HP RECORDS MANAGER OVERVIEW

HP Records Manager (HPRM) is a comprehensive electronic records/document management tool that attaches retention, access control, searching and other bureau-specified rules and attributes to electronic documents.

HPRM integrates with desktop applications, with individual or shared folders on network drives and with specific business applications, such as TRACS. HPRM accepts records created from almost any application including e-mail, Word, Excel, PowerPoint, CAD drawings, TIFs, JPEGs, PDFs, MPEGs etc.

HPRM allows the bureau to establish customized access controls for specific types of documents: access for one type might be limited to a select work group; or access to another type might be unrestricted, granting availability to anyone with an Internet connection. For in-progress or working documents, HPRM provides collaboration and workflow tools that enable group editing and version control without the need to e-mail documents back and forth.

With HPRM as the central repository, the duplicative documents kept on network and e-mail servers can be eliminated. Users can find the information they need easily within the system so they won't feel the need to create their own copies on their individual drives. And if they need to share information, they don't have to send a copy – they can just send a link to the record in the system.

HPRM supports multiple searching methods, not only on the full content of any text-searchable document, but also by a wide array of metadata elements, whether automatically captured by the system or specially defined by the bureau.

HPRM can be used to identify the bureau's vital records – those that are essential for the resumption of business in the time immediately following a disaster – so that extra measures are taken to safeguard them. Records maintained in HPRM will comply with federal, state and city retention requirements.

The overall goal – to make information, regardless of format, readily available to the people that need it – does require work up front. The key to making this happen, and the foundation for a successful HPRM implementation, is the creation of an intelligent, logical, easily understood filing classification plan, based on the functions, services, projects or programs that the bureau carries out every day.

The concept is simple: responsibility for a function or a program includes managing the associated records. It takes cooperation and commitment to turn that simple concept into a bureau-wide classification plan, but it can be accomplished by following a process that includes:

- Training from the Auditor's Office on e-mail/records management responsibilities and the creation of classification plans
- Identifying individual or shared job responsibilities within the bureau
- Assigning recordkeeping responsibilities for shared programs or projects
- Identifying, by purpose or function, categories of records associated with a program/project
- Establishing naming conventions that will be understood by both the record creators and searchers
- Establishing security settings and access controls for the classification plan categories
- Linking the classification plan categories to the appropriate retention rules
- Training from the Auditor's Office on HPRM and its integration with bureau systems and activities

Once HPRM is up and running in the bureau the advantages of being able to manage and share information strategically will become apparent and new beneficial uses for the software will be discovered.

HP RECORDS MANAGER ROLLOUT STEPS

Retention Schedule Review

Description: Workgroup's [1] record retention schedule must be accurate and current. Group must work with Records Analyst, Tim Hunt, to update the schedule.

Required participants: Representatives familiar with operational/administrative records used/created by the workgroup.

Time commitment: a few days to several weeks, depending on how accurate the current schedule is and the complexity and range of record categories. Note: this work can be ongoing as other steps of the rollout process are taking place.

Records Management 101 training

Description: Classroom style presentation to review public records responsibilities, records management principles, retention rules and how they apply to electronic records and e-mail.

Required participants: All users; training conducted by Archives/Records Management (A/RM) staff

Time commitment: training runs 1 hour. This session should be held early in the rollout process.

Creation of Bureau-specific classification plan

Description: Creation of bureau-specific classification plan (filing system) for use with HPRM. This is the most crucial step in the process. The classification plan is similar to a paper-based central filing system; it is the underlying structure for how people will file their electronic records. When users create folders for their records in HPRM, each folder must be classified using one of the categories from the classification plan. Each category in the plan uses a titling scheme based on the functions or work product of the workgroup, so that folders have consistent root titles. Each category also has default access controls, security and retention requirements associated with it, so that when users create folders they know who does or does not have access to the records in that folder.

The classification plan is created by the workgroup with assistance and advice from A/RM staff. The process usually involves the following steps to some degree:

- Analyze Bureau work processes or activities that result in the creation of electronic records that must be retained

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[1] In this context "workgroup" means whatever group is likely to be sharing records using HPRM. It might be several divisions of a bureau or a team of 3 or 4 people within a bureau. For the purposes of rolling out HPRM it usually works best if the workgroup is comprised of people that are frequently using or sharing the same information.

- Identify, by purpose or function, categories of records and e-mails associated with those processes/activities

- Identify individual or shared job responsibilities within the Bureau and assign correlated recordkeeping responsibilities

- Identify areas where document sharing/collaboration will be necessary or beneficial

- Establish naming conventions that will be understood by both the record creators and retrievers

- Establish security and access controls for different categories of records

- Assign appropriate retention rules to different categories of records

Required participants: Workgroup-selected team(s), preferably composed of those most familiar with information sharing requirements or records-related practices and challenges facing Bureau or individual workgroup. This team works with A/RM staff to develop the classification plan that will be applied to the Bureau electronic records and e-mail.

Time commitment: this can vary greatly, depending on the complexity of the classification plan. We try to encourage the creation of simple plans, if possible, because very complex plans often create confusion or frustration among users. A good plan can usually be created in a week or two.

HPRM software end-user training

Description: A/RM staff conducts a classroom style training to cover the basics of using HPRM and, if necessary, follows up with one-on-one or small group training based on how individuals will be using HPRM.

- Understanding the Bureau/workgroup-specific classification plans

- Creating folders in HPRM

- Entering documents

- Integrating Outlook with HPRM

- Searching and retrieving

- Collaborating with other HPRM users

Required participants: all HPRM users

Time commitment: classroom training session: 90 minutes; follow-up individual, small group training 30-60 minutes.

HP RECORDS MANAGER FUNCTIONALITY GRID

HPRM Functionality	Potential Application	Benefit
Applies retention and preservation requirements to content	▪ Applies to all City employee electronic documents and e-mail that pertain to their job responsibilities and have retention value per State/City definitions	▪ Compliance with Oregon Public Records Law and City Admin Rule 8.12 ▪ Information will be preserved for its entire legal retention period ▪ At the end of its prescribed retention period, information will be destroyed, mitigating risk and reducing storage needs
Applies security/access controls to content	▪ Allows bureaus/workgroups to control access to their documents ▪ Ensures that final versions cannot be altered ▪ Controls what is viewable online	▪ Internal control ▪ Protects information from accidental/intentional alteration or deletion ▪ Allows some records, by designation, to be viewable immediately by the public
Applies customized filing / naming conventions to content via a customized classification plan	▪ Standardizes filing practices across a bureau or workgroup ▪ Builds security, access, ownership and retention functionality into the filing system	▪ Classification plan aligns with bureau/workgroup business practices ▪ Users know where to file information ▪ Information can be more easily located – now and years from now ▪ Bureau-designated access and retention properties are built in to the structure to avoid unintended access to or destruction of records
Adds robust search and retrieval capability to content	▪ Automatically indexes and makes searchable content of any text-based documents including e-mail and attachments ▪ Captures and makes searchable: dates; owner locations; file types; actions performed on records; user-defined fields; etc. ▪ Ad hoc customized searches can be created and saved	▪ Virtually impossible to "lose" a document ▪ Major time-saving in responding to public records or litigation requests ▪ Saved searches can be shared with other users/workgroups
Automatically creates url for open-access public-facing records	▪ Use efiles.portlandpregon.gov to link directly to reports in HPRM	▪ Uses link to HPRM url – saves resources by not having to load copies of documents onto PoG

	▪ Send link via e-mail to documents instead of sending documents themselves	▪ If document needs updating, editing can be done in HPRM – no need to reload document onto PoL ▪ Sending links to documents uses much less space than sending documents themselves
Accepts all file formats	▪ HPRM has viewer that can read almost 200 file extensions ▪ Even if the HPRM viewer cannot open the document, it can still reside in HPRM and be accessed using the file's native software	▪ Preserves record authenticity by not modifying original file format ▪ Allows users to view certain file types even if they don't possess authoring software ▪ Allows related records – regardless of format – to be filed together to allow easier access ▪ Allows users to use the authoring software to access the document, if they prefer (provided they have the software on their machine)
Links to Outlook	▪ Establish links between Outlook Inbox subfolders and related folders in HPRM – no limit on number of linked folders	▪ Project team members don't need access to another user's e-mail once the e-mails are in HPRM ▪ E-mails cannot be modified – authenticity is preserved ▪ Advanced searching can be performed on all content, including attachments, as well as all authors, recipients, dates etc. ▪ E-mails in HPRM can still be opened and responded to ▪ Once message is in HPRM, the Outlook copy cam be sent to Deleted Items or purged, saving server space and duplication
Links to folders on network drives	▪ Automatically catalogue all documents placed in bureau-designated folders	▪ Automates a manual process ▪ Can be set up to delete copy on network drive once the record is in HPRM
Is capable of linking to other business applications (additional programming usually required)	▪ Repository for applications that are not intended to store large volume of documents (e.g. SAP, TRACS) ▪ Automatic capture and classification of high-volume document output	▪ Improves system performance by removing document "clutter" ▪ Seamless access to documents via business application ▪ Applies retention rules to system data

		▪ Application owner can make documents available via HPRM if some users don't need full application ▪ Applies retention compliance to systems that lack that functionality
Allows document check-in / check-out and applies version control	▪ Allows users to collaborate on documents in a controlled environment	▪ Users will always know which version is most current ▪ Earlier drafts are automatically preserved unless bureau determines otherwise ▪ Once document is "finalized" editing rights can be locked down to prevent further changes; bureau determines whether earlier drafts are preserved or deleted ▪ Information about who made changes when are automatically captured in audit log
Allows creation of document workflows	▪ Ad hoc and repeatable workflows can be created to route documents	▪ Applies consistency and internal controls to document routing ▪ Time constraints can be added to increase compliance with process deadlines
Creates automatic audit log of actions performed on records	▪ Applicable in any situation where it is necessary to track any action that was performed on a given document	▪ Allows authorized users to see "who did what when" to a given record ▪ Encourages compliance with bureau access rules and internal controls
Implementation includes records management training	▪ Applies to all City employees that create/use records	▪ Users learn basic recordkeeping principles and get introduction to Oregon Public Records requirements ▪ When records management principles are put into practice they can increase efficiency and save resources