

Managing electronic records

the technical bulletin series - tools for local governments

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Local government recordkeeping issues

- ▶ **The Electronic Records Environment:**
 - ▶ Push for more openness and transparency
 - ▶ Increased expectations by both internal and external users for usable, discoverable, accessible, and reliable information.
 - ▶ Pace of technological change
- ▶ **The Result:**
 - ▶ Data and records must be managed as informational assets.
- ▶ **The Need:**
 - ▶ General guidelines and concise overviews; quickly accessible

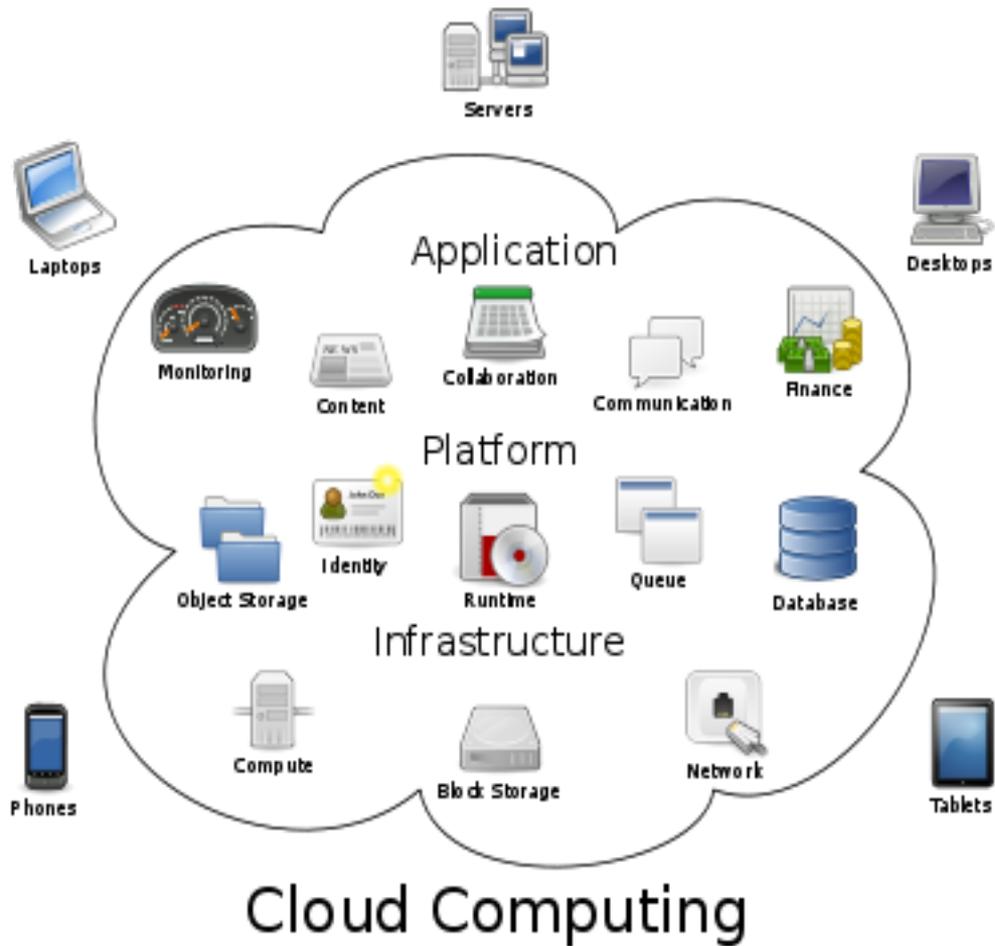
From this...



To this...



And now this.



A short history...

- ▶ National Association of Government Archives and Records Administrators (NAGARA) published five technical publications for local governments from 1992 through 1995
 - ▶ Leadership moved to fill the need of members from local governments
 - ▶ Topics included archival programs, daily management of records, managing on limited resources, protecting records and microfilm
 - ▶ Authors included archivists and records managers, as well as authors of RM publications

Next phase: the collaboration

- ▶ NAGARA and the International Institute of Municipal Clerks (IIMC) collaborated in 1998 to develop 6 new technical bulletins
 - ▶ Provided a basic overview of RM practices
 - ▶ Update existing publications
 - ▶ Published in 2000
 - ▶ Topics included starting an RM program, funding, identifying and locating your records, records retention, records storage and making your RM program successful
 - ▶ Authors were all RM practitioners and consultants
 - ▶ Funded by both organizations at \$2500 each; edited by members of the governing boards



The 2012-2013 LG Records Management Bulletins

- ✓ NAGARA and IIMC again collaborated in 2010 to produce new technical bulletins for local government
- ✓ Initially 16 planned; 14 published in 2012 and 2013
- ✓ Published as the IIMC Records Management Technical Bulletin Series
- ✓ Partially funded by an NHPRC grant
- ✓ Authors recruited; editor selected; peer reviewers identified
- ✓ This time include Electronic Records issues!
 - ✓ Content management systems
 - ✓ Email
 - ✓ Managing Electronic Records
- ✓ Plans to include imaging systems and e-discovery were not developed

Project Expectations

- ▶ Brief and concise; 16 to 20 pages
- ▶ Include table of contents, illustrations, graphics and bibliographies
- ▶ May include glossaries, tables, model forms, charts and additional resources
- ▶ Participants had access to a Google wiki site for materials and information
- ▶ Publication timeline: Jan to Dec 2011

What to cover—what is possible

- ▶ How to be all things to all people
- ▶ Assume nothing!
- ▶ Reference accessible free resources where possible
- ▶ Refer to other bulletins if applicable
- ▶ Be practical!

- ▶ Understand that some information will become dated before its published



Current challenges to E-records programs

- ✓ Politics - internal or external barriers against trust and sharing; conflicting interests & agendas
- ✓ Management & governance - selling the program; developing a business case
- ✓ Legal requirements - regulation compliance; e-discovery
- ✓ Rapidly changing technological environment
- ✓ Information silos - systems not designed for collaboration and sharing
- ✓ Resource issues - planning, funding, staffing
- ✓ Current methods, policies, and processes - not adequate for information sharing and efficient service delivery

Bulletin contents

- ▶ Develop management support
- ▶ Build the foundation (standards and policies)
- ▶ Systems and applications assessment
 - ▶ Leverage existing systems
- ▶ Assess organizational risk
- ▶ Create the business case
- ▶ Program requirements (Functional, Technical and Operational)
- ▶ Compliance and legal issues

Bulletin contents

- ▶ Disaster Recovery
- ▶ Voice mail
- ▶ Websites
- ▶ Legacy systems
- ▶ Cloud computing
- ▶ Social media
- ▶ System implementation
 - ▶ Project management and Change management
- ▶ Long-term preservation
- ▶ Storage and access



✓ Content management (imaging)

✓ Email

✓ Voice mail

To begin:

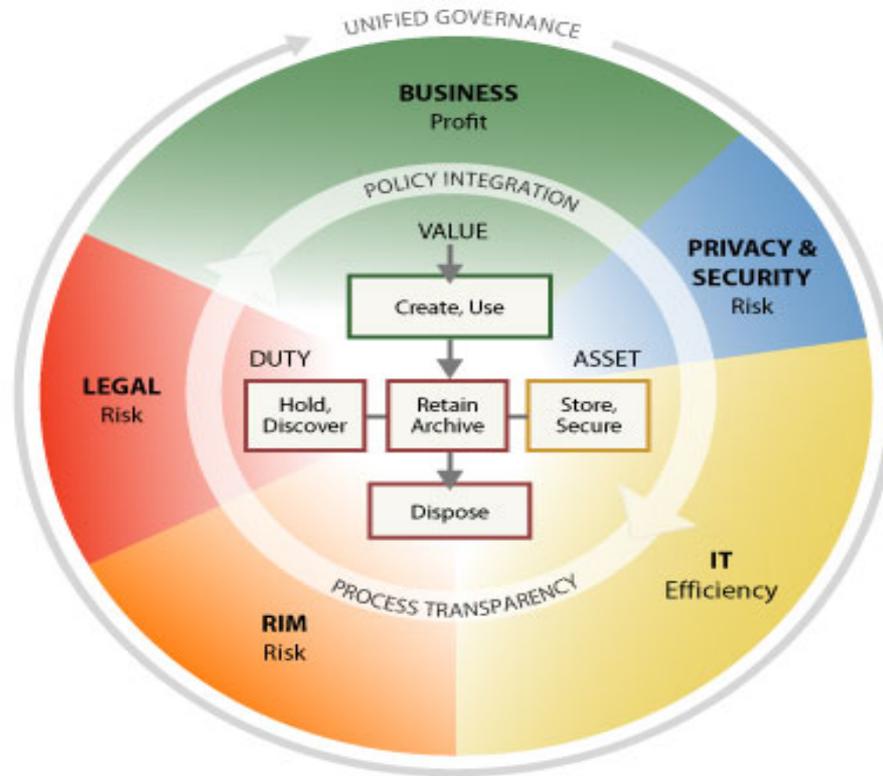
- ▶ How do you develop support?
 - ▶ Understand authority and responsibility
- ✓ Identify what mechanisms/processes exist
 - ✓ Internal committees or review boards
 - ✓ Identify leaders or champions
 - ▶ What questions should be asked
- ▶ Policies and procedures (the foundation)
 - ▶ Provide requirements, guidelines, best practices
 - ▶ Where to find this information

Assessment Strategies

- ✓ Processes and functional structure
 - ▶ Assessment tools and inventory forms
 - ▶ What systems to you already have?
- ✓ Analyze where you are now
- ✓ What you want/need
- ✓ Does your program have authority or responsibility?
- ✓ Organizational Risk: Is it compliance driven?
 - ✓ HIPAA-HITECH; PCI
- ✓ Cost benefit analysis and ROI

Information Governance Reference Model (IGRM)

Linking duty + value to information asset = efficient, effective management



Duty: Legal obligation for specific information

Value: Utility or business purpose of specific information

Asset: Specific container of information

Business case and program requirements

- ▶ Business Case/Statement of needs to justify a program
 - ▶ Process to purchase or contract services/solutions
- ▶ Program Requirements
 - ▶ Data retention
 - ▶ Functional requirements - RM processes, inventories, retention/file plans, metadata
 - ▶ Technical requirements - information system architecture addressing compatibilities, integration, security and infrastructure
 - ▶ Operational requirements - criteria that must be met to address flexibility, scalability and usability for current and future needs

Compliance and legal issues

- ▶ Statutory and regulatory requirements
 - ▶ State and federal records laws
 - ▶ Federal regulations
 - ▶ E-discovery/litigation
- ▶ Industry guidelines or best practices
- ▶ Get help! Legal department or attorney's office



The 30,000 foot view

- ▶ Issues to cover briefly
 - ▶ Disaster Recovery (DR) and Business Continuity
 - ▶ Websites - record content
 - ▶ Legacy systems - what, where and the cost
 - ▶ Cloud computing - cost savings vs risk management/security
 - ▶ Social media - playing catchup with how governments do business

Next steps/considerations

- ▶ System implementation
 - ▶ Project team - management, stakeholders, users
 - ▶ Project management - get the right players!
 - ▶ Change management - communication, buy-in and user support
 - ▶ Post-implementation review
- ▶ Long-term preservation
- ▶ Storage and access

After the bulletins; what's next? Understand your business culture

- Apply sound records management principles and best practices in a flexible and ever-changing environment
- Develop partnerships & collaborations
- Rely on proven standards and guidelines
- Conduct ongoing reviews and assessments

- Learn from successes and failures!

What we didn't talk about -- sustainability

- ✓ **Sustainability - how to keep a program going**
 - ✓ Management support
 - ✓ Expectations
 - ✓ Ongoing funding/Resources
 - ✓ Technical environment
- ✓ **Staffing**
- ✓ **Training and education**

What can be barriers to success

- ✓ Records and Information are not managed as business assets.
- ✓ ER systems are not viewed as critical to the agency or governmental mission.
- ✓ RM may have marginal support leading to lack of training, tools and guidance.
- ✓ RM and IT are poorly integrated as functions.
- ✓ Technology solutions can't fix these problems!

LG RM Technical Bulletins

- ▶ Archives for Local Governments, by Kaye Lanning Minchew
- ▶ Considerations for Content Management Systems, by Robert Blatt, MIT, LIT
- ▶ The Daily Management of Records and Information, by David O. Stephens, CRM, FAI
- ▶ Developing a Records Storage System, by Terry J. Mark, CRM, CPM
- ▶ Email Management, by John Annunziello, CRM, CDIA+, ermm
- ▶ Establishing Records Retention, by Laurie Sletten, CRM, CA

- ▶ Funding Your Records Management Project, by Diane R. Gladwell, MMC
- ▶ Identifying and Locating Your Records, by John H. Slate, CA
- ▶ Making Your Records Management Program Successful, by Fynnette Eaton and N. Robin Wilson
- ▶ **Managing Electronic Records, By Terry Blonquist Nelson**
- ▶ Managing Records with Limited Resources, by Stephanie Tuin, MMC
- ▶ Protecting Vital Records, by Robin Wilson
- ▶ The Selection & Development of Local Government Records Storage Facilities, by Thomas Wilsted, CA, FSAA
- ▶ Starting a Records Management Program, by Terry Baxter, CA

Professional resources

- IIMC - <http://www.iimc.com>
- NAGARA - <http://www.nagara.org>
- ANSI - American National Standards Institution www.ansi.org
- AIIM - <http://www.aiim.org/>
- ISO - International Organization for Standardization
www.iso.org
- DoD5015.2 Department of Defense
<http://www.dtic.mil/whs/directives/corres/pdf/501502std.pdf>
- ARMA - <http://arma.org>
- The Sedona Conference
<http://www.thesedonaconference.org/>
- Electronic Discovery Reference Model (EDRM)
<http://www.edrm.net>

Wrapping up

- ▶ Local governments must weigh the benefits against the risks of doing nothing.
- ▶ The LG Technical Bulletins are an introduction and overview, not a solution
- ▶ Information in the technological space becomes dated and obsolete quickly; always check for the latest info
- ▶ Consult with others, collaborate where possible, and partner when it is applicable and beneficial

Thank
You!

