Information Management During a Pandemic

City of Ottawa
Zone 6 Presentation
April 22, 2021

Agenda

- ▶ IM Program Overview
- ▶ COVID Impacts on Physical Records Management
- ▶ COVID Impacts on Electronic Records Management
- ▶ Transitioning from "P to E"
- ▶ Challenges
- ▶ IM Role in Information Governance
- ▶ Contact Information

IM Program Overview

▶ ISO 15489 aligned program: corporate policy, retention by-law, training program, IM systems support, communications and formal reporting

▶ Physical records program: 20 people, 14 records offices in six locations, in-house database, disposition program

▶ Electronic records program: current database is at end of life, leveraging investment city made in M365 and replacing with federated, in-place records systems that augments SharePoint

▶ Forward-looking team with IM Analysts: new records management tools, IG, IA in SharePoint Online, business systems checklist, consult on policies

▶ Key partners with ATIP, ITS Security, Legal Services and Archives

COVID Impacts to Physical Records Management

▶ Temporary closure of records offices and support plan

▶ Essential services clients continued to require on-site IM support

▶ Ottawa Public Health required additional IM resources

▶ Decrease use of RMS (existing p-records tool) for declaration and access

▶ Compliance audit and outreach to client with support plan

▶ COVID accelerated clients plans to transition to electronic records in SPO

▶ Communications to clients and senior leadership

COVID Impacts to Electronic Records Management

▶ Decreased use of BIMS (existing e-records tool)

▶ Increased use of SPO to support the City's emergency response teams/task forces and OPH

  ➢ SPO alone does not meet the City's recordkeeping requirements

  ➢ SPO does not meet PHIPA requirements for managing PHI

▶ Introduction of M365 work environment and apps

  ➢ Assess appropriateness for recordkeeping

  ➢ Provide guidance for usage

▶ Preservation of records after the pandemic

▶ Acceleration in the transition from physical to electronic (P to E) records management using SPO

Transitioning from "P to E"

Key Learnings:

▶ The information architecture (IA) of the SPO sites is critical to the adoption of the system and consequently, critical to meeting our records management obligations:

  ➢ ITS and IM have different perspectives

  ➢ Best practice for a 'records ready' site is one that aligns with the Corporate Records Classification Scheme

▶ The level of effort required to support the client through the transition should not be underestimated

Challenges

▶ Both IM recordkeeping systems require access to VPN

▶ Impact on records declaration from the ITS rollout of SPO sites, which was underway prior to the state of emergency

▶ Currently records are being stored in SPO sites with varying degrees of metadata and few of these sites are considered 'records ready'

▶ Inability to adequately search and surface records due to varying degrees of rights management permissions and limited metadata

▶ Many staff will have worked in temporary positions and may return to substantive positions without identifying their record set

IM Role in Information Governance at the City

▶ Technology is outpacing IG

▶ Leverage city investment in M365

▶ Continue to communicate 'Duty to Document' business decisions using a "technology agnostic" approach

▶ Strive to simplify the capture of business records

▶ SPO IA and our assessment of impact on recordkeeping

▶ Investigate the use of new M365 compliance roles

▶ Identify applications not suitable for recordkeeping

▶ Provide guidance on retention policies in all non-recordkeeping channels

IM Role with IG - Examples

▶ M365 retention for email and OneDrive retention, using a risk-based approach

▶ Setting retention on Teams Chat channel

▶ System Integrity Checklist for business systems

▶ Records Classification Schedule posted on Ottawa.ca Open Data page

▶ Assessing new M365 apps for appropriateness for IM risk - Approval app

For More Information

▶ View our Annual Report at 2019 Report on Information Management (ottawa.ca)

▶ Contact us:

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