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
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?
Innovative Records and Information Management Solutions

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