Building a vital [records] program

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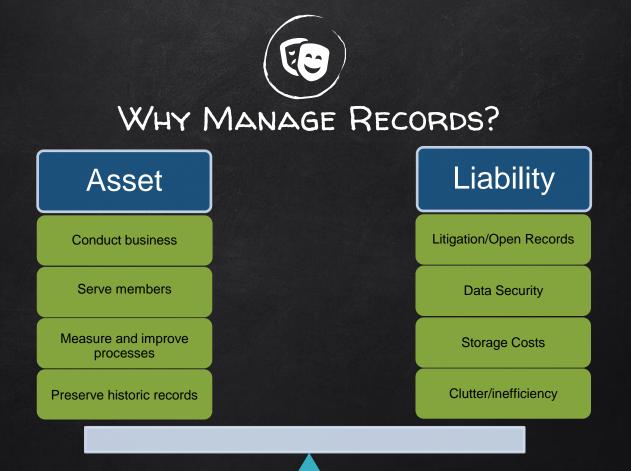(512) 542-3533

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What is a Record?

And why does it matter?

"

The application of management techniques to the creation, use maintenance, retention, preservation, and disposal of records for the purposes of reducing the costs and improving the efficiency of recordkeeping.

LGC §201.003
GC §441.180

A Record is:

X   Recorded information in any format

X   Created or received by or on behalf of an agency

X   Documenting activities in the conduct of a state business or use of public resources

INFORMATION YOU NEED TO DO YOUR JOB

An Electronic Record is:
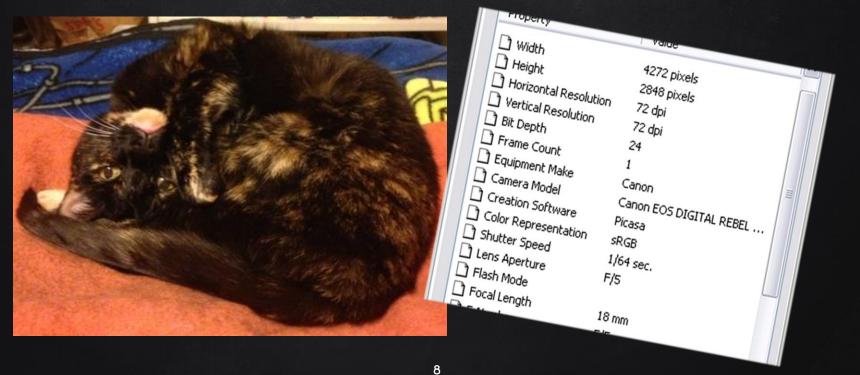
X Anything meeting the definition of a record that's "maintained in electronic format for computer processing"

X a.k.a. Machine-readable

Metadata is:

Property	Value
Width	
Height	4272 pixels
Horizontal Resolution	2848 pixels
Vertical Resolution	72 dpi
Bit Depth	72 dpi
Frame Count	24
Equipment Make	1
Camera Model	Canon
Creation Software	Canon EOS DIGITAL REBEL …
Color Representation	Picasa
Shutter Speed	sRGB
Lens Aperture	1/64 sec.
Flash Mode	F/5
Focal Length	
	18 mm

Records have Rules

X   How long you keep them

X   Where you keep them

X   How you dispose of them

Vital
Records

Vital Records:

Resume or continue operations

✗ Delegations of authority

✗ Rules, policies, and procedures

✗ Prison, jail, parole records

✗ Maps and building plans

✗ Emergency or COOP plan

✗ Equipment inventories

Recreate Legal and Financial Status

✗ Contracts and leases

✗ Accounts receivable/payable

✗ Insurance records

✗ Payroll

✗ Retirement records

✗ Customer records

Fulfill Obligations to People

✗ Deeds, mortgages, land records

✗ Birth and marriage records

✗ Active court proceedings

✗ Voting Records

✗ Medical Records

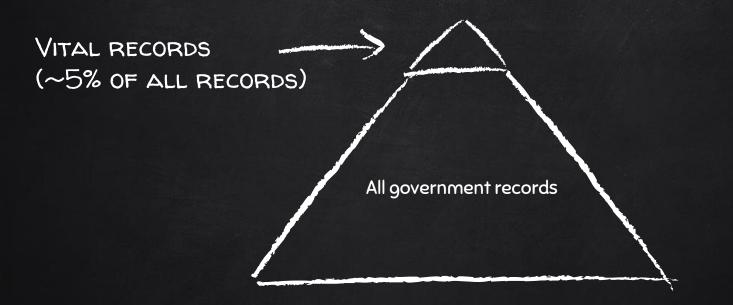✗ Professional licenses

Two types of Vital Records

Dynamic – updated often, so you'll want to protect the most current version

✗ Phone tree
✗ Payroll
✗ Disaster Plans

Static – rarely, if ever, updated

✗ Board meeting minutes
✗ Policies and directives
✗ Birth/death records

VITAL RECORDS
(~5% OF ALL RECORDS)

All government records

Factors for Identifying Vital Records

- ✗ Essential/vital functions
- ✗ Stakeholders
- ✗ Records custodianship
- ✗ Relevant statutes, regulations, and standards

All government functions

Narrow down to essential/vital functions

Which records support these functions?

Vital records

Know the Needs of Stakeholders

✗ Who depends on you?
✗ Who provides mission-critical support?
✗ What do they need to access?
✗ When do they need it?

Know Your Records

Records Inventory

✗ Physical and electronic information

✗ Data map

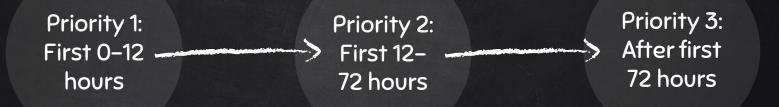✗ Guidance in Bulletin C (bit.ly/BulletinC)

Retention Schedule

✗ List of all records created by agency with instructions on retention, disposition, etc.

✗ Can also identify vital record series

Do Your Due Diligence

✗ Applicable statutes and ordinances

✗ State/local/federal regulations

✗ Professional standards
  - ANSI/ARMA 5–2010

PRIORITIZE ACCCESS

Priority 1: First 0–12 hours

Priority 2: First 12–72 hours

Priority 3: After first 72 hours

What do we need for emergency operations?

What do we need to resume and continue business functions?

What do we need to fulfill legal, audit, public responsibilities?

Disasters as big as texas

Technology Threats

✗ Unsecured networks, viruses, denial-of-service attacks

✗ Ransomware – a cyberthreat to publish records or block access to them by demanding a sum of money as ransom.

Ransomware attack hits Texas local governments

Travis County said it was not affected by the attack.

Author: KVUE Staff
Published: 4:35 PM CDT August 17, 2019
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AUSTIN, Texas — Nearly two dozen Texas local governments have been hit with a ransomware attack, according to the Texas Department of Information Resources (DIR).

Travis County has not been affected by the attack, which impacted 23 entities across Texas, a spokesperson told KVUE on Saturday. The State of Texas systems and networks have not been impacted.

Ransomware Prevention

✗ Records–related tips from DIR:
   - Modernize legacy systems and ensure software is as current as possible.
   - Limit the granting of administrative access.
   - Perform regular, automated backups and keep the backups segregated.

STORAGE CONDITIONS TO PROTECT AGAINST:

Enviornmental hazards/ unauthorized access

Direct exposure to sunlight

Contact with the floor

Fire

Flood water

Bulletin F: Records Storage Standards

Optional Enhanced Storage Conditions

Operational fire suppressant system

Pest management program

Use appropriate shelving

UV filters/limit florescent light

Archival quality boxes

Environmental controls

Storage Security

✗ Keep sensitive records secure in a locked, limited–access area.

✗ Establish rules or procedures for allowing access to storage areas.
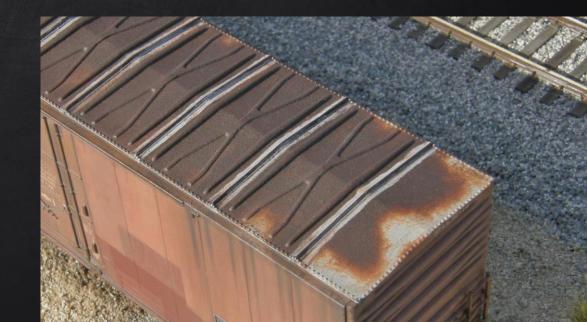
✗ Lost or damaged records may be unrecoverable.

Storage Site Inspections

✗   Make it routine.
- ○   Quarterly, semi-annual, annual

✗   Identify potential hazards and be pro-active!
- ○   Pests
- ○   Water/mold
- ○   Proper shelving
- ○   Fire-protection and suppression

✗   Create or update a disaster plan.

Site Survey

✗ Environmental

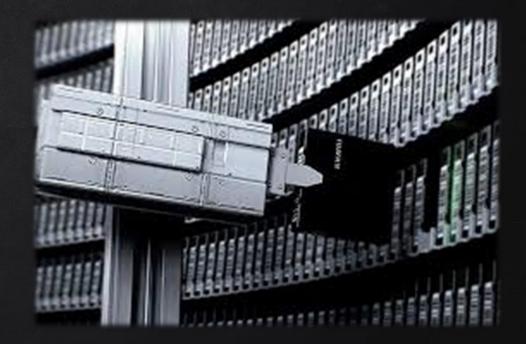✗ Physical

✗ Personnel

✗ Information Security

✗ Preparedness

	LOW	MEDIUM	HIGH
LOW	Minor/marginal impact, some loss; little chance of occurring	Minor/marginal impact, some loss; similar incidents have occurred in past	Minor/marginal impact, some loss; this incident is expected to occur
MEDIUM	Serious/critical impact, significant loss; little chance of occurring	Serious/critical impact, significant loss; similar incidents have occurred in past	Serious/critical impact, significant loss; this incident is expected to occur
HIGH	Catastrophic impact, devastating loss; little chance of occurring	Catastrophic impact, devastating loss; similar incidents have occurred in past	Catastrophic impact, devastating loss; expected to occur

IMPACT OF RISK

Preparedness & Mitigation Measures

✗ On-site protection

✗ Evacuation

✗ Tape backup

✗ Data replication

✗ Mirroring

✗ Dispersal

Records Emergency Action Plan (REAP)

✗ Outlines the information and actions needed to respond to and recover from a records emergency

✗ Purpose is to prevent:
  ○ Loss of records and information
  ○ Costly salvage of records and information
  ○ Delay in restoring critical business functions

Components of the REAP

- ✗ Introduction
- ✗ Policy statement
- ✗ Responsibilities and authorities
- ✗ Communication plan
- ✗ Locations of vital records
- ✗ Records salvage priorities
- ✗ Supplies

- ✗ Vendors and suppliers
- ✗ Facility information
- ✗ Preparedness, response, and recovery procedures
- ✗ Training, testing, and updating

Recovery Options

Do-it-Yourself

✗ Low expense
✗ Endangerment of staff
✗ Endangerment of records
✗ Low item volume

Hire a Vendor

✗ High item volume
✗ Preservation of records
✗ Safety of staff
✗ High expense

WORST CASE SCENARIOS

For records that cannot be salvaged:

✗ Use the template provided by TSLAC

✗ Document the accidental damage/destruction of records that have not met retention.

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Update Documentation Regularly

✗ Procedures and plans
  - Personnel, delegation of authority
  - Lists of hardware and software vendors
  - Equipment and records inventories

Disposition: when it's time to make space

Benefits of Disposition

Promotes:

✗ Cost savings
✗ Faster information retrieval
✗ Use of space
✗ Legal protection

Prevents:

✗ Information overload
✗ Human error
✗ Negative perception from the public

Before Destroying Records

✗ Has the record met the retention period?

✗ Are there any copies?

✗ Is there a destruction hold?

✗ Did I receive internal approval?

✗ Do I have a disposition log?

Ask Yourself...

Elements of a Disposition Log

✗ Record series title

✗ Dates of record

✗ Date of disposal

✗ Volume of records disposed

✗ Disposal method

✗ Approval signatures

Resources

X   **Texas Division of Emergency Management (TDEM)**
  ○   http://www.dps.texas.gov/dem/
  ○   Training and assistance to local governments in emergency planning

X   **Texas Historical Records Advisory Board (THRAB)**
  ○   https://www.tsl.texas.gov/thrab
  ○   Promotes awareness and support for records management and preservation efforts. Assists in procuring funding from National Historical Publications and Records Commission (NHPRC)

X   **Federal Emergency Management Agency**
  ○   http://bit.ly/femacoop
  ○   COOP templates for non–federal entities

Resources

✗ **Texas State Library and Archives Commission**
- ○ http://www.tsl.texas.gov
- ○ Guidance on RIM, EP, laws, etc.

✗ **Bulletin C: Inventorying and Scheduling Records**
- ○ https://bit.ly/BulletinC
- ○ Statutory requirements, methods, worksheets, and appraisal guidance

✗ **dPlan**
- ○ http://dplan.org
- ○ Online disaster-planning tool for cultural and civic institutions

Resources

✗ National Archives and Records Administration
- https://www.archives.gov/records-mgmt/essential-records
- Essential records guidance, points of contact, recovery information, etc.

✗ ARMA International
- https://www.arma.org
- Vital Records and Business Continuity guide (cost associated)

✗ NAGARA
- https://www.nagara.org/
- National Association of Government Archives & Records Administrators

THANKS!

Any questions?

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