

Remote Records & Information Management in Pandemic Times

Tackling Remote Access to our Records

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The "Paperless" Office

- Estimates are:
 - 70 - 80% paper documents
 - 19 - 29% electronic format
 - 1% microforms (yes, really...)
- Computers
- Low priority



The Less-Paper Office

- Agency-wide Records and Information Management Program
- Good Records Management Practices
- Generally Accepted Recordkeeping Principals®

What is RIM?

The systematic control of recorded information, regardless of media, from its creation, through its active use and storage, to its final disposition.



Your RIM Program

- Program Components
 - Active hardcopy management
 - Electronic records management
 - Inactive records management
 - Records retention scheduling
 - Information governance
 - Vital records / business continuity
- No off-the-shelf solutions

RIMportance!

- FEMA
 - RIM Plan
 - Organization's memory
- NARA
 - Maintenance of records

Critical Business Continuity Initiative

Our Pandemic Challenges

- Access to documents
- Security concerns
- Collaboration
- Trusted systems
- Communications
- Mobile / personal devices

Ask Yourself This...

- Where are the records?
- How do we access?
- Are there manual processes?
- What's been scanned?
- Are we compliant?
- What shall we do?
- How shall we do it?!

Where are the Records?

What kinds of databases and repositories do you maintain?



Electronic Records Are...

- Not physical (duh)
- Challenging to find
- Difficult to manage
- Like rabbits!
- “Plenty of space”



Where are the Records?

- ERMS/EDMS
- Shared servers
- Enterprise systems
- Hosted services
- Cloud storage
- Local drives
- Portable drives

Where are the Records?

- Physical records
 - Active
 - Inactive
- Microforms



How do we access them?

- VPN / RDP
- Cloud / hosted repositories
- Who's equipment?
- Internet
 - Home systems
 - Speed, large files
- Physical files
 - Evaluate necessity

How do we access them?

- Security
 - Administrative rights
 - Public access
 - Hygiene & updates
 - Confidentiality
 - Encryption

Are there manual processes?

- Paper based
- Wet signatures
- Short term records
- Collaboration
 - Approvals




What's been scanned?

- Importance
- High-volume
- Commonly shared
- Redundancy
- Trustworthy documents

Memory of the Agency!

TRUST me! (grin)

CCR 22620 et. seq. – Trustworthy Electronic Document or Record Preservation

- AIIM, ANSI & ISO
 - Does it apply to you?
 - Who is in compliance?
- 

The Caveats

- Official records
- Intent to destroy
- Legacy system compliance
 - August 8, 2012
- Policy and procedures
- Image formats
 - PDF, PDF-A
 - TIFF?

The Conversion

- Paper benefits
- Garbage in/out
- Retention life
- Destroy paper?



Are we compliant?

- Mitigate risks
 - Prove losses
 - Fraud
 - Reduce damages
- Track changes/improvements
- Records vs. non-records

Those Pesky Computers

- San Jose v. Smith, et al
 - "...we hold that when a city employee uses a **personal account** to communicate about the conduct of public business, the writings may be **subject to disclosure** under the California Public Records Act"
 - "Access to information concerning the conduct of the people's business is a **fundamental and necessary right of every person in this state.**"
 - "... the writings of public officials and agencies shall be **open to public scrutiny**"

Those Pesky Computers

- Personal equipment
 - Migrate new documents
 - No storage
 - Confidentiality
- Policy & Procedures

Those Pesky Computers

■ 44 USC 2911

- An officer or employee of an executive agency may not create or send a record using a non-official electronic messaging account unless such officer or employee:
 - copies an official electronic messaging account of the officer or employee in the original creation or transmission of the record
 - forwards a complete copy of the record to an official electronic messaging account of the officer or employee **not later than 20 days** after the original creation or transmission of the record

OMG! It's Socialism!

- Are these “records”?
 - Texts
 - Social media
 - Teams, Skype & Zoom
- Federal agencies

“... regardless of physical form
or characteristics”

What shall we do?

- Staff priorities
 - Hardware
 - Reliable connectivity
 - Remote jobs / processes
 - Collaboration tools
 - IT support
- Maintain, store and preserve
 - Agency / public records
 - Privacy

What shall we do?

- Cloud storage
 - Structure and naming conventions
- Hosted systems
- Purge
 - Obsolete documents
 - Copies / duplicates
- Return records

How shall we do it?

- Analysis
 - Current practices
 - Current EDMS & repositories
 - Physical documents
- Policy & Procedures
- Plan conversion
- Integrity of documents
- Work with Execs & IT!

Good Sources

- National Archives & Records Administration (NARA)
- Association of Records Managers & Administrators (ARMA)
- Association of Image & Information Management

Did I cover it all?

Share your thoughts?

Questions?

Ah-ha! Moments?

Expectations met?

Other topics?



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