

DTA-ICT-119 Records and Information Management System

Annexure A – DTA Problem Statements and User Stories for Proof of Concept Evaluation

<p>1. Automated identification, classification, and handling</p> <p>Automated identification and classification attempt to address several needs within records management including the application of Records Authorities across multiple environments and the assignment of appropriate metadata for the purpose of findability and discoverability. It is traditionally problematic as it often requires significant user intervention when users may not consistently understand how and when to assign relevant categorisation and also relies on users centralising information outside of its' normal business system in order for it to be managed.</p> <p>(Entire Problem Statement is contained within the ATM)</p>	
1.1	<p>As a Record Creator I need my documents to be classified by their content and location with minimal effort from me.</p> <ul style="list-style-type: none"> • When creating or modifying information, the solution automatically classifies information based on its content, including metadata. • Content classification and metadata is accurate with minimal user effort. • Information and documents created by different applications (e.g., schematics, organisational structures, workflows, photographs, emails, project schedules and work breakdown structures) are captured and classified appropriately. • I can store documents logically and in the same location as related information even if they may require different record classifications. • Information in Microsoft Exchange can be captured. • I can apply the Normal Administrative Practice of deleting files that are not records.
1.2	<p>As a Record Manager I need to manage or adjust the categorisation schemes for documents so that they can be kept up to date.</p> <ul style="list-style-type: none"> • categorisation schemes for content can be put into the solution and can be modified and maintained as required. • can apply classification rules based on a combination of content type, location, business system, content or system specific metadata. • categorisation schemes and settings can be exported and imported from the solution. • categorisation schemes can be effectively managed and maintained with minimal user effort or impact on users of source system.
1.3	<p>As a Record Creator who deals with procurement matters, I need to be able to have records maintained appropriately so that</p> <ul style="list-style-type: none"> • Procurement processes are recorded. • Contracts are retained for the correct time. • Probity issues and controls are respected.
1.4	<p>As a Record Manager I need to be able to manage record disposals so that</p> <ul style="list-style-type: none"> • Record disposal follows a managed process

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	<ul style="list-style-type: none"> • Disposal times are adjustable upon review. • Disposal times are validated against classifications.
1.5	<p>As a Record Manager I need to manage records at an individual level and</p> <ul style="list-style-type: none"> • Understand why a record was assigned a classification so I can refine or correct the process. • Change an automated classification through a manual process.
1.6	<p>As a Record Creator I need to be able to manage a small number of paper files within the solution so that they can be managed within the one Records Management solution.</p>

2. Findability and discoverability

Findability (retrieving something a user knows to exist) and discoverability (retrieving something relevant a user did not know existed) are key capabilities in records management systems. Both these capabilities remain problematic.

(Entire Problem Statement is contained in the ATM)

2.1	<p>As a Record Consumer I need the search function to automatically identify matching information in any part of a document or it's metadata so that I don't have to search using multiple options or search multiple times to get the correct result.</p> <ul style="list-style-type: none"> • When executing a search query, the solution should not, by default, require the user to specify what fields will be searched, it should automatically include all places where the search terms might be relevant – for example: title, content, location name, and various other meta-data, etc. • Refine my search based on individual fields and dates.
2.2	<p>As a user in a trusted Corporate role, I want to find and discover all records held by DTA:</p> <ul style="list-style-type: none"> • so that I can respond to an FOI request. • to assist in broad research discovery across all holdings. • to confirm activity on a record. • information in linked or related systems • Visibility of caveats or other restrictions
2.3	<p>As the Records Manager I need to export information so that I can understand the state of records in the agency.</p> <ul style="list-style-type: none"> • Export a list of records • Export a summary of findings

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3. Reporting and visualisation

Reporting across a large amount of records captured as created and managed in-place presents a management problem for the staff responsible for the records as well as the high-level governance and management of the Customer's information. The solution should integrate where possible with the Customer's Microsoft365 environment and and:

- Provide for real time and snapshot (records as at) reporting across the entire records system through dashboards, RDBMS and data visualisation tools
- Allow for reporting at an individual item level and through appropriate systems of record and containers/content aggregation
- Manage reporting through templates and queries as well as and scheduled pre-formatted reports
- Allow multiple export formats for both immediate presentation and further analysis

3.1	<p>As a Record Manager I need to be able to extract summary information in the form of dashboards and reports so that I can audit, understand and manage the information of our organisation quickly and efficiently.</p> <ul style="list-style-type: none"> • Tools to assist in monitoring the health and status of records in the organisation are available and useful. • Summary and detailed information about the state of records under management is available. • Easily observe trends over the last 24 hrs in relation to record classification activities that require investigation for systematic errors in the automated process or user error. • Easily observe trends in a defined time period for specific user behaviour in relation to creation or modification of documents and the related record classification. • Develop customised reporting about the state of records under management. • Real-time visualisation and analysis of records under management is available. • Schedule reporting from the system. • Provide reports to satisfy Standing Senate Orders – in particular the "Indexed lists of departmental and agency files" otherwise known as the Harradine Report.
3.2	<p>As Corporate Executive I need to understand the total usage of the system and:</p> <ul style="list-style-type: none"> • Have access to real-time dashboard reporting. • Understand remaining capacity against the license. • Understand current systems under management.

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4. Governance and strategy

Frameworks for managing records and providing thorough and non-burdensome direction for the way an organisation manages their records environment now and into the future are a key element of a mature records management capability. Many organisations fail to address this in a way that adequately mitigates the associated risks.

(Entire Problem Statement is contained in the ATM)

4.1	<p>As a Record Manager I need compliance with my agency's information governance requirements and the records keeping obligations of the Australian Government, so that records are kept consistent with our obligations to:</p> <ul style="list-style-type: none"> • ensure the Australian Government Recordkeeping Metadata Standard (AGRkMS) is being met. • ensure the record management functions of the DTA can continue seamlessly through changes in the occupant of the Record Manager position. • ensure records that have not been classified by the system are identified and managed. • reprocess a selection or identified group of records in order to apply revised automated classification rules.
4.2	<p>As an Agency the DTA needs to be able to assess and proactively manage its records, including:</p> <ul style="list-style-type: none"> • Licensing of the solution . • Management of connected systems. • Appropriate access to the record solution from my workplace or home. • Exporting a selection of records in an appropriate format for transfer to another agency.
4.3	<p>As a Record Manager I need to manage the interaction of the solution with the business systems to:</p> <ul style="list-style-type: none"> • exclude specific sites in SharePoint Online from the record solution. • have opportunities to be educated about future changes to the system. • have access to support when it is convenient to me.

5. Innovation and Creative ideas

The Customer is seeking an innovative solution, that makes use of contemporary cloud technology in both the record management system and business systems it engages with, and that:

- Provides automated tagging and classification through analysis of new, changed and existing content with minimal change to business process or input by information creators

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- Provides machine learning or otherwise intelligent analysis of materials in order to train, produce, manage and improve over time the classification rules and accuracy
- Provides natural language searching across all content regardless of location, displaying only those results a user is authorised to access
- Provides a modern, easy to use interface across a range of devices from desktop, the web and mobile
- Allows manage-in-place record capabilities across a broad and diverse range of business systems such as email, social media (chat), project management tools and code repositories – not just traditional document repositories and not just one environment.

The Customer also requires knowledge transfer from the successful supplier to assist in producing engaging training materials and self-management of the service.

5.1	<p>As a Record Consumer I need the search function to understand natural language queries, including synonyms, different word forms, and misspelled words so that I can search using my own words, and documents are not missed through different terminology or simple typographical errors.</p> <ul style="list-style-type: none"> • When executing a search query, the results should also include matches for alternate terminology for the same topic, and alternate word forms. • When executing a search query, common or trivial typographical errors should not affect the quality of the results. • When reviewing records, the solution should show as much context and descriptive information as possible.
5.2	<p>As a Record Manager I am invested in applying innovative technologies that enhance the accuracy of our record classification and our compliance:</p> <ul style="list-style-type: none"> • Machine Learning and Artificial Intelligence, to establish and improve classification beyond the capabilities of a traditional record manager. • Alerts and monitoring of record classification and high-risk activity
5.3	<p>As an Agency the DTA needs to be able to seamlessly manage its environments, including:</p> <ul style="list-style-type: none"> • expanding records management capability into new business systems outside of O365. • the ability to access the record solution across a range of devices.

6. Security

The Customer requires that the solution is compliant with maintaining a Protected network and specifically holding records that are classified at a Protected level including any specific accreditation or compliance against Federal Government standards. Specifically, that a solution would be capable of passing an IRAP assessment when implemented and at any stage in the future. Refer to the Australian Government Information Security Manual (ISM) and the Protective Security Policy Framework (PSPF) for details.

The solution must also comply with the applicable legislation, regulations and guidelines with respect to security, confidentiality and privacy.

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(Entire Problem Statement is contained in the ATM)	
6.1	<p>As a Record Creator I need the system to provide assistance to identify information that may be sensitive or restricted in my content and apply appropriate access controls so that I can ensure that sensitive or restricted content is appropriately controlled.</p> <ul style="list-style-type: none"> • When creating or modifying information, the solution automatically identifies records with sensitive or restricted information. • Sensitive or restricted information is correctly identified with minimal user effort.
6.2	<p>As a Record Manager I need to manage the rules related to who can access information and aggregated content in the record system so that documents can only be used or seen in an appropriate way.</p> <ul style="list-style-type: none"> • Documents must be kept securely and be used only by officers with a valid business need. • User access permissions can be defined individually and on a group basis. • Users can only access information, and undertake actions, that they are permitted to. • Users who access records are captured within the audit history
6.3	<p>As a Record Manager I need to have a full audit history of all interactions with every record, which also persists after the record is disposed so that records access can be properly controlled and audited.</p> <ul style="list-style-type: none"> • A history of all interactions with a record must be kept as long as required, and at various levels of significance. • The history is preserved even when the record is destroyed, or its status changes.
6.4	<p>As an Agency (CIO) I need to be assured that the solution meets our required security standards.</p>
6.5	<p>As Any User I need any protective and sensitivity labelling from the document or business system to be reflected in the record.</p>