Protecting the Ecosystem of Municipal Information:
ECMS Implementation and Security Essentials for Municipal Clerks

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Objectives

Part 1:
- An ECMS in non-technical terms
- Review ECMS types and describe general terms and functions
- The ABC's of an effective ECMS
- Emerging role of an ECM Manager

Part 2:
- Do's and Don'ts of ECM Security
- Paradigm shift from Records Management to Information Governance

Records Management in municipal settings has increasingly evolved to include electronic content management.

What is an ecosystem of municipal information?

- Help sustain the useful life of individual components
- Offer habitat
- Function interdependently
- Provide Resources
- Contribute diversity
- Complete a lifecycle process

Protect the organization from external threats and promote optimal development.
What is an Electronic Content Management System (ECMS)?

If you had to define what an ECMS is in just one sentence, what would you say?

To many people, an electronic content (document) management system is like...

- A variation of that crazy math equation nobody understood in physics class
  \[ E = mc^2 \]
- Like storing records in an "electronic records" heaven.

According to NYS Archives, an ECMS is

- A central technology platform used to capture, manage, store, preserve, and deliver electronic content.
- A central repository for storing electronic records that manages records in many formats.
Why Invest in Developing an ECMS?

- More efficient access to records for the public and staff
- Conduct document searches with greater accuracy
- Reduce paper volume and footprint and storage needs
- Security and records retention
- Applications (i.e., forms) can help automate business processes (i.e., FOILs and HR processes)
- Government service will continue to require that staff and technology provide "more with less."

Basic Types of ECMS

- On-premise/stand alone (i.e., Laserfiche, Onbase)
- Cloud-based (not really in the clouds - i.e., SpringCM)
- Open Source (free to the public, nonproprietary document mgmt software that integrates with Microsoft and other software products - i.e., Nexus)

What is "the Cloud?"

In general, it is a metaphor for information that is stored on some remote servers, but is the business processes from managed services. The cloud model can be used for the cloud. The cloud can be used for the cloud. The cloud can be used for the cloud. The cloud can be used for the cloud.

What is an ECMS "Workflow?"

- A (digital born) flowchart created in an ECMS to automate a business process that involves two or more steps.
- ... how a document gets from a scanned image in to the right subfolder in an ECMS.
Metaphorically speaking, "Workflow" is a process something like...

- a post office mail sorting machine that "reads" zip codes to direct letters to their postal destinations.
- the multi-generational relationships of your family tree that resulted in you!
- the fast and invisible way that gossip gets around everywhere, yet no one knows how it got started.

What about "Metadata?"

In an ECM, metadata is...

- embedded data about authorship and other characteristics in a document
- valuable in e-discovery and forensic investigations
- provides an audit trail of e-documents disposition
- can verify e-records disposition in compliance with the MU-J Schedule

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Metadata is Data about the Data.....

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What is a "web (public) portal?"

- a specialized web page that provides secure access to view, search information.
- An web-based gateway to find information or conduct "electronic" business with a secure group of users (Intranet) or with the public (through the Internet)
An ECMS is a digital house (metaphorically)...  
- ECMS: Building/Structure  
- Repository: Rooms  
- Folders: Paint and floors  
- Subfolders: Furnishings  
- Documents: Household items

The ABC's of An Effective Municipal ECMS

Administered:
- Develop primary folder and subfolder structures
- Create groups and assign users
- Set access rights
- Develop projects
- Create template and workflow processes
- Work with IT to regularly monitor ECMS back ups

How?
- Set policies and procedures for access, use, security and audit and train staff.
- Develop projects that involve staff and are meaningful to departmental functions.
- Demonstrate how the ECMS achieves improved access, reduced footprint and better security.

Examples of ECMS Folder Structures
The ABCs of An Effective Municipal ECMS

Beneficial:
- Roll out to departments that have most capability to use at first
- Choose projects that will benefit the most staff
- Access hiring a records clerk vs. dept. scanners
- Develop/Achieve measurable project goals to demonstrate the success of the ECMS

How?
- As RMQ, determine ECMS annual cost and staff needs to prepare a budget that will fund and achieve a quantifiable annual goal.
- Provide training and in house Support Services (Designate an ECMS Administrator) to assist new users.
- Teach staff about the MIU-1 Schedule and what documents apply to their departments.
The ABC’s of An Effective Municipal ECMS

Controlled:
- the MU-1 Schedule best determines the life cycle of a municipal record in most cases.
- the folder structure sets the foundation of the ECMS
- develop good template (search) parameters.

How?
- Don’t scan paper records that are close to the end of their retention period.
- Use the MU-1 Schedule as a guide in creating an ECMS folder structure.
- A Records Mgmt. module can apply retention periods to scanned records for added security.

Secure:
- Cyberattacks and security breaches are increasing in the municipal world.
- The paradigm of ECMS security is the opposite of what most RMOS think.
- Part 2 of this workshop will discuss in greater detail.

How?
- Policies should include user and admin rules, security and audit measures, staff training, breach response, back up requirements among other areas as needed.
- Users and Groups receive rights starting from least (restricted) to full based on need approved by RMQ and Electronic Content Manager or ECMS Administrator.

Emerging Role of the Electronic Content Manager

ELECTRONIC RECORDS MANAGER DUTIES
- Develop, implement and revise strategies for efficient content management and use.
- Develop a records management system that ensures the retention, preservation, and use of records.
- Establish policies and procedures that promote and ensure the proper management of electronic records.
- Identify, inventory, and evaluate records, including electronic records.
- Ensure compliance with information management and records retention policies and procedures.
- Provide training and guidance to employees on the proper management of electronic records.
- Develop and implement strategies for the efficient and effective use of electronic records.
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The Value of an Effective ECMS

- Municipal records are digitally accessible yet secure from most breaches and maintained for their required retention periods.
- Electronic records are accurately filed and more easily retrieved for municipal needs.
- Availability of metadata tracks data creation and disposition to possibly reduce risk of municipal e-abuse and legal liability.
- ECMS add-ons like Forms and public portals improve records access and can automate some business processes to better serve constituents.

Part 2: ECMS Security Essentials

Part 1: Q & A

If your municipality has an ECMS, what did you learn that might enhance it?

If your municipality doesn't, what did you learn to discuss implementing one?

- Do's and Don'ts of ECMS
- Software and Hardware Security
- The Paradigm Shift from Records Management to Information Governance for Municipal Clerks