G-Cloud 12

Cloud Software - Service Definition

Automated Intelligence Limited

Date: 20/07/2020

Automated Intelligence

Contents

1 Introduction

Automated Intelligence Limited (AI) is a market-leading data management solution provider, empowering organisations to take control of their data so they can better plan and control their digital future. Experts in data governance, compliance and cloud migration, AI offers a spectrum of solutions which includes data analysis, data cleansing, data remediation, information lifecycle management, records management and migration to Microsoft 365. Based on values of Innovation, Quality and Care, we combine enterprise content management experience and expertise with vision.

Our technology is designed based on understanding our customer demands for return on investment and user experience. We concentrate on making it easy for clients to manage information end-to-end in an efficient and cost-effective way. We use the latest development and quality assurance methodologies and strive to ensure that product quality is of the highest standard. Our local development and delivery team ensure a responsive and agile service to our customers.

Using proven AI solutions, organisations can analyse their existing data holdings to aid in the transition to modern cloud platforms, reducing data costs and improving data governance and quality.

2 AI.DATALIFT

2.1 Description

AI.DATALIFT provides both the insights and tools to solve data management problems, enables intelligent data migration and facilitates a continuous data management strategy. Using AI.DATALIFT, organisations can analyse their existing data holdings, improve data quality and governance, reduce data costs and risk and aid in the transition to modern cloud platforms.

AI.DATALIFT comprises a base platform; Insights & Governance and three additional applications; Privacy and Protection, Structured Data and Migration which are available to purchase in addition to the base platform.

2.2 AI.DATALIFT Overview

Content in organisations is growing at an exponential rate. This inevitably leads to ungoverned data risks, reduced user productivity, increased storage costs and poor system performance.

AI.DATALIFT helps organisations take control of their data quickly and easily, bringing together insights from unstructured data, regardless of source.

It uncovers and reduces both the risk and associated cost within data sets and, through an interactive real-time dashboard, enables future information management and compliance with key legislation.

As storage devices fill, the time for anti-virus scanning and back-ups to complete increases, along with rising storage costs and the risk of data breaches, malware attacks and system failure.

With AI.DATALIFT you can reduce data storage within just 24 hours of deployment. Using a fast, metadata-based analysis, you will immediately be able to identify zero value content which can be cleansed risk-free. Known as ROT (redundant, obsolete and trivial), this typically makes up between 60 – 70% of an organisation's data and removing or archiving it creates instant storage and cost-savings.

AI.DATALIFT's revolutionary approach to file analysis leverages the instantly scalable processing power of Microsoft's Azure cloud technology. It has been designed to provide a modern, cost-effective approach to analysing massive volumes of unstructured data that is often stored across multiple, costly, file shares and in-house legacy document management systems.

File system limitations cause users to ignore best practice rules for content creation and management, for example, saving documents to local drives and unauthorised platforms or by sharing documents via email attachments. Storing corporate data in

uncontrolled environments not only causes duplication of documents, loss of version control and data security, but also increases the risk of data loss and over-retention.

AI.DATALIFT was designed from the outset to meet the needs of the modern enterprise. By implementing AI.DATALIFT to oversee your data management strategy, you will ensure that, over time and during growth, the risk introduced by your data is managed under governance.

2.2.1 Security

AI.DATALIFT is provisioned on the Microsoft Azure platform which offers unparalleled security over the information that is managed in the platform.

The Azure Security Centre offers continuous security-health monitoring which helps you protect business and personal information by managing user identities and credentials, and control access including the use of multi-factor authentication.

Azure ensures data security and privacy using industry-standard protocols to encrypt data in transit as it travels between devices and Microsoft datacentres, as it moves within datacentres, and whilst it is at rest in Azure Storage.

Azure also provides regional isolation of data to enable jurisdictional controls to be applied to the lifecycle and management of customer data.

2.2.2 Insights and Governance Platform

Within the Insights & Governance Platform dashboards you can automatically report on the state of your data; where it is being stored, who owns it, how it's being used and what risk it might represent. Risk factors that can be surfaced include those relating to a file's metadata (such as indicators of over retention) as well as those relating to the file's contents. Risk is reduced by automatically classifying it against your information management policy. Policy-based actions such as disposing, archiving, moving or retaining data can be applied based on the classification. As learnings are made, new classifications and policies can be created over time, protecting you against future risk.

2.2.3 Insights and Governance Platform Features

Feature	Description
User Identity and Access Managed with Azure Active Directory	User authentication and authorisation is managed through Azure Active Directory, including: • Multi-factor Authentication • Role-based access control • User logon auditing
Multiple Supported Source Systems	Supported source systems: • File System • SharePoint On-Premises (2007, 2010, 2013) • Microsoft Exchange On-Premises

	• Google Drive • SharePoint Online • OneDrive for Business • Microsoft Teams
Move to the Cloud with Azure Data Box or Secure Network Connection	Multiple methods of uploading data to the Cloud: • Secure upload over internet • Secure upload over Azure ExpressRoute • Azure Data Box Shipping
Schedule Scanning to Suit Business Needs	• Ability to centrally define the work schedules for source system crawling and system updates.
High-level analysis of the data	Visual representations of the following information: • Data Volume • File Count • Amount of Duplication • "Useful" vs. "Non-Useful" data
File Type and File Size analysis	Visual representations of the following information: • Top 10 Most Common File Types with analysis by file count and data volume • Distribution of File Sizes
Data Activity Timeline	Visual representation of the Created / Modified / Access timeline for stored data
Explore data based on its content	• Search based on file contents • Identify Sensitive information based on default types or custom patterns
Explore data based on its metadata	• File name • File size • File type • Date created, last modified, last accessed • Storage location / custom tags
Explore data based on its business value	• Useful Files or Not Useful Files • File uniqueness
Explore data based on business controls	• Files under Governance or Not Under Governance
Explore Data based on Security Status	• File Owner • Broken Inheritance • Users with Access to File

Scheduled or On-Demand Reports	• A set of reports that can be produced to a predefined schedule, or generated on-demand, and support existing business processes or data management projects.
Advanced Queries	• Ability for power users to interrogate their data with raw Elasticsearch queries.
Classifications	• Used to group files into logical collections for governance and reporting purposes. • Changes to the definition of a Classification are recorded in the audit log to demonstrate compliance over time.
Policies	• Used to control how files within each Classification are managed through their life cycle. • Changes to the Policy definition are recorded in the audit log to demonstrate compliance over time.
Transfer to Archive Policy	• Files that have been created or modified within a date range set by the policy are transferred to Azure Storage • AI.DATALIFT can continue to manage the retention and disposition of transferred files.
Disposal Policy	• Files that have been created or modified within a date range set by the policy are deleted, and deletions recorded in the audit log. • Options to delete the file from the Archive, supported original File System locations, or both.
Approval Workflows	• Injects an audited stage gate approval request into the Policy action process.

2.3 Privacy and Protection Application

The Privacy and Protection Application provides functionality to help organisations fulfil specific obligations under the General Data Protection Regulation (GDPR) as it applies to the UK, tailored by the Data Protection Act 2018.

The Identity Risks dashboard identifies the number of files that contain sensitive information, broken down by the number of files per identity risk including PII

(Personal Identifiable Information) and sensitive data such as Bank Account Numbers. Through 20+ pre-set patterns, the Privacy and Protection dashboard will allow you to automatically report on risk present in your data and apply policy to manage it.

Also included are end-to-end workflows to manage Data Subject Requests, including Subject Access Requests and Right To Be Forgotten requests. These workflows automate the process of searching for personal information throughout the data estate, and by taking the appropriate actions, helps the organisation to remain GDPR-complaint, which delivers significant productivity improvements throughout the organisation.

The automated Subject Access Request workflow identifies, collates and supports the sharing of relevant content with the Data Subject within hours, rather than the days or weeks typically taken by a manual process.

2.3.1 Privacy and Protection Features

Feature	Description
Analysis of Risk from Storing Sensitive Data	Interactive dashboard that shows: • Total number of files that contain sensitive information • Number of files that contain sensitive information (grouped by Type of Sensitive Information found)

"Data Subject Request" Workflows	A workflow system to allow the customer to create, manage, and complete tasks relating to 'Subject Access Requests' and 'Right To Be Forgotten' requests ("Data Subject Requests").
	• Dashboard to track the receipt and progress of each Data Subject Request
	• Historical log that shows the person assigned to each Data Subject Request, and how long each request took to complete
	• Process to verify the identity of each Data Subject
	• Automated discovery of all documents relating to the Data Subject.
	• For Subject Access Requests:
	  ○ a review process to ensure that only authorised documents are released to Data Subject
	  ○ A copy of released documents made available in supported, secure destination, accompanied

	by a file manifest that summarises the Subject Access Request

2.4 Structured Data Application

Structured data platforms can often contain data that introduces risk to an organisation. When considering the GDPR, many structured platforms contain PII data or project data that needs to be catalogued and managed.

The AI.DATALIFT Structured Data Application enables 'entities' within a database or other structured platform to be extracted, analysed and reported on. This gives an organisation confidence to ensure all the sources and examples of PII and other data risk are understood and managed. All within a single organisational policy applied consistently across the data managed through the AI.DATALIFT platform.

2.4.1 Structured Data Application Features

Feature	Description
'Entity' capture	Multiple methods of uploading data to the Cloud: • Secure upload over internet • Secure upload over Azure ExpressRoute • Azure Data Box Shipping
Analysis of Risk from Storing Sensitive Data in Structured data	Interactive dashboard that shows: • Total number of entities that contain sensitive information • Number of entities that contain sensitive information (grouped by Type of Sensitive Information found)

2.5 Migration Application

Migration of legacy solutions is associated with large-scale, time-consuming and fear-inducing projects. A successful migration project is hinged on having a clean set of managed data. Key decision makers understand what data they hold, where it is stored, and are confident that governance and compliance risk is low because policies are applied.

The AI.DATALIFT Migration Application will move your data into your chosen environment such as Microsoft 365. During this migration, full file fidelity is maintained ensuring that file management and policies will continue to apply, and that a record of file migrations is maintained. The Insights & Governance Platform

will continue to run across this new environment whilst your licence is still active, enabling ongoing automatic reporting of the data estate and risk.

2.5.1 Migration Application Features

Feature	Description
Automated migration of files from source systems to Cloud destinations	See 2.5.2 Cloud Platform Integration for details of supported systems.
Policy-based Migrations	Define the set of data to be migrated, then initiate a workflow assigned to an authorised user who has the authority to grant or deny approval to migrate the data.
Preservation of file metadata and security	Ability to map attributes of the original data to the new Microsoft 365 environment: • Location • Metadata • Security
Preservation of embedded Excel document links	Links to other workbooks within Excel spreadsheets continue to function after the file has been re-mapped or migrated.

2.5.2 Cloud Platform Integration

Included software agents for indexing on-premises content:

- Standard file shares
- SharePoint 2007, 2010, 2013
- HP TRIM
- IBM Content Manager
- EMC Documentum
- Meridio

Included web-based services to index content in cloud storage:

- Microsoft Azure blob storage
- Microsoft 365 (SharePoint online and OneDrive)
- Google Drive

2.6 AI.DATALIFT Agent prerequisites

The following requirements are applicable per crawl client:

- Quad Core Processor
- 8GB RAM
- 1Gbit/s NIC
- Recommended minimum 1GBit/s LAN connection between crawl platform and content being crawled

- Windows Server 2008 / Windows Server 2012 / Windows 10 / Windows 7
- .NET 4.6.2 (Full Framework)
- Internet connection (connection is over standard HTTPS, TCP port 443)

2.7 AI.DATALIFT prerequisites

- Microsoft Azure tenant – contact Automated Intelligence for fully hosted platform queries
- Supported web browser (latest versions of Chrome, Edge, Explorer and Firefox on Windows 10)

3 AI.SYNCPOINT for Outlook

3.1 Description

Organisations moving to, or currently using, SharePoint may have a requirement to manage important project and corporate emails alongside related documents and content. Organisations also need to provide users with options to drive adoption of their SharePoint environment to drive collaboration and productivity. The process, enabling this flow of information from Outlook to SharePoint, needs to be automated and simplified to achieve this.

3.2 Overview

AI.SYNCPOINT for Outlook is a solution which seamlessly integrates Outlook and SharePoint. Through an asynchronous model it allows users to access their SharePoint libraries and content through Outlook. Significantly, it allows users to capture emails into SharePoint through simple drag and drop or through rules. In the process, all email metadata, including email headers, are captured in SharePoint and can be added as documents into document libraries, as records directly into a record centre or routed automatically by SharePoint through drop-off libraries.

Full support is provided for Microsoft 365 and any hosted SharePoint environment, allowing users to integrate with SharePoint data regardless of where it lives.

In addition to the email management capabilities provided by AI.SYNCPOINT, it also functions as a write enabled offline synchronisation solution for SharePoint. Allowing users to not only take SharePoint content offline but also edit it, AI.SYNCPOINT ensures that users familiar with the offline capability of Outlook enjoy a similar experience for SharePoint. When reconnected to the network, the asynchronous connection will automatically synchronise content back into SharePoint and any resulting conflicts are managed by the user through the same seamless interface.

3.2.1 Advantages:

- Allows users to access their SharePoint content through the familiar environment of Microsoft Outlook.
- Allows the organisation to incorporate email management in SharePoint, allowing emails to be stored alongside related projects documents.
- Allows remote workers to take content off-line, make changes to content and have their changes automatically synchronised back into SharePoint.
- Allows email attachments to be treated separately to the email body, so that a user can take the attachment into SharePoint without the email.
- Allows Outlook rules to be used in determining where emails should be stored in SharePoint.

3.2.2 Key Features

- Users can drag and drop emails into SharePoint document and record libraries which appear and function as regular Outlook folders.
- All email metadata including email headers are captured in SharePoint and can be associated with the mail in document libraries, as records directly into a record centre or routed automatically by SharePoint through drop-off libraries.
- Full offline capability allowing users to add, view and update content when offline.
- Emails and documents live seamlessly side by side and can be easily transferred and managed within SharePoint against the corporate information policy.
- SharePoint sites and libraries the organization wants users to collaborate on, can be automatically pushed out to users. This simplifies the use of SharePoint for users and allows the organisation to determine the folders a user can interact with.
- Send and file feature allows users to capture important emails in SharePoint, either in a favourite location or any SharePoint location.
- Emails can be permanently retained against projects and corporate retention policies and can be applied across the site structure.
- The application is hosted on-premise, either within a customer or outsource estate.

3.3 AI.SYNCPOINT prerequisites

3.3.1 Platform prerequisites

The following operating systems are supported:

- Windows 7
- Windows 8 .1
- Windows 10

The following Outlook versions are supported:

- Microsoft Outlook 2010
- Microsoft Outlook 2013

- Microsoft Outlook 2016

The following SharePoint versions are supported:

- SharePoint 2010
- SharePoint 2013
- SharePoint 2016
- SharePoint Online, Office 365
- OneDrive for Business

Please note that it is important that both Office and SharePoint have the latest available updates applied.

3.3.2 Installation prerequisites

- Local Administrative access to the client machine at install time
- For AI.SYNCPOINT 5.x: Microsoft .NET 4.6.1

Please note we recommend using at least .NET 4.6.1 based on current Microsoft support levels.

4 AI.SYNCPOINT+ for Microsoft 365

4.1 Description

AI.SYNCPOINT+ is a packaged solution of AI.SYNCPOINT for Outlook and AI.COMPLIANCE EXTENDER for SharePoint. It offers customers an Outlook and SharePoint integration tool and additional information governance and records management functionality beyond that of SharePoint.

4.2 Overview

AI.SYNCPOINT+ is a solution which seamlessly integrates Outlook and SharePoint. It allows users to access their SharePoint libraries and content through Outlook, and significantly, it allows users to capture emails into SharePoint through simple drag and drop or through rules.

In addition, it provides enhanced governance features to SharePoint's core functionality. Meta Data inheritance is automatically applied to documents when added to a SharePoint folder and updates to Meta Data values are cascaded to documents from SharePoint folders.

4.2.1 AI.SYNCPOINT+ Features

- Access SharePoint libraries and content through the familiar Outlook interface.
- Drag and drop emails/attachments directly from Outlook into SharePoint for accurate information filing and sharing.
- Automatically file outgoing Outlook emails in the appropriate SharePoint locations.
- All information that is updated when user is offline will be automatically synchronised when reconnected with SharePoint/SharePoint Online.
- Filing to SharePoint folders can be configured on a per-user and/or per-group basis to ensure appropriate security of information.
- Documents and records automatically inherit metadata values when added to a SharePoint folder. This aids searchability, management, reporting and application of retention policy.
- Updates to any metadata values can be quickly cascaded within SharePoint. This greatly improves efficiency of information management and supports future organisational or governance changes.
- A closure and disposal period is associated with content types. Folders containing those content types will be locked down when the closing date is reached, declaring the documents as records and preventing further additions. This is particularly useful when using folders to manage date-sensitive events.
- The Export feature is a very powerful mechanism to allow the secure Export of content to SharePoint Document and Record Libraries.

- Export makes use of a MoReq2010 based XML schema which enables the processing of content metadata; this means that the Export mechanism does not simply process content files; it processes content files with contextual metadata, thus enabling the meaningful Export of content to other organisations and systems, including other EDRMS systems.

4.3 AI.SYNCPOINT+ prerequisites

4.3.1 Platform prerequisites

The following operating systems are supported:

- Windows 7
- Windows 8 .1
- Windows 10

The following Outlook versions are supported:

- Microsoft Outlook 2010
- Microsoft Outlook 2013
- Microsoft Outlook 2016

The following SharePoint versions are supported:

- SharePoint Online, Microsoft 365

Please note that it is important that both Office and SharePoint have the latest available updates applied.

4.3.2 Installation prerequisites

- Local Administrative access to the client machine at install time
- For AI.SYNCPOINT 5.x: Microsoft .NET 4.6.1

Please note we recommend using at least .NET 4.6.1 based on current Microsoft support levels.

5 AI.COMPLIANCE EXTENDER for SharePoint

5.1 Description

With AI.COMPLIANCE EXTENDER your organisation can implement a simple, low cost, single point solution, built around the most successfully adopted ECM platform ever – Microsoft 365's SharePoint. This enables compliance with internationally recognised standards such as ISO15489 and the MoReq specification.

AI.COMPLIANCE EXTENDER is a revolutionary product from Automated Intelligence which extends both the Information Governance and Records Management functionality of SharePoint.

5.2 Overview

The following features are provided to enhance SharePoint's core functionality.

5.2.1 Metadata Inheritance

Feature description: The Metadata Inheritance feature of AI.COMPLIANCE EXTENDER is a very powerful Information Management extension that enables the inheritance of metadata values throughout Document and Record Library Folder Structures.

Advantages:

- Ensures the metadata is completed for content automatically. This benefits the organisation as searching and retrieval mechanisms are more accurate and efficient.
- Allows organisations to define metadata at a high level that automatically flows down into the lower levels of the corporate document and records store.
- It saves End Users from having to manually enter metadata when creating / adding content in SharePoint, thus helping drive end user adoption.
- It helps ensure a more consistent, accurate metadata model in SharePoint. Taxonomy terms can be automatically inherited allowing better automation of information management principles.

5.2.2 Metadata Cascade

Feature description: The Metadata Cascade feature of AI.COMPLIANCE EXTENDER is a very powerful Information Management extension which enables changes to

metadata values to be cascaded down through Document and Record Library Folder Structures. This feature is a natural complement to the Metadata Inheritance feature described in the previous section.

Advantages:

- It saves End Users from having to manually update potentially thousands of metadata fields when updating property values in SharePoint.
- Allows organisational change (i.e. departmental reorganisation) to be easily implemented. Metadata can be modified for an entire business unit through a single action.
- It helps ensure a more consistent, accurate metadata model in SharePoint.
- Ensures that users do not need to get involved in keeping organizational metadata up to date.

5.2.3 External Items

Feature Description: The External Items feature of AI.COMPLIANCE EXTENDER enables the organisation to model or "register" external items which the organisation does not want to (or cannot) be stored in SharePoint. These could be items such as:

- Signed copies of physical records, the originals of which must be kept.
- Large items such as boxes, paper files etc.
- Externally held electronic content, e.g., a PDF of legislation held on a government website.

Advantages:

- Provides a central place to manage and resister all records regardless of medium.
- Allows electronic and non-electronic records to be managed together in SharePoint.
- Allows retention policies to be applied to non-SharePoint items.
- Enables non-electronic items to have metadata stored against them and be returned in searches.

5.2.4 Clipboard

Feature Description: The Clipboard feature of AI.COMPLIANCE EXTENDER allows appropriately privileged users to Cut, Copy and Paste items such as Documents, Records, Classes and Folders in SharePoint Libraries. The Clipboard also provides good information governance for Information Relocation and Reclassification operations which are essential for good Records Management practice in SharePoint.

Advantages:

- Allows authorised users to move content and structures around within SharePoint.
- Enables accidental misfiling to be corrected without either non-intuitive processes or the intervention of the information management team.
- Enables organisational change (and the ensuing data structure change) to be implemented easily.
- Provides full traceability of all changes, ensuring proper information governance is maintained.
- Provides record relocation capability, include mandating relocation reasons.
- Ensures metadata, security and protective markings (if used) are applied correctly when information is relocated.

5.2.5 Compressed (Archive) File Handling

Feature Description: The Archive File Handling feature of AI.COMPLIANCE EXTENDER enables two very powerful capabilities in SharePoint. Firstly, the downloading of a file, files or folder hierarchy from a SharePoint library as a single ZIP file to the local client machine, and secondly, the upload and server-side 'unpacking' of a ZIP file to a SharePoint document or record library.

Advantages:

- Allows authorised users to easily download a selection of documents into a compressed file for sharing with other users, potentially in a separate department or business unit.
- Provides a simple means to extracting information without requiring the user to manually download a set of files and then package them up.

- When uploading content, it allows simple extraction and recreation of a set of files into SharePoint, including the hierarchy held within the compressed file.
- Reduces the bandwidth requirement for uploading and downloading content to SharePoint.

5.2.6 Import / Export

Feature Description: The Import / Export feature of AI.COMPLIANCE EXTENDER is a very powerful mechanism to allow the secure Import and Export of content to/from SharePoint Document and Record Libraries.

Both Import and Export formats are based on a MoReq2010 XML schema which enables the processing of content metadata. This means that the Import/Export mechanism provided by AI.COMPLIANCE EXTENDER does not simply process content files, but it processes content file with contextual metadata, thus enabling the meaningful Import and Export of content to other organisations and systems, including other EDRMS systems.

Advantages:

- Provides a user-based import/export solution for SharePoint.
- Enables the easy transfer of documents and records with departments and between departments. This facilitates Machinery of Government changes and processes.
- Ensures consistency of data during import/export, this includes all metadata, security markings, version history and where appropriate audit data.
- Based upon a MoReq2010 XML schema ensures compliance with the latest standards and a more holistic and future proof approach to interoperability which is a key tenant of MoReq2010.

5.2.7 Master Sites

Feature Description: The Master Sites feature of AI.COMPLIANCE EXTENDER is an extension to SharePoint Site Templates which enables additional functionality. The functionality includes the addition of Permission information in Site Templates and propagation of template Changes to instances of that Site Template in use.

Advantages:

- Enables organisations to take better control of site structure and content by ensuring that site creation follows organisational policy.

- Ensures that when users create sites from defined templates the security is automatically applied.
- In conjunction with the AI metadata inheritance and cascade functionality, all information relating to sites' permissions and metadata will automatically inherit through the site structure, whether a document or record library.
- Enables business change events which impact site structure, site metadata or site security to be managed centrally and applied to existing sites that have been created using a template.
- Ensures that user experience and working practice is not disrupted by organisational or business change as these can be implemented automatically across the information landscape.

5.2.8 Protective Markings

Feature Description: The Protective Markings feature of AI.COMPLIANCE EXTENDER allows the application of an additional layer of security to the SharePoint security model.

To access a piece of Content that has been protectively marked by AI.COMPLIANCE EXTENDER, the user and the item both need to have the same (or higher) Protective Marking.

Three types of Protective Markings are supported – Security Markings, National Caveats and Code Words.

Advantages:

- Ensures compliance against access criteria for documents and records, regardless of the access control list applied to an item or location.
- Provides a secondary security paradigm for SharePoint allowing system wide security to be applied regardless of location or content type.
- Protective Markings allow sensitive information to be locked appropriately without accidental release through mismanagement of SharePoint ACL's.
- Allows compliance with good information management practices and standards, such as TNA, DoD5015.2 and MoReq2010 (optional module).

5.2.9 Classification Hierarchy

Feature Description: The Classification Hierarchy feature of AI.COMPLIANCE EXTENDER is a Records Management extension that allows the modelling and

enforcement of Class-Folder structures within the SharePoint Records Centre, in accordance with good Records Management practice and standards.

Advantages:

- Ensures that information governance and records management is predictable, controlled, repeatable and future proof.
- Ensures that records practices are compliant with Standards such as MoReq2010, TNA, DOD5015.2, and VERS.
- Enables relocation and inter-governmental transfer as records are maintained against a common set of fileplan structure criteria which transcend government practices.
- Enables the classification structure (Fileplan) to be used as a classification taxonomy. This allows an organisation to separate the classification of records from day-to-day working and collaboration. Records can be classified against the taxonomy regardless of actual location, i.e. in SharePoint records can exist in a document library but be classified in the fileplan at the same time, allowing information managers and end users to have their own relevant view of the data.

5.2.10 Record Submission

Feature Description: The Record Submission feature of AI.COMPLIANCE EXTENDER replaces the functionality of the Declare Record button in SharePoint Document Libraries, so that rather than declaring documents as records "In Place" on the team site (which is the standard SharePoint behaviour), documents are submitted to the Records Centre instead.

Advantages:

- Records live within the classification hierarchy, allowing centrally controlled retention management.
- Users can submit multiple records to the Records Centre in one go.
- In Place records management is prevented (helping ensure a more centralized records structure).
- The user does not need to understand records management principles, record shortcuts can be left in the document library to ensure the user experience is not impacted.
- Drop-off library rules can determine where content should live based on the classification taxonomy.

5.2.11 Records Centre Restrictions

Feature Description: The Records Centre Restrictions feature of AI.COMPLIANCE EXTENDER ensures that any Records Centres that use this feature cannot be accidentally deleted by System Administrative users. Out of the box, the Record Centre and all libraries (including those with Records on hold) can be deleted without recourse.

Advantages:

- Ensures non-accidental or malicious destruction of records is prevented.
- Meets compliance against record probity for Data Protection, FOI and the various records management standards including MoReq2010.
- Increases an organisations confidence in using SharePoint as a core records management repository.

5.2.12 Vital Records

Feature Description: The Vital Records feature of AI.COMPLIANCE EXTENDER allows Records Managers to mark certain Records as Vital to the organization. The vital record status is transparent to most user operations; however, it may be made available to workflow processes to enable regular reviews of records which have been flagged as vital.

Advantages:

- Allows critical business records to be preserved permanently with SharePoint
- Enables vital document review cycles to be established in conjunction with workflow
- Provides a means to store vital records onto separate media or allow duplicated back-up of these records for faster recovery in the event of system failure.

5.2.13 Retention Stubs

Feature Description: The AI.COMPLIANCE EXTENDER Retention Stubs feature allows records to be disposed of via normal SharePoint Retention and Disposal process but leaving behind a metadata stub – or marker – indicating that a Record was once there.

Advantages:

- Provides surety for record retention and destruction processes against best practices.
- Complies with records management standards such as MoReq2010, TNA, DoD5015.2 and VERS.
- Ensures that information managers can manage post destruction audits and information enquiries including FOI requests.
- Provides consistency for end users in determining record status.

5.3 AI.COMPLIANCE EXTENDER prerequisites

5.3.1 Platform prerequisites

The following platform requirements are applicable if you wish to deploy AI.COMPLIANCE EXTENDER:

- SharePoint 2010 Standard Edition or Enterprise Edition
- SharePoint 2013 Standard Edition or Enterprise Edition
- SharePoint 2016 Standard Edition or Enterprise Edition

5.3.2 Installation prerequisites

The following requirements are applicable when installing AI.COMPLIANCE EXTENDER:

- Access to SharePoint Management Shell for the relevant SharePoint version
- Access to SharePoint Central Administration for the relevant SharePoint version
- A domain account with Farm Administrator access
- A domain account with Term Store Administrator access

6 AI.CLOUD SERVICES for SharePoint

6.1 Description

AI provides complete lifecycle management for a company's data. Many organisations have legacy data stores that are maintained in-house. The data in these stores is infrequently accessed but for business reasons it is not appropriate to delete this data. Storing this data in-house is expensive and uses up vital resources that could be deployed more effectively elsewhere.

6.2 Overview

Using AI.CLOUD SERVICES allows organisations to safely take their data into a highly secure cloud environment for more efficient management over the remainder of its life cycle. AI.CLOUD SERVICES archives content from SharePoint to a secure archive in Microsoft Azure.

AI.CLOUD SERVICES uses a policy rule set to determine what data is eligible for archive, typically based on age or location.

In addition to the archival policy, AI.CLOUD SERVICES allows retention policies to be applied to the data identified for archive. There are several key benefits provided by this mechanism:

- Lifecycle policies can be applied to the content being archived.
- Data can be managed against records or regulatory policy (many source repositories do not come with this capability).
- The content being managed can be deleted over time.

Once data has met the criteria for archival AI.CLOUD SERVICES will relocate the file to the cloud archive and leave a smart link to the file (optional) in its place to ensure continuity and access for the user.

AI.CLOUD SERVICES adopts several key technologies to ensure that a high level of security is maintained at all times.

- All content and metadata is AES-256 encrypted prior to leaving the customer's environment with organisationally owned encryption keys, i.e. only the customer can decrypt the data. The data remains encrypted for the duration of its lifecycle policy in the cloud.
- All communication and transfer is performed over encrypted channels with error checking and anti-tamper/corruption techniques applied.
- Retrieval policies ensure that only authenticated owners can access the communication channel and request data retrieval.

6.2.1 Supported Content Sources

The following systems are supported by AI.CLOUD SERVICES:

- Microsoft SharePoint (all versions)

6.3 AI.CLOUD SERVICES Prerequisites

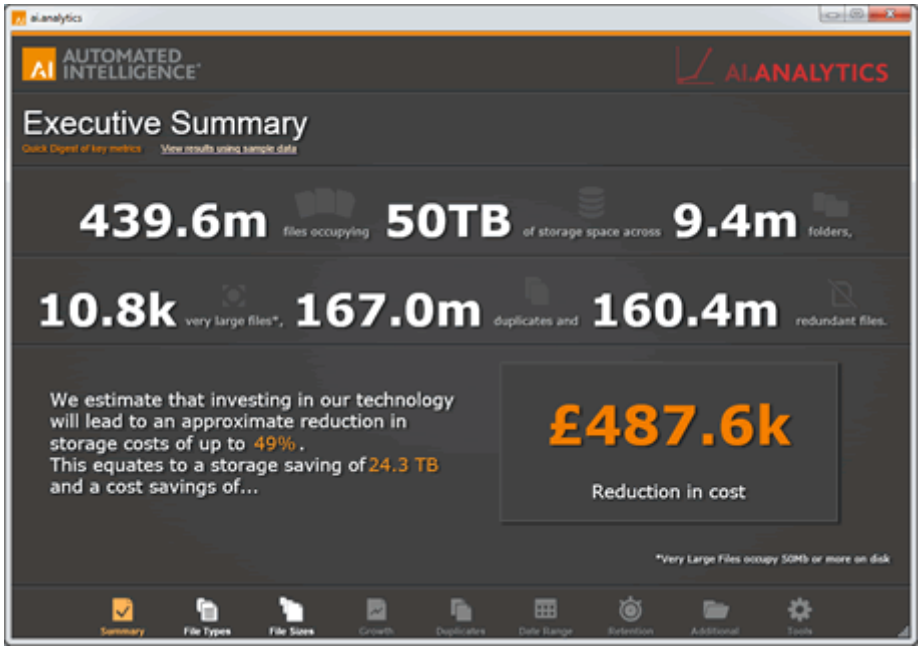
The following minimal recommended requirements are applicable to AI.CLOUD SERVICES:

- SQL Management Studio 2014
- Microsoft SQL Server Data Tier Application Frame (May 2015). NOTE: Both the x86 and x64 msi files need to be downloaded and installed for the deployment to work. https://www.microsoft.com/en-us/download/details.aspx?id=46898
- .Net Framework 4.5.2 (needed for Archive Explorer installation)
- Host server is IIS enabled (needed for Archive Explorer installation)

7 AI.DATAPOINT

Cleanse, categorise, manage and migrate content automatically to any location including enterprise content platforms such as Microsoft SharePoint.

AI.DATAPOINT automates and manages the process of cleansing, categorising and migrating data from current information repositories to a new single consolidated environment – either on premise, in the cloud or a hybrid of both. Using this method can provide a typical cost saving of up to 58%.



Data Management needs to be simple and cost effective

Data volumes are increasing exponentially, resulting in data management being costly and complex. Organisations typically retain more than double the information that is current, relevant or useful which means it generally costs an enterprise twice as much as it should to store corporate information. To simplify data management and reduce costs, organisations need to migrate relevant and corporately required data to a single consolidated and cleansed environment.

Automatic data migration

Existing data will need cleansed and categorised. The structure, policy, metadata and security permissions need to be managed as part of the migration process. Organisations require migration tools to fully manage the process of migration in an accurate, timely and audited manner.

7.1 Overview

The following features are provided to by AI.DATAPOINT.

AI.DATAPOINT uses the latest innovation in categorisation technology to enable an organisation to accurately cleanse, reorganise, consolidate and simplify its data holdings in the migration process against corporate policies.

AI.DATAPOINT can migrate content and metadata from existing content management structures maintaining document context information. It does this using a comprehensive rules-based approach to allow mappings and data transformations between source and destination to maintain business continuity following the data migration.

7.1.1 Key features include:

- Automatic validation, de-duplication, categorisation and migration of data from a variety of current and legacy data systems to the corporate data management solution
- Identification of duplicate, near duplicate, redundant, obsolete and irrelevant data by examining file content and metadata
- Interpretation of content by indexing and using semantic and linguistic reasoning
- Data is categorised by security, retention and access requirements against the information policy of the organisation
- Dependent on security required and costs, data is segmented and stored in the most appropriate location, whether that is cloud or on premise
- Management and application of policy to the combined data whether in a single or multiple locations
- Automatic population of document libraries with existing relevant documents based on content and contextual analysis
- Automatically migrating, tagging and securing information assets in the new consolidated environment using a variety of techniques such as:
  - Keyword Identification
  - Sensitive Data Identification
  - Content Categorisation
  - A combination of above

AI.DATAPOINT removes data duplication and redundancy, organisations are able to cleanse legacy data stores.

Uniquely, AI.DATAPOINT does this without impacting the end user, providing operational benefit without organisational burden.

7.1.2 Benefits include

- Reduces the cost of managing and storing large data volumes by up to 58%
- Delivers a net reduction in operating costs
- Accelerates migration to a single collaborative environment
- Enables legacy content management systems to be de-commissioned, simplifying the information architecture
- Re-organising existing data can result in:
  - enhanced user experience
  - consolidated data holdings
  - improved data relevancy
  - the application of governance requirements
  - improved knowledge-based productivity
  - reduced corporate risk

7.1.3 Supported Content Sources

The following systems are supported by AI.DATAPOINT:

- Windows File Server
- Microsoft Exchange (all versions)
- Microsoft SharePoint (all versions)
- WebDAV
- FTP
- Non-Windows File Systems
- EMC Documentum Content Server
- EMC Documentum eRoom
- HP Trim Context
- Alfresco
- IBM Content Manager
- IBM FileNET P8

- IBM Lotus Notes
- Meridio
- Objective
- OpenText eDOCS DM (Hummingbird DM)
- Open Text LiveLink
- SAP KM
- Symantec Enterprise Vault
- Wisdom

7.2 AI.DATAPOINT prerequisites

7.2.1 Generic platform requirements

The following minimal recommended requirements are applicable to AI.DATAPOINT installations not using the Categorisation module:

- Quad Core Processor
- 8GB RAM
- 50GB free disk space (Disk space requirement may be higher depending on AI.DATAPOINT configuration. It is recommended that before allocating space that you contact AI Support for advice)
- 1Gbit/s NIC
- Recommended minimum 1GBit/s LAN connection between AI.DATAPOINT server and content being migrated
- Windows Server 2008 R2 / 2012
- Microsoft SQL Server 2008 R2 / 2012 /2014
- .NET 4.5.1 or 4.6

7.2.2 File-share migration requirements

The following requirements are only applicable if you are migrating from file-shares:

- UNC / Drive Letter access to the content being migrated
- A domain account with at least READ / WRITE access to all content being migrated

7.2.3 SharePoint connector requirements

The following requirements are only applicable if you are migrating to a SharePoint system:

- Access to the SharePoint Server Web Services for the version of SharePoint connecting to
- A domain account with at least Site Collection Administrator access to all sites to which content will be migrated

7.2.4 Other connector requirements

Automated Intelligence has a number of connectors for AI.DATAPOINT that can be used to migrate files to and from systems such as SharePoint, File Systems, FTP etc. Please contact AI Support for more information on connector pre-requisites.

8 Service Management

The following service management capabilities apply generically to all of AI's cloud-based services. For information on a specific service, contact AI.

8.1 On-boarding process

To help organisations move content to a cloud platform and manage it in compliant manner, the Automated Intelligence Services team provides a suite of services to help make the transition as easy as possible. AI Services are grouped in three main areas:

8.1.1 Cloud Readiness Initiation

AI Services can help your business make best use of cloud services from the outset. By working with your business to understand your key business requirements and functions, we can help you define the most appropriate information architecture deployment model and functional rollout for your instance of SharePoint. AI Services have worked with a wide range of organisations to implement best practice deployment models, including central and local government bodies, commercial organisations and academic institutions.

8.1.2 Cloud Content Migration

AI Services specialise in large scale cleansing, de-duplication and migration of data from legacy ECM and file share environments to cloud-based SharePoint, Teams or OneDrive. A key differentiator to our service is our understanding that every customer is different, with different data and migration requirements. We have developed our Data Migration Work Packages to help tailor each migration to meet your needs. These work packages include:

- **Analyse** – analysing your data using our tools to help you understand what you have in your information silos.
- **Cleanse** – working with your business to guide the cleansing and deduplication of your data, either in-situ or as part of the migration to the cloud.
- **Categorise and Secure** – automatically migrating, tagging and securing your information assets in the target environment using a variety of techniques such as Keyword Identification, Personally Identifiable Information (PII), Content Categorisation or a combination of these methodologies.

8.1.3 Cloud Information Management

AI Services have years of experience in Information Management and are well positioned to use that experience in helping you to manage and secure your information in the AI Cloud platform using both SharePoint and AI's service offerings. As part of our Services offering, we enable:

- Information Architecture – ensuring that information structures meet current and future business needs.
- Information Security – ensuring that information is properly secured using state-of-the-art Information Security technology.
- Information Compliance – making use of the advanced features of both Microsoft 365 and AI.DATALIFT to manage your information in compliance with key Information Management standards, including ISO15489 and MoReq.
- End User Adoption – advising on the best rollout methods to End Users to help ensure and drive End User adoption of the new technology stack, which completes and fulfils the successful management of your information in the cloud.

In short, AI Services complement and augment Microsoft 365, ensuring your organisation is guided every step of the way in ensuring a successful migration, thus reaping the benefits of improved information management in a secure, cloud-based environment.

8.2 Off-boarding process

The same services that are used to on-board data can be used to off-board from the various AI solutions.

8.2.1 AI.DATALIFT/AI.DATAPOINT:

AI.DATALIFT/AI.DATAPOINT is decommissioned as part of an exit and therefore no transfer of technical information, instructions, manuals or code is required. The strategy for exportation of data is

- Customer Source Data – AI.DATALIFT/AI.DATAPOINT holds a copy of the metadata and content for any source system which has been processed as part of the project. The customer maintains the master copy of the data on the source system and therefore no export of that content from AI.DATALIFT/AI.DATAPOINT is required.
- Migration Audit Reports – All audit reports generated as part of the migrations carried out by the project are supplied during the migration effort. If required,

an export of all migration reports can be provided during an exit from AI.DATALIFT/AI.DATAPOINT.

No other customer or business information is held within AI.DATALIFT/AI.DATAPOINT that would be eligible for exportation as part of the Exit Plan.

8.2.2 AI.CLOUD SERVICES:

AI.CLOUD SERVICES maintains a copy of content and metadata within an Azure repository. As part of the off-boarding process, any data that the customer wishes to maintain can be exported as part of a Services engagement to a desired system.

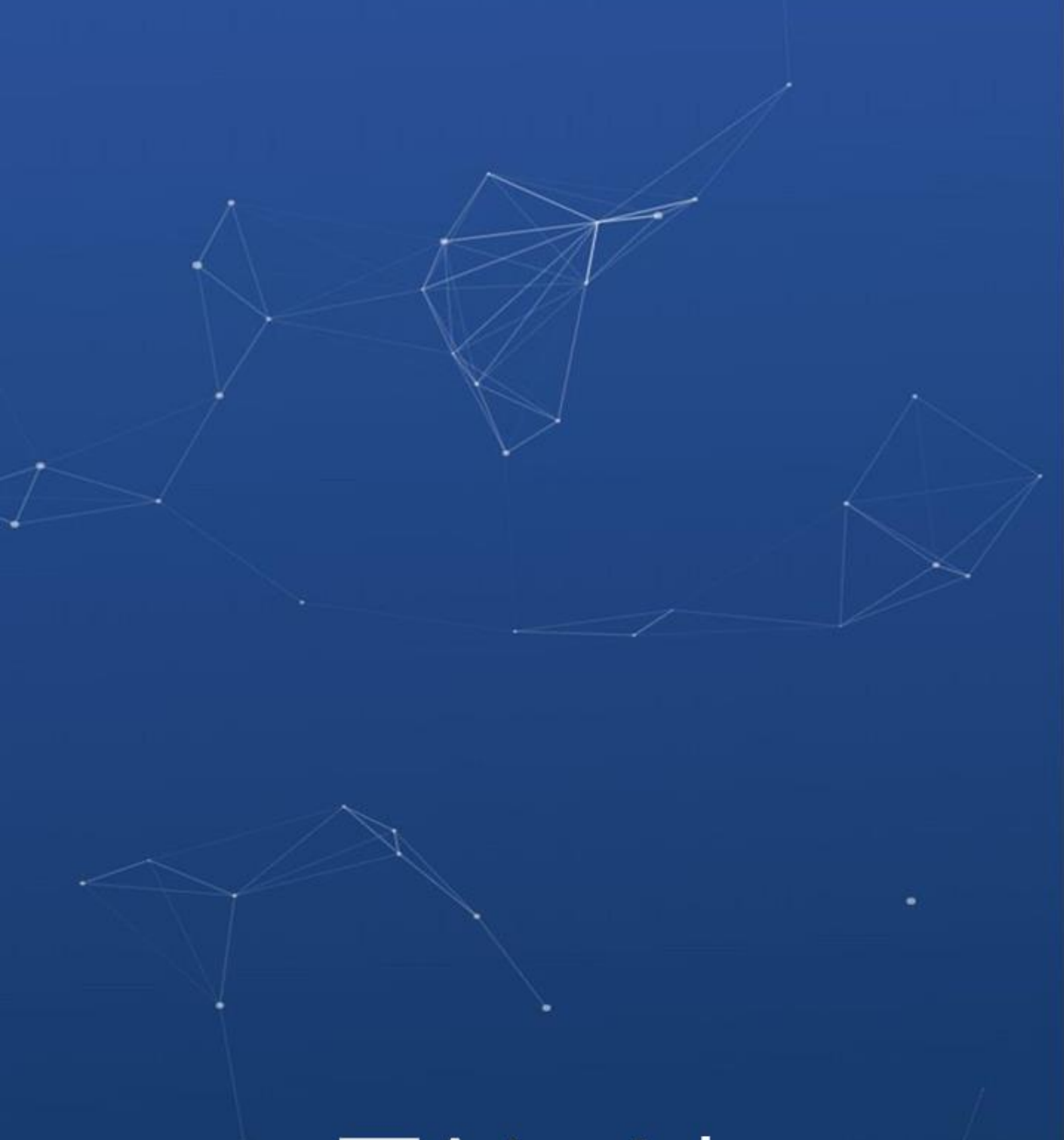
8.2.3 AI.SYNCPOINT/AI.COMPLIANCE EXTENDER:

AI.SYNCPOINT and AI.COMPLIANCE EXTENDER do not maintain any customer information that is required to be extracted as part of an off-boarding exercise and would be decommissioned from the customer environment.

8.3 Support

Support for AI services and solutions is provided through a single point of contact. The support service providers are experts in their field and through partnership with Microsoft have access to all the necessary functions provided by Microsoft.

Basic support is provided pursuant to AI's Standard Support terms included within the attached document "Automated Intelligence Standard Terms and Conditions of Sale". Advanced and Premium support is available through separate agreement. Please contact Automated Intelligence for further information.



Automated Intelligence