

AIRWAYS NZ

RECORDS MANAGEMENT

Our journey towards PRA compliance in Office 365



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Records Management – Airways 2016

What our world looked like when we began this journey

HISTORY

- Airways moved to SharePoint 2010 in 2011.
- Records Management positions dis-established around the same time in a restructure.
- 3rd party RM software purchased and installed but never set up properly
- RM training given to team managers in the optimistic belief they would be able to manage their own records without assistance using the 3rd party software
- All responsibility for RM fell by default to the IT department because they installed the software
- Paper records management fell to Admin staff by default

Then one day, someone said...

"Instead of upgrading those old SharePoint servers, why don't we just do a lift and shift to the Cloud?

And then we can just migrate the rest of the stuff in SharePoint to Office 365 as part of BAU..."

Actual picture of a SharePoint team member during this conversation



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Migrating to the Cloud – Stage 1

The first stage in 2016 moved all our intranet content and the Finance Team (as a pilot for future migrations) to the cloud using a contractor to manage design and transfer of content



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Records Management – Airways 2016

What our world looked like after stage 1

- **C**hange in user behavior – staff went from avoiding SharePoint by saving in shared network drives to avoiding SharePoint by saving to their OneDrive
- **H**ybrid environment with no way of searching both at the same time
- **A**ny user could create Groups/Sites we could not see or access
- **O**ffice 365 to contend with instead of just SharePoint and all the extra apps staff could now utilise without constraint
- **S**oftware for RM purchased and installed but not set up properly!!

Records Management – Airways 2017

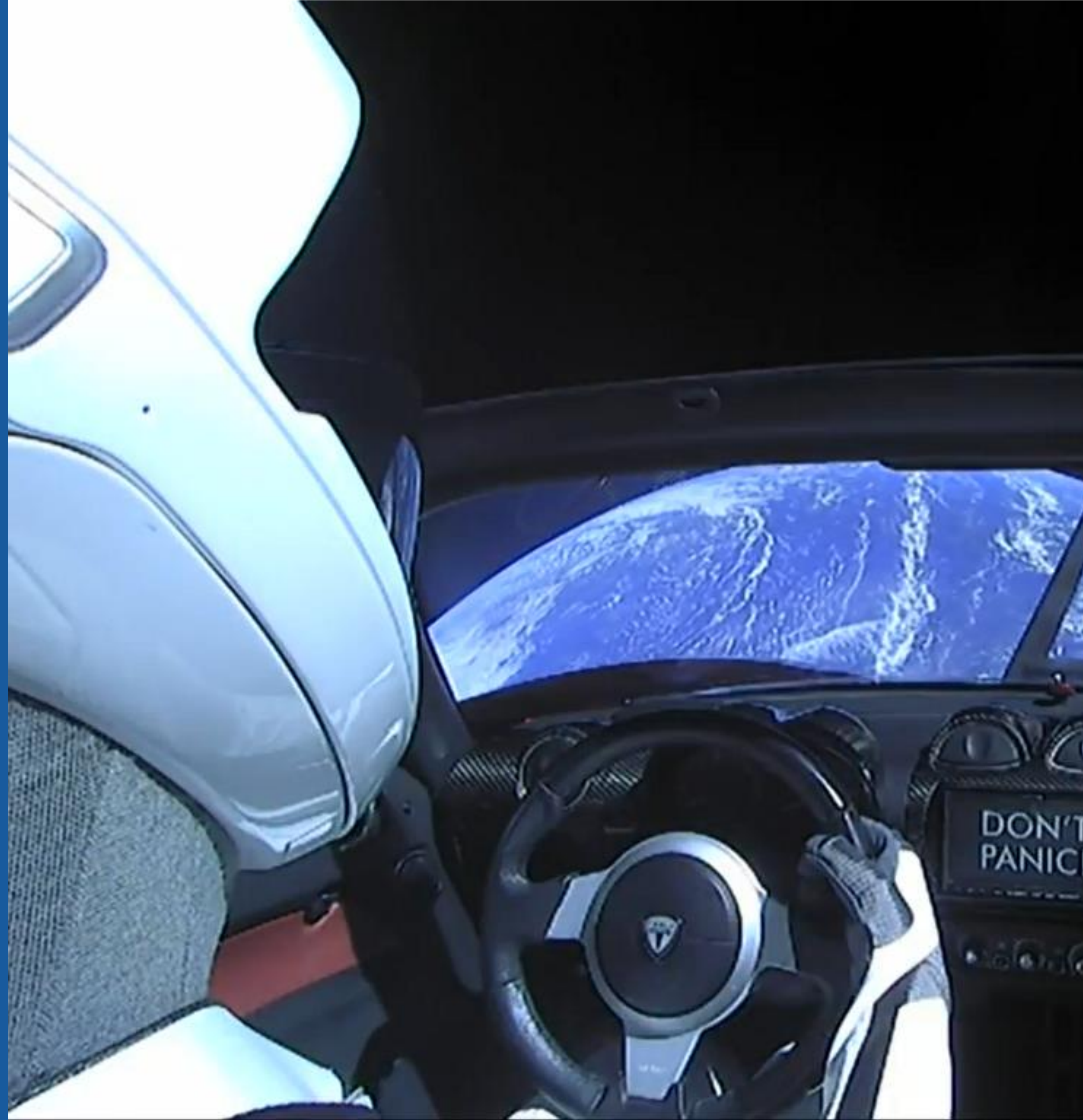
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Stage 2

Crafting a solution

“What should our future look like?”

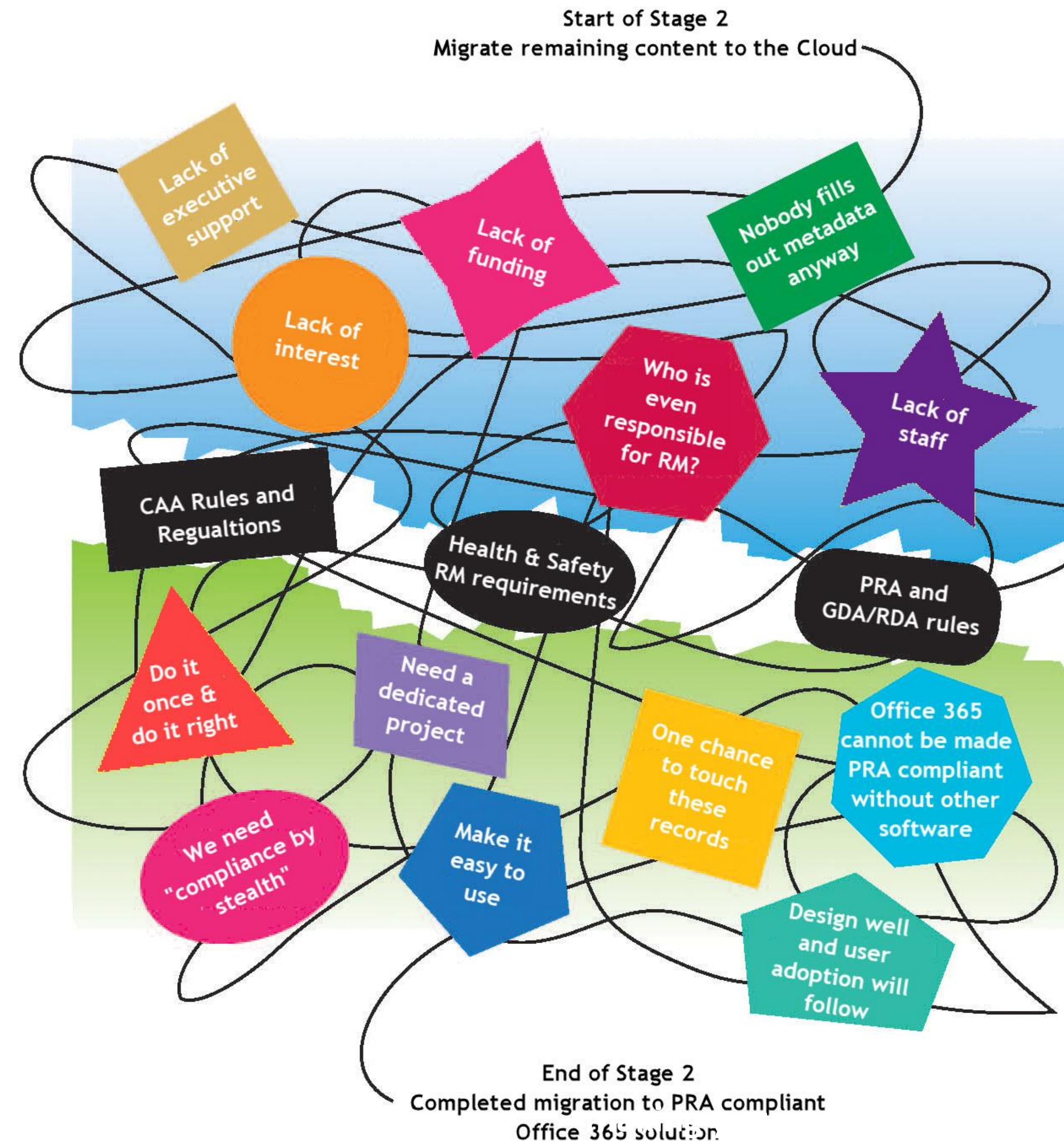


Stage 2

Crafting a solution

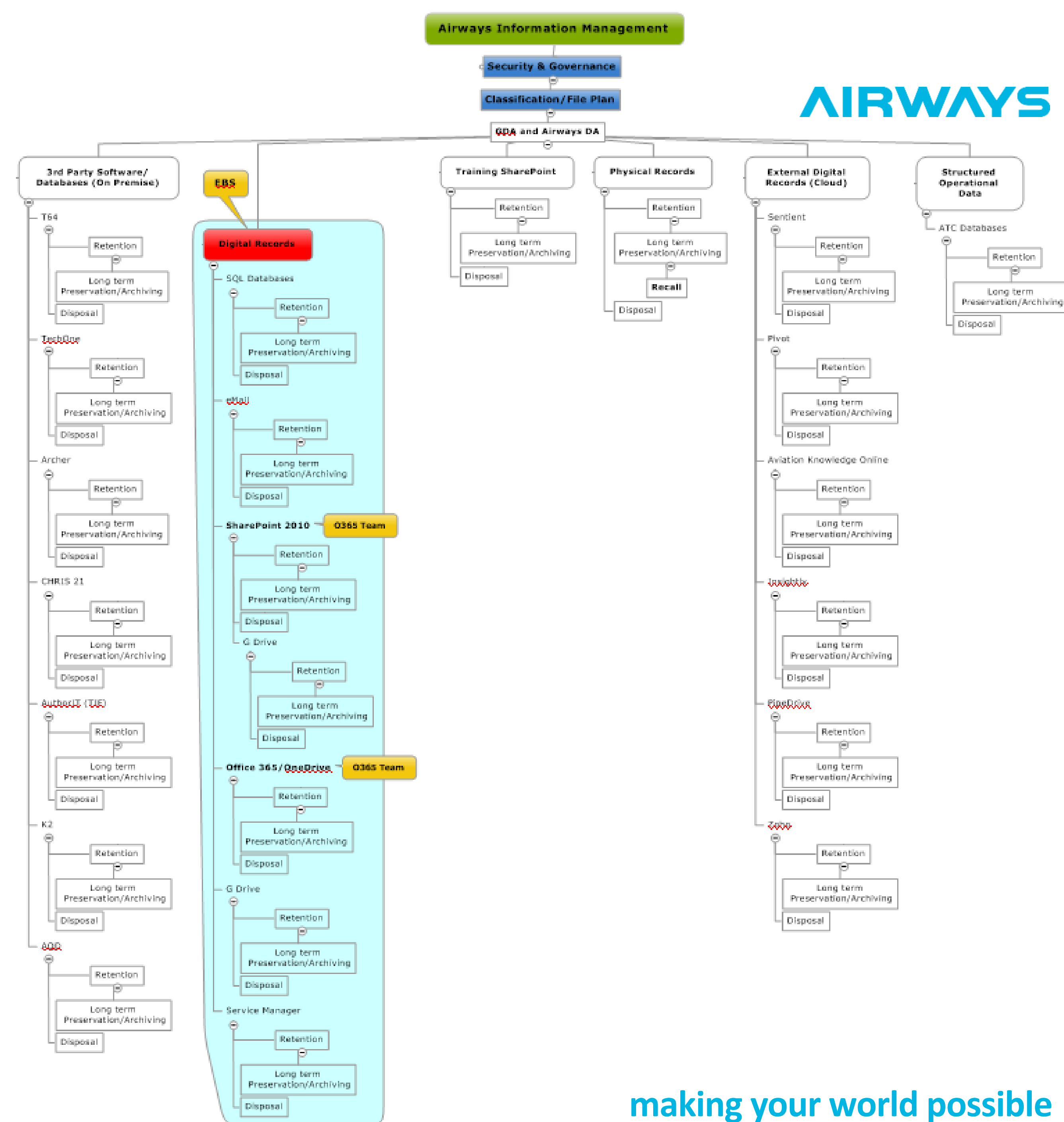
We started with the idea of not only what a solution looked like but what the end product should be and worked our way backwards from there.

This way we were not constrained by existing tools but able to look at the big picture and decide what tools we needed, rather than making the tools we already had perform tasks they were not necessarily designed to do.



Stage 2

IDENTIFYING EXACTLY
WHAT INFORMATION WAS
AFFECTED BY MICROSOFT
365

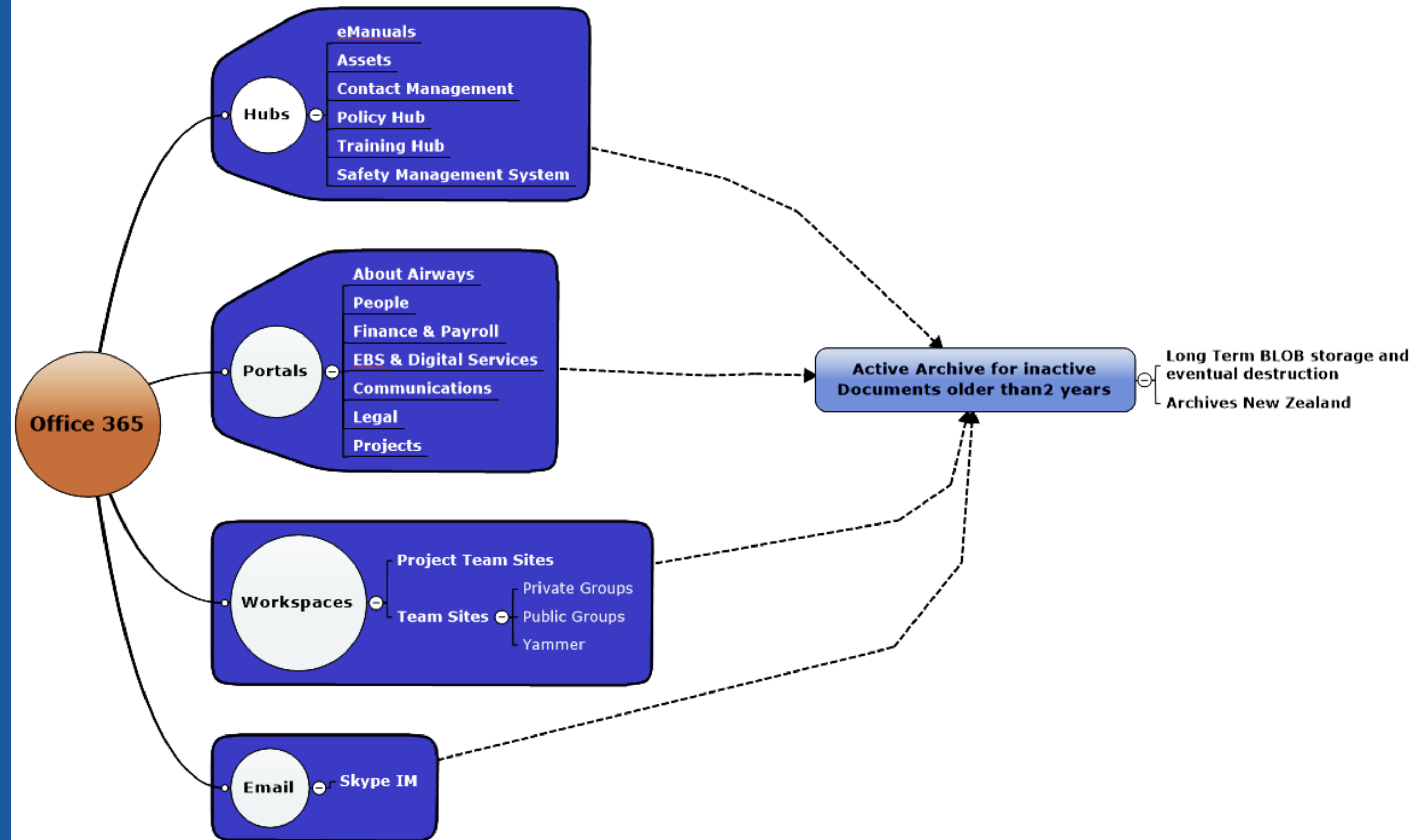


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Stage 2

... AND THE INFORMATION ARCHITECTURE

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Crafting a solution

IN A PERFECT WORLD...

Our records management solution would...

- be “compliant by stealth” and require minimal to no user input
- capture the right disposal class and RM metadata at the time the document was saved
- apply automated RM actions triggered by each record’s disposal class for eventual disposal
- allow governance over Microsoft 365
- work seamlessly with Microsoft 365
- look into our environment rather than installed into it (so we could extract ourselves from the vendor without adversely affecting our content in the future if we wanted to)
- be as “idiot proof” as we could make it (i.e. accidental deletions)
- require no additional staff or resources

Crafting a solution



VERY VERY VERY BRIEF OUTLINE OF THE PROCESS...

- We charted the RM workflows
- We developed clear guidelines around what goes where
- We looked at the tools we had and tried to figure out if they could apply the workflows we'd charted
- We compiled a list of "must haves" and "nice to haves"

Top 3 must haves:

- We must be the default owner of every site
- We must be able to capture basic RM metadata by default
- The system must work seamlessly with M365

Item	Priority	Workstream
User can request Group via form, group is set up from a template and then user advised it is avaialble	Must have	Useability
Super_Admins (Genna & Jenny) can access Groups as owners	Must have	Governance
Super_Admins (Genna & Jenny) can delete Groups	Must have	Governance
Super_Admins (Genna & Jenny) can access edit Group libraries and lists	Must have	Governance
Super_Admins (Genna & Jenny) can manage permissions in Groups	Must have	Governance
Set up Group Templates with libraries and lists that include a Records Class field	Must have	Records Management
Upload terms to term store from a list/spreadsheet	Must have	Records Management
Site/library/list setup is duplicated automatically in the archiver	Must have	Records Management
Office Connect works	Must have	Useability
User can request site via form, group is set up from a template and then user advised it is avaialble	Must have	Useability
User can request library/list via form, group is set up from a template and then user advised it is avaialble	Must have	Useability
Check the Dynamic Object Registration is set up correctly	Must have	Governance
Rules and Policies set up for records management	Must have	Records Management
Reports pre-configured and set up	Must have	Useability
Cloning permission request form and process	Must have	Useability
Site templates	Must have	Useability
Group templates	Must have	Useability
Back up retrival process - user can request a document retrieved from backup and we know how to find it	Must have	Governance
Archiver is set with rules to transfer docs to Archives NZ	Must have	Records Management
Training in DocAve for migration	Must have	
Overview of all the modules and what they do	Must have	

Our process

We chose the AvePoint suite of RM tools

AvePoint Online Services



AvePoint Cloud
Governance



AvePoint Cloud Backup
for Office 365



AvePoint Cloud
Management



AvePoint Cloud Records

External Apps



AvePoint Office Connect
Online Manager

How AvePoint Came Into The Picture

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How AvePoint crafted the solution



What AvePoint offered as a solution



What are the outcomes we achieved

HOW AVEPOINT CRAFTED THE SOLUTION

- Understanding the Records Management obligations
- Microsoft 365 Adoption challenges
- Adopting governance for the provisioning of Microsoft 365 Groups and SharePoint Sites
- Deployment of records management artefacts
- Applying and testing of the records design

WHAT AVEPOINT OFFERED AS A SOLUTION



- Provisioning of Microsoft 365 Groups and SharePoint Sites goes through one endpoint with a default 'Records Administrator' group/site owner
- Governance policies are applied to manage Records Management artefacts
- Reporting of inactive objects



- Create Business Rules to comply with the NZ PRA retention and disposal rules
- Disposal activities testing and confirmation
- Compliance by stealth

WHAT ARE THE OUTCOMES WE ACHIEVED



Cloud Governance

Microsoft 365 Groups which adhered to governance policies

Site Collections provisioned with the required metadata fields for Records Management



Cloud Management

Leveraged the use of Deployment Manager to deploy the Records Management columns, achieving consistency



Cloud Records

Applied the business rules to the terms and ran disposal activity to the test content to ensure the desired disposal outcome is achieved



Cloud Backup

Implemented ASAP as having a robust and efficient backup and recovery system is also a requirement of public records management

Our solution

Airways Microsoft 365

- Current documents stored in Teams, Workspaces, Hubs, Portals & email
- All new sites created using a template generated by AvePoint Records which applies Record Sentencing metadata at the default "Document" item level Content Type
- Some modified content types required for Document sets and other special modifications

Digital Archive

- The Digital Archive is a Hub site that gathers all content ready to be archived, migrated content marked for sentencing and disposal, closed project sites and other Teams/Groups no longer in use.
- This is also the place we save recovered OneDrives from former employees
- Long term plan is for a Records Manager to take responsibility for managing the digital archive, but that has yet to be approved.
- Archive has limited permissions so the content does not show up in general search

Apply Archive Rules

- Automated disposal routines applied, according to disposal class metadata
- Records scheduled for destruction are identified here and notifications set to the information owner for review
- Records requiring archiving are identified and can be configured for transfer to Archives NZ if required

Our solution

The simple design of our compliance relies solely on the application of three additional key pieces of metadata:

- **Business Activity** (mapped to term store Taxonomy > Business Activity)
- **Record Class** (mapped to term store Taxonomy > Records Management)
- **PRA Access Status** (mapped to term store Taxonomy > PRA Access Status)

All other required PRA metadata are generated by OOTB SharePoint. These additional metadata must be created for every workspace and the correct default values defined for the above columns.

We add these fields to the default content type at Item level in a templates so as each site is created, it has a default record class included.

This ensures that once a site is created, all additional libraries and lists added by users will contain the mandatory fields by default.

The Record Class field is actually the GDA/RDA Disposal Class. We are sentencing records at a library level either as they are migrated or as they are created. With our current level of staffing and training this is as specific as we can get at this time.

Metadata was appended during migration using Sharegate (however we are now moving to AvePoint FLY)

The Tool

AvePoint Records met all of our *Must Have* requirements.

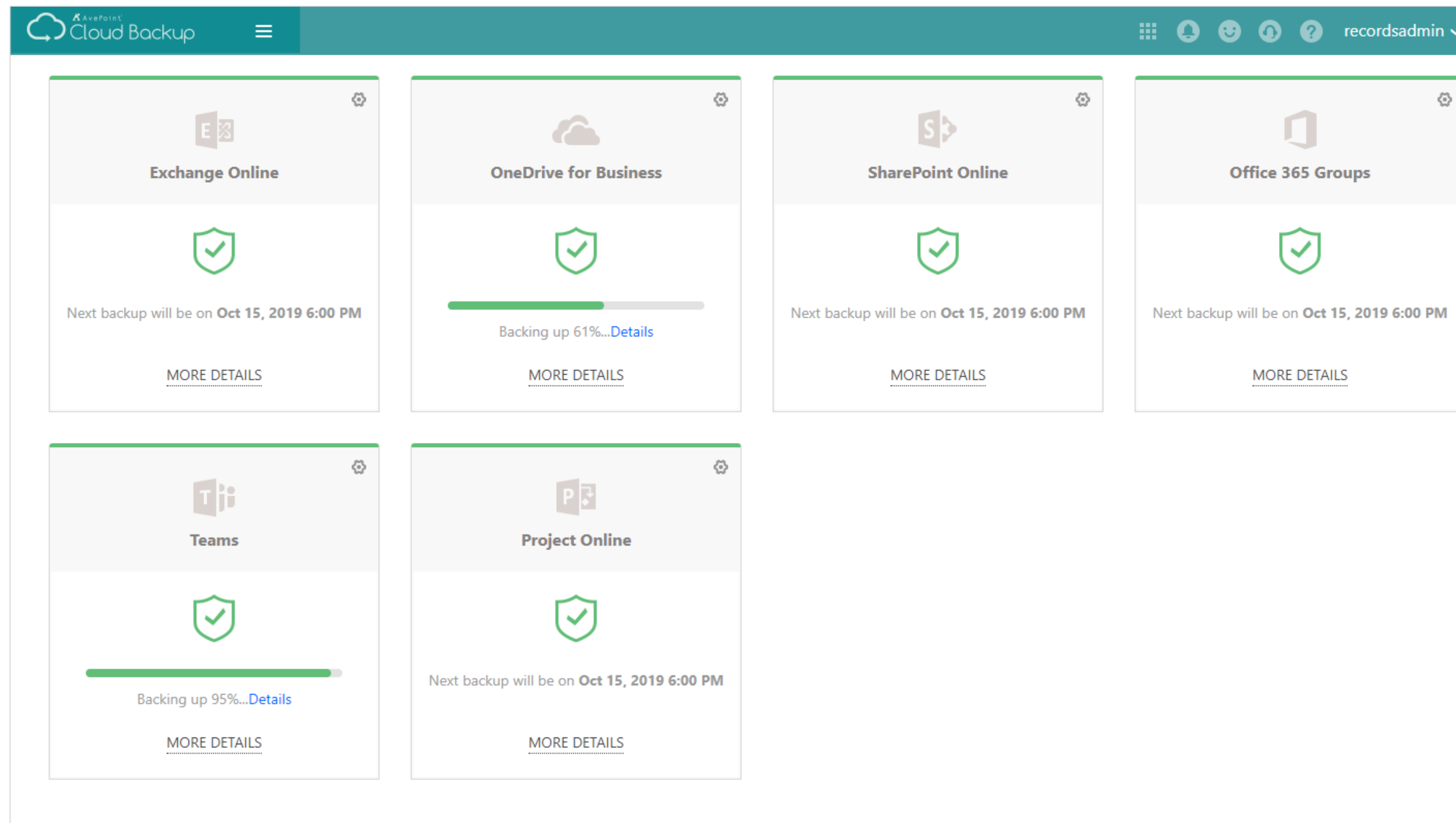
It allowed us to implement a system wide “Records Administrator” account as a default owner and automatically replaces the account if a user tries to delete it

As an unexpected bonus, it also came with backup and item level recovery, including OneDrives

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Backup

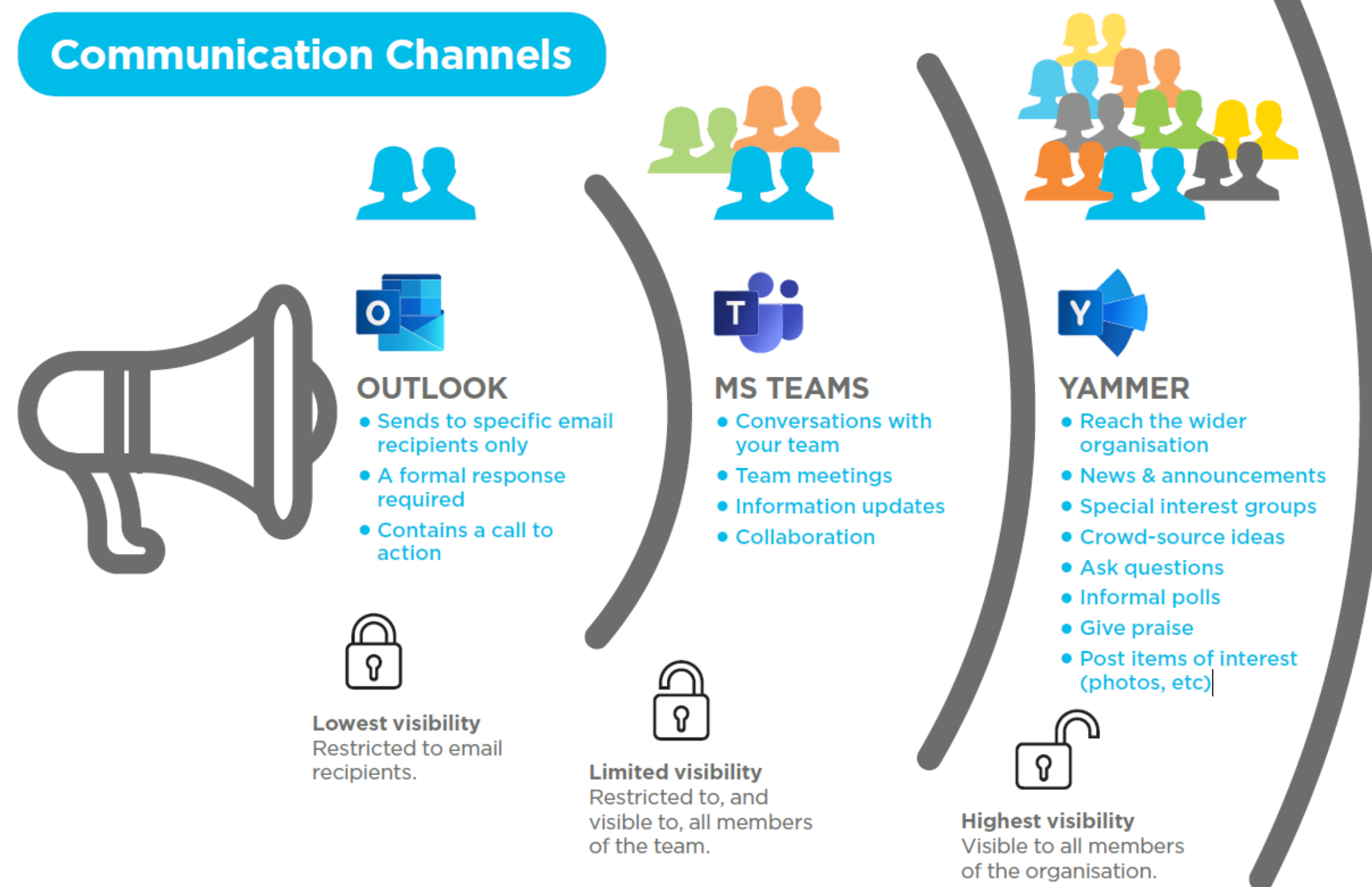
Cloud Backup which backs-up 4 times a day, has item level recovery up to a year, the ability to pick up entire OneDrives and move them to another user and can see into SharePoint, Groups, Teams, Project Online and Exchange



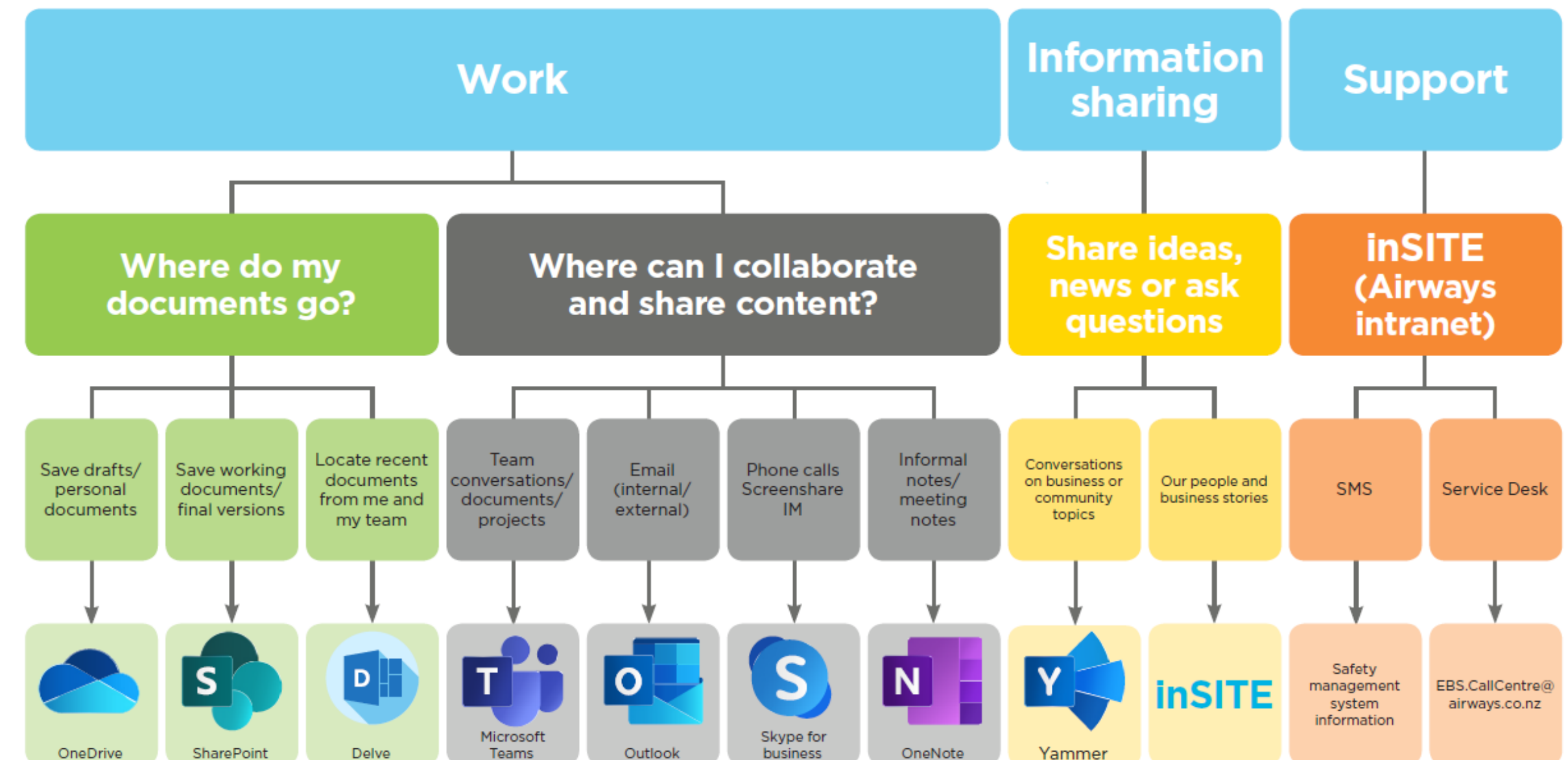
Our “what goes where” guidelines

The Airways guidelines around “what goes where” we developed

Communication Channels



What goes where?



Lessons Learned

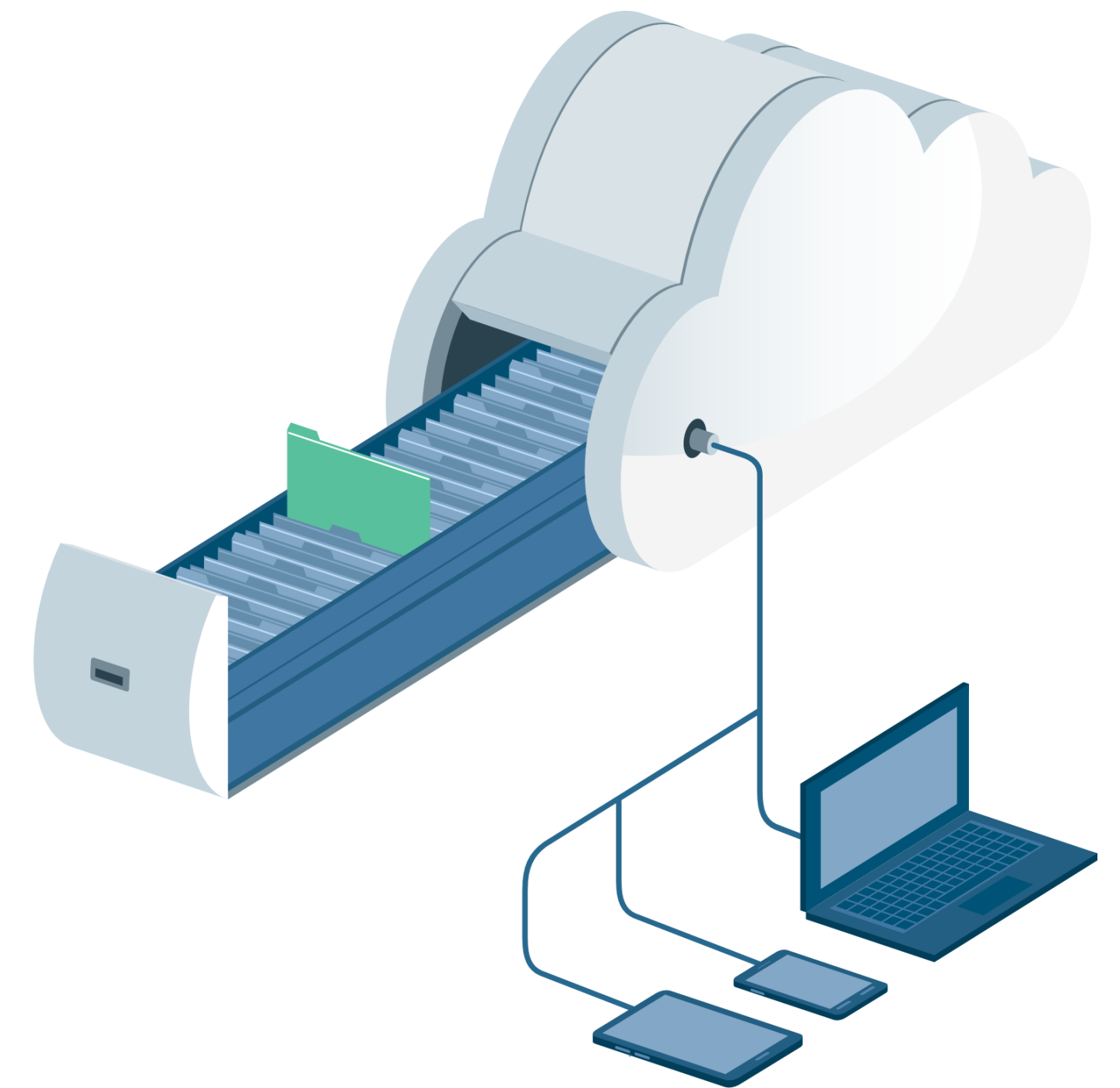
- This is a complex task that requires dedicated resources and time to implement
- Without clear policies and processes and a plan, you can't implement anything
- It's hard to explain to senior management why Records Management and Information Systems are two entirely different things
- It is not cheap and you will need significant expert assistance with implementation
- It requires constant love and attention and which is a hard concept to convey to senior managers who imagine once the software is installed, Records Management will take care of itself
- You can design the system to do what you want or train people to do what you want. Designing a system is easier and less likely to argue
- Someone will try to delete the default owner account pretty much every other day...

Where we are now

- Back-up is up and running and fully implemented
- We are using the AvePoint Governance services tool which allows us to create sites from a template, clone permissions etc., but have not rolled this out due to change management resource limitations. The new AvePoint MyHub Teams add-in should resolve this problem.
- After 3 years of stopping and starting, we finally had executive buy-in, a project approved and funded to migrate the 2010 on-premise content and a budget approved for final implementation of the Archiving Rules, however...
- COVID-19 came along, and all projects are currently on hold at Airways (our income dropped by 95%)
- We have had to put the rules implementation on hold due to our Retention and Disposal order expiring. We need the new RDA approved before we can finally implement this part of the project. This project is also on hold because of COVID.
- We believe we can achieve Microsoft 365 NZ PRA compliance once all our AvePoint tools are fully implemented.

So... about that perfect world....

- Are we “compliant by stealth” and require minimal to no user input to collect metadata?
The new sites are. There is a “mop up” job in our future to clean up the sites created before we implemented AvePoint Records.
- Can we capture the right disposal class and RM metadata at the time the document is saved?
Yes, we can.
- Can we apply automated RM actions triggered by each record’s disposal class?
Yes, but we need our new Retention and Disposal Authority first
- Is it easy to use and understand?
Yes, with good design and information in place, the end user is happy. For the IT staff, not so much...
- Does it work seamlessly with Microsoft 365?
Pretty much
- Does it look into our environment rather than be installed into it?
Yes. This was a deal-breaker requirement.
- Is it as “idiot proof” as we could make it?
Nothing is idiot proof, but we can recover most whoopsies, and deliberate, malicious deletions.
- Does it require no additional staff or resources?
HAHAHAHAHAHAHAHAHAHAHAHA



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QUESTIONS?

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thank you

Gracias

ευχαριστώ

Danke

Grazie

благодаря

Hvala

Obrigado

Kiitos

شكراً

Tak

Ahsante

Teşekkürler

متشكراً

Salamat Po

감사합니다

Cám ơn

شكريه

Terima Kasih

Dank u Wel

Děkuji

நன்றி

Köszönöm

ありがとう
ございます

ขอบคุณครับ

Dziękuję

谢谢

Tack

Mulțumesc

спасибо

Merci

תודה

多謝晒

дякую

Ďakujem

धन्यवाद