution shall provide system security and access management capabilities	Security	The solution shall provide the ability to setup access and security based on Active Directory group membership
AS003	Access and Security	The solution shall provide system security and access management capabilities	Security	The solution shall provide the ability to control access for security and audits
AS004	Access and Security	The solution shall provide system security and access management capabilities	Security	The solution shall allow Record Administrators to assign security access for the management of records, such as the ability to declare records.
AS005	Access and Security	The solution shall provide system security and access management capabilities	Security	The solution shall ensure that for in-place records, the local library or site permissions are applied.
AS006	Access and Security	The solution shall provide system security and access management capabilities	Security	The Solution shall 'security trim' options in the navigation and menus based on the user/group permissions.
AU001	Auditing	The Solution shall provide system auditing capabilities	Audit Trail	The Solution shall provide the ability to create and maintain audit for records activity including changes, deletes, adds, exports and imports.

AU002	Auditing	The Solution shall provide system auditing capabilities	Audit Reporting	The Solution shall provide the ability to create and maintain audit trails and reporting for all areas of the system.
AU003	Auditing	The Solution shall provide system auditing capabilities	File Plan Auditing	The Solution shall have the ability to audit and report on the retention schedule/file plan.
AU004	Auditing	The Solution shall provide system auditing capabilities	Record Auditing	The Solution shall have the ability retain changes to metadata.
AU005	Auditing	The Solution shall provide system auditing capabilities	Hold Auditing	The Solution shall have the ability to maintain the following metadata in order to preserve the Hold information: "Date Legal Hold Applied", "Date Legal Hold Removed".
CF001	Case Files	The Solution shall provide the ability to manage case files	Creating Case Files	The Solution shall provide the ability to create case files.
CF002	Case Files	The Solution shall provide the ability to manage case files	Creating Case Files	When creating a new case file, the Solution shall provide the ability for the user to manually enter a unique identifier to case files.
CF003	Case Files	The Solution shall provide the ability to manage case files	Classifying and Tagging	When creating a new case file, the Solution shall provide the ability to assign metadata.
CF004	Case Files	The Solution shall provide the ability to manage case files	Classifying and Tagging	The Solution shall provide the ability to edit the metadata of existing case files.
CF005	Case Files	The Solution shall provide the ability to manage case files	Creating & Uploading Content	The Solution shall provide the ability to upload documents into a case file.
CF006	Case Files	The Solution shall provide the ability to manage case files	Classifying and Tagging	The Solution shall provide the ability to classify content within a case file.
CF007	Case Files	The Solution shall provide the ability to manage case files	Classifying and Tagging	The Solution shall provide the ability to apply classification to content within a case file that is different than the classification that has been set on the case.
CF008	Case Files	The Solution shall provide the ability to manage case files	Classifying and Tagging	The Solution shall provide the ability for content within a case file to automatically inherit metadata that has been set on the case file.

CF009	Case Files	The Solution shall provide the ability to manage case files	Classifying and Tagging	The Solution shall provide the ability for content within a case file to have additional metadata that isn't available and inherited from the case file.
CF010	Case Files	The Solution shall provide the ability to manage case files	Permissions	The Solution shall provide the ability to apply unique permissions to a case file, different than the site and/or library where it resides.
CF011	Case Files	The Solution shall provide the ability to manage case files	Closing Case Files	The Solution shall provide the ability for a case file to remain open and active until it is closed by a user.
CF012	Case Files	The Solution shall provide the ability to manage case files	Closing Case Files	The Solution shall provide the ability for a case file to remain open and active until it is closed by an automated process (workflow).
CF013	Case Files	The Solution shall provide the ability to manage case files	Case File Record Declaration	The Solution shall provide the ability to automatically trigger the retention of records in a case file based on a date.
CF014	Case Files	The Solution shall provide the ability to manage case files	Routing Documents	The Solution shall provide the ability for the content within a case file to be automatically classified by using pre-defined rules.
CF015	Case Files	The Solution shall provide the ability to manage case files	Creating Case Files	The Solution shall provide the ability to delete case files, which will also delete all of its content.
CF016	Case Files	The Solution shall provide the ability to manage case files	Creating Case Files	The Solution shall provide the ability to delete content within a case file without deleting the case file.
CF017	Case Files	The Solution shall provide the ability to manage case files	Records Declaration	The Solution shall provide the ability to declare content within a case file as a record while the case is open.
DM001	Document Management	The Solution shall provide document management capabilities	Unique Identifier	The Solution shall provide the ability to automatically apply a unique identifier to all documents within the system.
DM002	Document Management	The Solution shall provide document management capabilities	Classifying and Tagging	The Solution shall provide the ability to classify documents.
DM003	Document Management	The Solution shall provide document management capabilities	Classifying and Tagging	The Solution shall provide the ability to apply metadata to a document.

DM004	Document Management	The Solution shall provide document management capabilities	Classifying and Tagging	The Solution shall provide the ability to automatically apply metadata values based on the library or folder location.
DM005	Document Management	The Solution shall provide document management capabilities	Classifying and Tagging	The Solution shall provide the ability to manually set metadata values for many documents at the same time.
DM006	Document Management	The Solution shall provide document management capabilities	Record Declaration	The Solution shall provide the ability to automatically start the retention and disposition of a record based on pre-defined rules; once declared a record, the Solution shall prevent subsequent changes to its content and metadata.
DM007	Document Management	The Solution shall provide document management capabilities	Routing Documents	The Solution shall provide the ability for declared records to stay in the same location, without being move to a different records location.
ED001	e-Discovery	The Solution shall provide eDiscovery capabilities.	Search	The Solution shall provide the ability to perform e-Discovery on documents, document content and related metadata stored in SharePoint Online and OneDrive.
ED002	e-Discovery	The Solution shall provide eDiscovery capabilities.	Search	The Solution shall provide the ability to define the sources and criteria for an e-Discovery search.
ED003	e-Discovery	The Solution shall provide eDiscovery capabilities.	Search	The Solution shall provide the ability to further refine the returned results from an e-Discovery search.
ED004	e-Discovery	The Solution shall provide eDiscovery capabilities.	Export	The Solution shall provide the ability to export a list of the results from an e-Discovery search.
ED005	e-Discovery	The Solution shall provide eDiscovery capabilities.	Export	The Solution shall provide the ability to export the content and/or the metadata returned from an e-Discovery search.
ED006	e-Discovery	The Solution shall provide eDiscovery capabilities.	Save e-Discovery Search	The Solution shall provide the ability to save an e-Discovery search.

ED007	e-Discovery	The Solution shall provide hold capabilities.	Holds	The Solution shall provide the ability to place a hold on content returned from an e-Discovery search (i.e. preserve the content from modification or deletion).
ED008	e-Discovery	The Solution shall provide hold capabilities.	Holds	The Solution shall provide the ability to automatically place a hold on new content that meets the same criteria as an active e-Discovery search.
ED009	e-Discovery	The Solution shall provide hold capabilities.	Holds	The Solution shall allow users to continue working with documents or records that have a hold applied.
ED010	e-Discovery	The Solution shall provide hold capabilities.	Holds	The Solution shall provide the ability to remove a hold.
ED011	e-Discovery	The Solution shall provide hold capabilities.	Holds	The Solution shall provide the ability for a user to review all active holds.
ED012	e-Discovery	The Solution shall provide hold capabilities.	Holds	The Solution shall provide the ability for a user to place multiple holds on a record or record category.
EM001	Email Management	The Solution shall provide email integration.	Saving Emails & Attachments	The Solution shall provide the ability to capture emails and their file attachments as a single entity.
EM002	Email Management	The Solution shall provide email integration.	Saving Emails & Attachments	The Solution shall provide the ability to capture email file attachments as separate entities.
EM003	Email Management	The Solution shall provide email integration.	Saving Emails & Attachments	The Solution shall provide the ability to capture updates to an email thread if new replies are received.
EM004	Email Management	The Solution shall provide email integration.	Saving Emails & Attachments	The Solution shall provide the ability to view emails within their native application.
EM005	Email Management	The Solution shall provide email integration.	Classifying and Tagging	The Solution shall provide the ability to automatically capture the sender, email date, subject, From, To, and CC fields.
EM006	Email Management	The Solution shall provide email integration.	Classifying and Tagging	The Solution shall provide the ability to apply custom metadata to emails and file attachments.

EM007	Email Management	The Solution shall provide email integration.	Classifying and Tagging	The Solution shall provide the ability to classify emails and apply the appropriate Information Management Policies.
EM008	Email Management	The Solution shall provide email integration.	Record Declaration	The Solution shall provide the ability for email to be classified based on pre-defined rules.
RA001	Records Administration	The Solution shall provide Records Administration capabilities	File Plan Management	The Solution shall provide the ability for authorized users to import and export a file plan.
RA002	Records Administration	The Solution shall provide Records Administration capabilities	File Plan Management	The Solution shall provide the ability for authorized users to create a file plan, file plan components and information policies.
RA003	Records Administration	The Solution shall provide Records Administration capabilities	File Plan Management	The Solution shall provide the ability for authorized users to edit file plan components and information policies.
RA004	Records Administration	The Solution shall provide Records Administration capabilities	File Plan Management	The Solution shall provide the ability for authorized users to delete file plan components and information policies.
RA005	Records Administration	The Solution shall provide Records Administration capabilities	File Plan Management	The solution shall provide for the ability to apply the same File Plan, retention and disposition rules on multiple SharePoint Online tenants, OneDrive, share drives and Exchange Online.
RA006	Records Administration	The Solution shall provide Records Administration capabilities	Metadata	The Solution shall provide the ability for authorized users to modify content and metadata (including file classification) on declared records.
RA007	Records Administration	The Solution shall provide Records Administration capabilities	Reporting	The Solution shall provide the ability to produce standard records management administration reports (examples: vital record, cut-off, disposition).
RA008	Records Administration	The Solution shall provide Records Administration capabilities	Holds	The Solution shall provide the ability to administer (add/remove) security on holds.
RA009	Records Administration	The Solution shall provide Records Administration capabilities	Reporting	The Solution shall provide the ability to produce discovery and "hold" reports.
RA010	Records Administration	The Solution shall provide Records Administration capabilities	Reporting	The Solution shall provide the ability to produce reports for records due for destruction.

RA011	Records Management	The Solution shall provide Records Administration capabilities	Exception rules	The Solution shall provide the ability to set exception rules to the retention schedule, based on available metadata.
RA012	Records Management	The Solution shall provide Records Administration capabilities	Reporting	The Solution shall provide the ability to authorized users to view and print part or all of the File Plan.
RA013	Records Management	The Solution shall provide Records Administration capabilities	Dashboard	The Solution shall provide the ability to authorized users to access a Records Administration Dashboard, with basic statistics.
RA014	Records Management	The Solution shall provide Records Administration capabilities	Dashboard	The solution shall prov/ide for the ability to identify and display the location of any and all records (classified or unclassified).
RA015	Records Management	The Solution shall provide Records Administration capabilities	Reporting	The Solution shall provide the ability for authorized users to schedule reports delivery on a defined schedule (daily, weekly, monthly, etc.).
RM001	Records Management	The Solution shall provide Records Management capabilities	Centralized Records	The Solution shall provide the ability to browse the records in the File Plan, in a centrally stored records repository (e.g. Record Centre). (LH)
RM002	Records Management	The Solution shall provide Records Management capabilities	Unique Identifier	The Solution shall provide the ability to automatically apply a unique identifier to all records within the system.
RM003	Records Management	The Solution shall provide Records Management capabilities	File Plan Based Retention & Disposition	The Solution shall provide the ability to manage the retention and disposition of cases and records based on a file plan.
RM004	Records Management	The Solution shall provide Records Management capabilities	File Plan Based Retention & Disposition	The Solution shall provide centralized management of the file plan retention and disposition rules.
RM005	Records Management	The Solution shall provide Records Management capabilities	File Plan Based Retention & Disposition	The Solution shall automatically propagate bulk updates to the retention and disposition rules to all affected records.
RM006	Records Management	The Solution shall provide Records Management capabilities	Date Driven Retention	The Solution shall allow retention and disposition rules to be driven by date fields.
RM007	Records Management	The Solution shall provide Records Management capabilities	Event Driven Retention	The Solution shall allow retention and disposition rules to be driven by event dates.

RM008	Records Management	The Solution shall provide Records Management capabilities	Date/Event Driven Retention	The Solution shall allow retention and disposition rules to be driven by a combination of date fields, including event dates.
RM009	Records Management	The solution shall provide Records Management capabilities	Metadata value driven retention	The Solution shall allow retention and disposition rules to be driven by a metadata field value (e.g. Inactive, OBR: Y).
RM010	Reocrds Management	The solution shall provide Records Management capabilities	Retention & Disposition	The solution shall provide for the ability to automatically recalculate retention and disposition when a record or a set or records are reclassified based on an update to location, metadata or manually reclassified.
RM011	Reocrds Management	The solution shall provide Records Management capabilities	Retention & Disposition	The solution shall provide for the ability to create retention and disposition rules without specifying a specific location such as SharePoint Online site collection or library within a SharePoint Online tenant.
RM012	Reocrds Management	The solution shall provide Records Management capabilities	Retention & Disposition	The solution shall provide for the ability to apply retention and disposition rules to one level of folders within a SharePoint library.
RM013	Reocrds Management	The solution shall provide Records Management capabilities	Retention & Disposition	The solution shall provide for the ability to apply retention and disposition rules to a specific SharePoint library.
RM014	Records Management	The Solution shall provide Records Management capabilities	Copies of Records	The Solution shall support the ability to leave a copy of a case or record in the document management area and remove that copy upon record disposition.
RM015	Records Management	The Solution shall provide Records Management capabilities	Vital Records	The Solution shall provide the ability to specify which file plan categories are vital.
RM016	Records Management	The Solution shall provide Records Management capabilities	Vital Records	The Solution shall provide the ability to specify which site, library, folder are vital.

RM017	Records Management	The Solution shall provide Records Management capabilities	Record Disposition	The Solution shall provide the ability for authorized users to view records that will be ready for disposition based on available criteria, such as date range, classification, ownership, cases, etc.
RM018	Records Management	The Solution shall provide Records Management capabilities	Record Disposition	The Solution shall provide the ability for records to be included in a disposition process when their retention period has completed.
RM019	Records Management	The Solution shall provide Records Management capabilities	Record Disposition	The Solution shall provide the ability to enforce an approval process before a record can be disposed.
RM020	Records Management	The Solution shall provide Records Management capabilities	Record Disposition	The Solution shall provide the ability to approve disposition for either individual or many records at the same time (i.e. bulk approval).
RM021	Records Management	The Solution shall provide Records Management capabilities	Record Disposition	The Solution shall destroy the record only and retain the metadata.
RM022	Records Management	The Solution shall provide Records Management capabilities	Destruction Certificates	<p>The Solution shall provide the ability to create destruction certificates, describing, for example:</p> <ul style="list-style-type: none"> • Title/name of the record series [file plan category name] • Date range of the records being destroyed (start date to end date) • Date of destruction • Title/name of the user(s) who approved the disposition • Title/name of the user who performed the disposition action
RM023	Records Management	The Solution shall provide Records Management capabilities	Destruction Certificates	The Solution shall provide the ability to search for past destruction certificates.
RM024	Records Management	The Solution shall provide Records Management capabilities	Destruction Certificates	The Solution shall provide the ability to keep the destruction certificates permanently in an immutable format.

RM025	Records Management	The Solution shall provide Records Management capabilities	Destruction Certificates	The Solution shall maintain an association between the destruction certificate number and the retained metadata of the record(s) deleted.
RM026	Records Management	The Solution shall provide Records Management capabilities	Transfer Records	The Solution shall provide the ability to transfer records and its associated metadata to a different site and/or library within the Solution.
RM027	Records Management	The Solution shall provide Records Management capabilities	Transfer Records	The Solution shall provide the ability to transfer records and its associated metadata to another storage location.
RM028	Records Management	The Solution shall provide Records Management capabilities	Archive Records	The Solution shall provide the ability to send records and its associated metadata to an external archive.
RM029	Records Management	The Solution shall provide Records Management capabilities	View Records	The Solution shall provide the ability for authorized users to view records.
RM030	Records Management	The Solution shall provide Records Management capabilities	Sort and Filter	The Solution shall provide the ability for authorized users to sort and filter records within a records location.
RM031	Records Management	The Solution shall provide Records Management capabilities	Printing Records	The Solution shall provide the ability for users to print records using the native applications such as MS Word, MS Excel, PDF Viewers.
RM032	Records Management	The Solution shall provide Records Management capabilities	Undeclaring Records	The Solution shall provide the ability for an authorized user to un-declare a record.
RM033	Records Management	The Solution shall provide Records Management capabilities	Records Disposition	The Solution shall provide the ability for an authorized user to reject and extend the disposition of a file upon receiving a disposition notification.
RM034	Records Management	The Solution shall provide Records Management capabilities	Date Driven Retention	The Solution shall provide the ability for an authorized user to bulk update trigger dates on multiple records for retention calculations.
RM035	Records Management	The Solution shall provide Records Management capabilities	Lifecycle	The Solution shall provide the ability to automatically calculate the complete life cycle of records.
RM036	Records Management	The Solution shall provide Records Management capabilities	File Audit as Record	The Solution shall provide the capability to file the audit data as a record.

RM037	Records Management	The Solution shall provide Records Management capabilities	Site Disposition	The Solution shall provide the capability to automatically dispose of an entire site and its content based on existing retention and disposition rules.
SA001	System Automation	The Solution shall provide System Administration / Automation capabilities	Records Declaration	The Solution shall provide the ability to automatically trigger the retention and disposition of a record from a workflow.
SA002	System Automation	The Solution shall provide System Administration / Automation capabilities	Records Destruction and Disposition	The Solution shall provide automatic notification of record destruction and disposition.
SA003	System Automation	The Solution shall provide System Administration / Automation capabilities	Workflow	The Solution shall provide the ability for authorized users to manually assign ad hoc workflow tasks to collect feedback and to receive approvals.
SA004	System Automation	The Solution shall provide System Administration / Automation capabilities	Workflow	The Solution shall provide the ability for authorized users to assign a workflow from a pre-configured template in a list or library.
SA005	System Automation	The Solution shall provide System Administration / Automation capabilities	Workflow	The Solution shall provide the ability for authorized users to track workflow progress and task assignments.
SA006	System Automation	The Solution shall provide System Administration / Automation capabilities	Workflow	The Solution shall provide the ability for authorized users to take actions on workflows based on individual tasks (approve, cancel, reject, transfer, comment, return for correction).
SA007	System Automation	The Solution shall provide System Administration / Automation capabilities	Workflow	The Solution shall provide the ability to receive email notifications of workflow tasks and actions.
SA008	System Automation	The Solution shall provide System Administration / Automation capabilities	Workflow	The solution shall provide for the ability for email notifications of workflow task to include links that allow the user to navigate to the appropriate section of the solution that will allow the user to action the task as stated within the email notification.

SR001	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Content Searches	The Solution shall provide the ability to search the content of supported file types, including emails.
SR002	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Metadata Searches	The Solution shall provide the ability to search for metadata field values.
SR003	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Refining Results	The Solution shall provide the ability to refine the search results.
SR004	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Using Wildcards	The Solution shall provide the ability to use wild cards when performing searches.
SR005	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Boolean Searches	The Solution shall provide the ability to use Boolean and relational operators when performing searches.
SR006	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Stemming	The Solution shall provide the ability to support partial string matches (i.e. stemming) when performing searches.
SR007	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Ranking	The Solution shall provide the ability to configure the order of the search results.
SR008	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Permissions	The Solution shall provide the ability to automatically trim the search results based on the user's permissions.
SR009	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Search Scope	The Solution shall provide the ability to define what sources (locations) should be included in the search scope.
SR010	Search and Retrieval	The Solution shall provide search and retrieval capabilities	Search Scope	The Solution shall provide the ability conduct a search from any page.