# BASICS OF ELECTRONIC RECORDS MANAGEMENT

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The Fundamentals of Electronic Records

Electronic Records Management

Practical Advice to Move Forward

ROADMAP

# PART I FUNDAMENTALS OF ELECTRONIC RECORDS

# RECORDS MANAGEMENT IN GENERAL

Storage

Organization

Retention & disposition

Security & protection

Preservation

# ELECTRONIC RECORDS IDENTIFICATION

What records do you have?

Who created them?

Who is responsible for them?

Where are they stored?

What's their retention period?

What is their format?

# E-RECORDS SPECIFIC CHALLENGES

MULTIPLE MANAGERS

CREATION DEVICES

CONTINUOUS CHANGES

STORAGE LOCATIONS

# THREE IMPORTANT GUIDELINES

Local government officials must ensure that hardware, software and data are secure

Electronic record security and authenticity is regular topic in NYS Comptroller's Audits

Local governments have legal obligation to ensure their erecords are defensible in court

# RECORDS RELIABILITY

## Must be able to trust your erecords

- To use them with confidence
- To certify their accuracy

## Protect records from corruption and loss

## Information must remain usable

# LEGAL ADMISSIBILITY

Electronic records and the court
- eRecords are discoverable
- eRecords can be entered as evidence

Whether it should have been deleted or not

From all sources and all devices

At work and at home (if used for work)

# DID YOU KNOW: UP TO 85% OF GOVERNMENT DOCUMENTS

# ARE CREATED ELECTRONICALLY

# ...AND COME IN A VARIETY OF FILE TYPES

WORD PROCESSING

SPREADSHEETS

PDF

DATABASES

SCANNED IMAGES

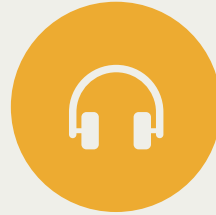EMAIL AND ATTACHMENTS

PRESENTATIONS

DIGITAL PHOTOGRAPHS

# BUT WAIT, THERE'S MORE

WEBSITES

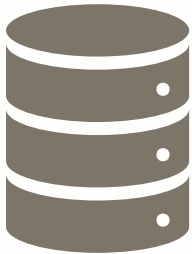SOCIAL MEDIA

AUDIO RECORDINGS

VIDEOS

ELECTRONIC PUBLICATIONS

GIS

CAD

# TWO MAIN WAYS TO LOOK AT THINGS

## Structured

Database driven applications (financial, permits, etc.)

## Unstructured

Word processing, spreadsheets, PDF, E-mail

# WHERE ARE THEY?

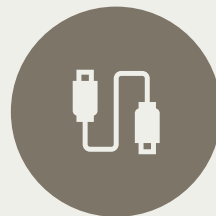DESKTOP PC'S

LAPTOPS
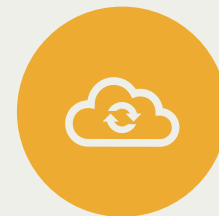
NETWORK SERVERS

REMOVABLE MEDIA

BACKUP TAPES

TABLETS

SMART PHONES

"THE CLOUD"

# WHAT ABOUT BACKUPS?

Compressed copies of all records

In State Archives schedules

Vulnerable to e-discovery

# DATA STORAGE AND THE CLOUD

Outsourcing data storage

Can use for

Local governments

State agencies

Contracts for data storage services

# PART II: ELECTRONIC RECORDS MANAGEMENT STRATEGIES

# GOALS: IF A RECORD IS BORN DIGITAL, IT SHOULD DIE DIGITAL

Yep it really means no print outs

# START WITH AN INVENTORY

| Support | Cooperate | Scale | Plan |
|---|---|---|---|
| Secure support from management | Get cooperation from IT | Determine the scope<br><br>• All departments or a few<br>• One business function or all | Develop a plan and timeline |

# INVENTORY GOALS

**Identify all records creation systems**

- Conduct a "systems inventory"

**Identify the owner**

- Creator and owner

**Determine 'official' record**

- Paper print-out or electronic?
- Draft or **final?**

# IDENTIFY PROBLEMS

OUTDATED SYSTEMS

UNORGANIZED FILES

UNCONTROLLED DUPLICATION

# OUTDATED SYSTEMS

## Hardware and software

- No longer supported
- Not **upgradable**
- Not compatible **with newer systems and formats**

## Solutions

- Evaluate current systems
- Identify critical issues
- Work with IT to **develop strategy**

# UNORGANIZED FILES ON LAN: FIRST STEPS

**1**
Create a folder for each employee

**2**
Direct employees to move their files into their folder

**3**
Ask employees to review all files

**4**
Collect and review files of former employees and review
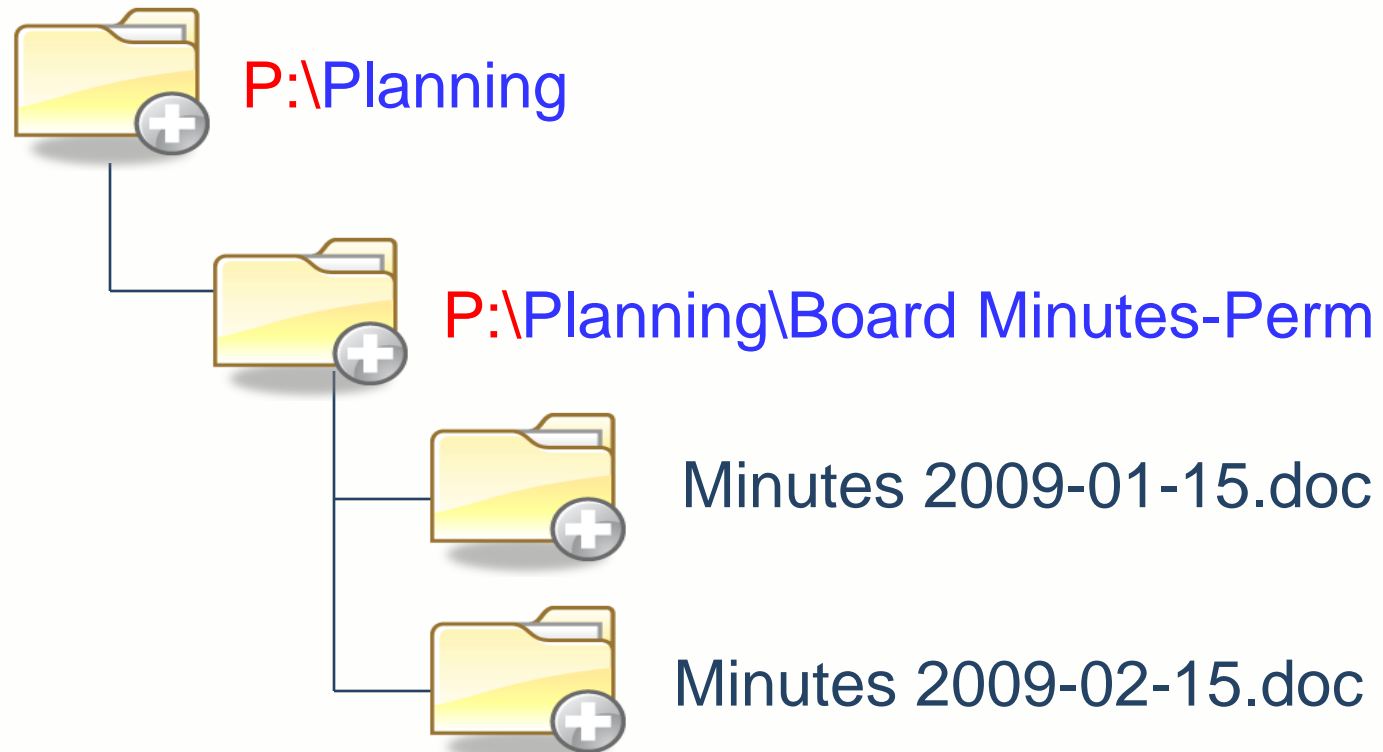
**5**
Plan next steps

# GETTING ORGANIZED

## Organize Files on the LAN

- Form a team
- Develop filing system
- Establish naming conventions
- Document in policy and procedure manual
- Train staff
- Review and audit

# NAMING CONVENTIONS



P:\Planning

P:\Planning\Board Minutes-Perm

Minutes 2009-01-15.doc

Minutes 2009-02-15.doc

# GETTING ORGANIZED- EDMS/ECM

Repository **to manage** all files

**Provides** standard **user** interface

Gives structure to unstructured data

Digital imaging component

# POSSIBLE SOLUTIONS TO OBTAIN ECM

Collaborate through shared services

Digital Towpath

Simple cloud based solutions

Apply for grant funding

# DISPOSITION BENEFITS

Frees space

Reduces clutter

Brings focus

Reduces risk

# DISPOSITION METHODS

Deletion

Overwriting

Degaussing

Physical destruction

# PART III: PRACTICAL ADVICE TO MOVE FORWARD

# WILL FILES BE READABLE FOR THEIR ENTIRE RETENTION PERIOD?

Preservation Concerns

# PRESERVATION

## Maintenance

Periodically refresh or transfer data to new media

## Develop migration plan

| Move/convert data before system is obsolete | Include in budget | Consider as hardware & software changes |

## Test process

Don't just trust that it will work

# SECURITY

Cyber-attacks, ransomware, phishing and other threats

Keep virus software updated
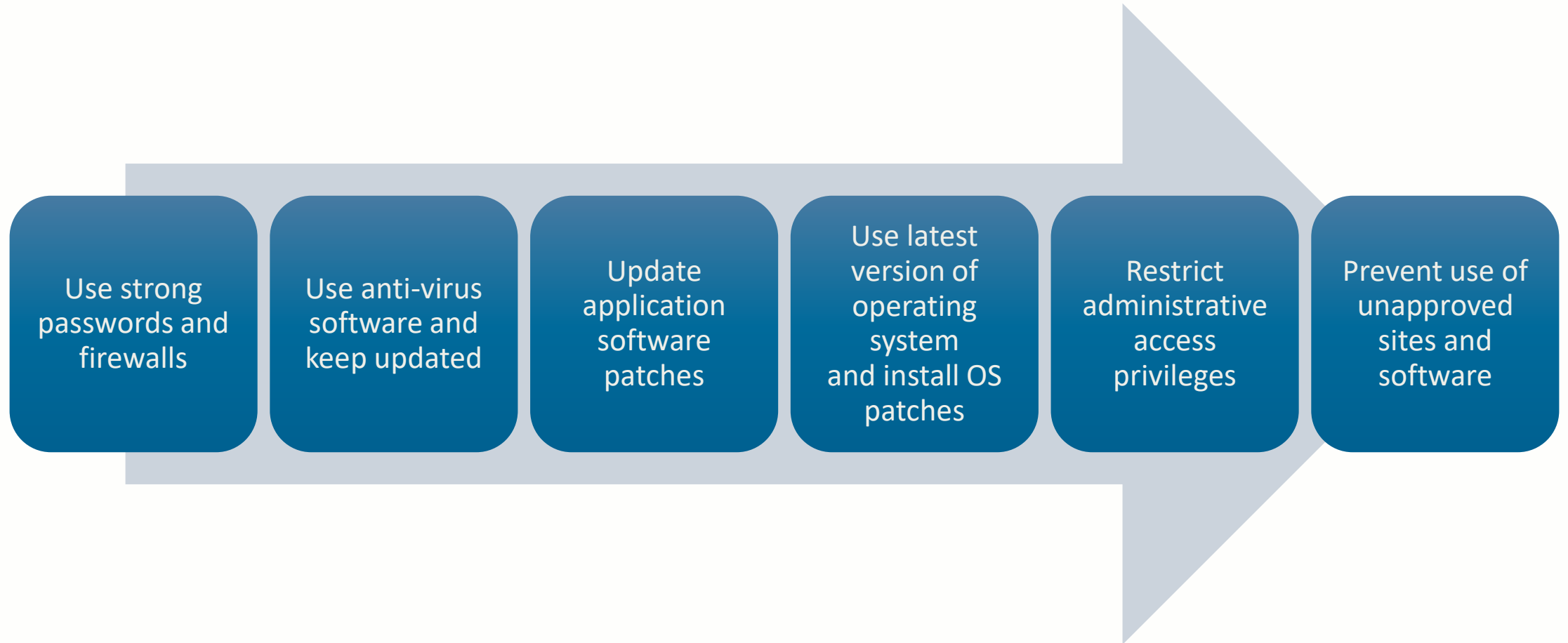
Create strong passwords and update them frequently

Staff training

Create frequent backups

# 6 WAYS TO DEFEND AGAINST CYBERATTACKS

Use strong passwords and firewalls

Use anti-virus software and keep updated

Update application software patches

Use latest version of operating system and install OS patches

Restrict administrative access privileges

Prevent use of unapproved sites and software

# SUCCESS IS MORE THAN WRANGLING WITH TECHNOLOGY

PROJECT PLANS

POLICIES AND PROCEDURES

STAFF TRAINING

# POLICIES AND PROCEDURES

Critical in managing all facets of $^e$records

Creates programmatic permanence

Enhances uniform compliance

Required in court of law

Facilitates training

# TRAINING STAFF

**Ongoing, consistent, reinforced**

**Clarify policies and procedures**

**Address**

- What is expected of users
- Security protocols
- How to reduce risk
- Cost of policy non-compliance
- Records management principles

# EMAIL POLICY COMPONENTS

**DESCRIPTION OF THE EMAIL SYSTEM**

**CLASSIFYING EMAIL**

**ACCESS AND RETRIEVAL**

**E-DISCOVERY**

**STORAGE**

# EMAIL POLICY COMPONENTS (CONTINUED)

| | | |
|---|---|---|
| Retention and disposition | Preservation | Information security |
| Appropriate use | Staff training | Roles and responsibilities |

# SOCIAL MEDIA POLICY EXAMPLE

Social media that is intentional and limited to authorized users

Accounts owned and accessible by your government

Monitored public interactions if allowed

The ability to manage/retrieve records in social media accounts as needed

Minimal original content/official copy of records

# WRAPPING UP

Understanding what records you have

Multiple ways to manage

Successful projects need support

# THANK YOU!

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