



City of Middletown
Records Management Commission
Minutes of April 21, 2016 Meeting

Present: Linda Bettencourt (LB), City & Town Clerk (Chair); Brig Smith (BrS), General Counsel; Eldon Bailey (EB), Acting IT Director; George Dunn (GD), Director of Emergency Management; Chris Holden (CH), Deputy Director, Public Works; Tayna Oliver-Perry (TOP), Assistant Director of Finance; Sylvia Morello (SM), Program Budget Analyst, Finance Department.

Absent: Joe Samolis, Chief of Staff; Bill Russo, Director of Public Works; Pat Tully, Secretary to the Commission.

1. Chair called the meeting to order at 1:07 pm.
2. **Approval of Feb 17 2016 minutes:** (Met in March, but no quorum.) CH made the motion, BrS seconded it. The Commission voted to approve with no amendments.
3. **Public Comments:** There were no members of the public present.
4. **Old Business:**

Review of existing documents distributed at February meeting:

a. Essential Records Management

GD: Has everyone had an opportunity to review? Feedback would be welcome. Review of 'Essential Records Management' document first. The content has been adapted to meet the City's needs.

BrS: 'Essential' looks good, if date on cover changed (now September 11, 2004).

LB: 'Essential' makes the steps very clear and easy to understand for Directors and others who will be developing plans for their departments.

GD: If anyone doesn't understand elements of 'Essential,' let GD know and he will clarify. He wants the plan and objectives to be very clear to the Directors. Multiple (at least 3) presentations will be based on this document.

TOP: 'Essentials' seems fine. When will we go to the Directors with this?

GD: Let's review the documents first, then talk about the meeting LB and I had with Prime. Once Eldon is able to prepare his department for the project, then the Commission can work on the timeline. Preferably as soon as possible, but most likely to be spread out over 3 months. The Directors must have a good understanding of the project—it is not rocket science, but the objective--to quickly get essential operations up and running after a disaster—must be understood by the Directors.

CH: At the February meeting we did make a few changes to 'Essential'. On page 3, we changed 'vital records' to 'essential records,' on page 6 we added 'social media' to 'website & e-mail. GD will make changes to the electronic version of the document.

LB: There are three other documents: 1) Continuity of Operations (COOP) Plan – Mayor Daniel T. Drew; 2) FEMA Essential Records Plan Packet Template; 3) Continuity of Operations Plan – Emergency Management – February 17, 2016.

b. GD: The FEMA template is just informational.

c. GD: Let's review the 'Continuity of Operations (COOP) Plan – Mayor Daniel T. Drew':

- This document describes what's required from the Mayor's Office for the City to operate; has to be by ordinance or charter, then develop the day-to-day stuff. Mayor's office will have to implement it after Departments create their plans. Not top-down; but bottom-up.
- EB will add City seal to the document, when LB emails it to him.

EB: There should be on the server a central folder for the Commission with official copies of the documents. While the Commission is revising the documents they will only be accessible to them; once they are in final form Directors will have access as well. While the Commission is revising them, we can track suggested revisions and who made them via Word's Track Changes function.

- LB: To clarify, this document isn't for Directors to finalize, just present to in final form.
- LB: Will EB add Pat Tully's current email to Commission list, with permission to access documents in the folder? EB: Yes.
- LB: Mayor T. Drew packet: This is an affirmation of the plan for the City? GD: Yes.

d. GD: Next document: Continuity of Operations – Emergency Management, February 17, 2016. About 50 pages long.

- GD: Working document for the Directors – it contains detailed directions. We're giving them this document, but Directors will determine how to create the COOP plan for their department in a way that works best for them, in order to meet the

objective—to quickly resume essential operations in the event of a disaster or other emergency.

- EB: This document can also be revised in Word.
- LB: Format is good, very step-by-step. It is descriptive.
- GD: There is information in there that Directors won't absolutely need, but it is the non-Federal version of the document used at the Federal level.
- LB: Presentation to the Directors, will we need to go through entire document? How can we prevent overwhelming them?
- GD: Presentation will be of 'Essential' document. After that, other documents will be handed out. The Commission is accountable for the completion of the process, but Directors are accountable for completing a COOP plan for their department. We need to make that clear to them.
- TOP: Will this process need to go to Council for their approval? GD: No, just the Mayor.

LB will forward the Continuity of Operations (COOP) Plan Template on to everyone and distribute it at the next meeting.

GD: Will send the revision to LB before distribution to the Commission.

LB: 1-2 more meetings to get presentation for Directors together? GD: yes.

Review of 'Essential Records Management' document and presentation:

GD: Defining 'Essential Records' – what is essential to operation? Also, what legal documents are needed?

LB: State Library training was very useful in clarifying what are essential records: What is essential for you to walk in and get your department up and running? Make a list. Simplify the terminology, make it straightforward and clear what the objective is.

GD: We're asking them to put together their records so their department will quickly be operational if their offices are not accessible. (This happened to Finance several years ago when the office was fire-bombed.) Sometimes you don't realize you're missing an essential document until months later, so it is best to have the plan beforehand. It is not just a matter of doing the job, but re-creating all the administrative infrastructure to get people paid and operations managed.

BrS: Getting buy-in will be important, by the Mayor and the Directors.

GD: They need to buy into this, so the mayor isn't in the difficult position of having to insist to the Directors that they complete their plan. We're looking at three training sessions. It will be essential to set up a time frame for Directors to do this.

TOP: Will it be mandatory for Directors to attend the training?

LB: Yes; we can present at the monthly Director's meeting and require Directors to be there. When Directors have questions, GD and LB will answer them so consistent answers are given, and to recognize when there are common questions and concerns that can be addressed in regular updates via email to Directors.

GD: We should have a general notice process so we can send updates. Since some Directors may assign responsibility for developing the plan to someone else in their department, can we include these designees in the list of Directors who receive updates?

LB: Directors should do develop the plan or designate someone in their department to be responsible, from the beginning, so designees can attend the presentation and the training. Director is ultimately accountable for their COOP plan, so they should attend as well.

GD: We can present/train in the Council Chamber. Before then we should announce the project to Directors to give them a heads-up.

LB: Moves to review document at the next meeting. BrS seconds the motion. The motion is approved.

Current backups:

EB: Good progress with backup routines, preliminary and minimal. Two brand new back up appliances, backing up data (only data) routinely. There is a lot of data being stored on City servers, that it is becoming difficult to manage backups and replicate them. It takes a long time to do so. EB is looking at ways of backing up data that will be more efficient, including backing up at host level. The next phase will be a better solution to minimize downtime – a system so that if a virtual machine fails, there is a replicate machine to take over. The data backups are being stored off-site.

EB: Two challenges: We are currently running CITRIX, which doesn't support these initiatives. One possibility is to change the way we create virtual machines, or use a different product. If we have to change all virtual machines, it would take a while. And it would cost money to license all the machines. With the right resources, this could happen within a year, but it is hard to say.

LB: EB, if you had everything you needed, how long would it take to get everything backed up off-site?

EB: It depends on the backup level: Would need additional infrastructure as well – hardware and software.

LB: I need a detailed estimate of what would be needed to do this—in time, staffing (including any consultants needed), machines and other costs. EB: It will take time to put together.

LB: We need this in order to go to the Council and Mayor and make the case to them to provide the funds.

LB has to leave the meeting at 1:52pm. GD takes over.

5. New Business:

Meeting with Prime:

GD: With LB, Joe Samolis, woman from Prime (Cindy), conferencing Jeff and other executives. Prime works with other companies on their COOP plans, as part of developing workflows. They are developing workflows for the General Counsel's Office; we want to be sure that these processes run parallel with the COOP plans City departments develop.

Prime will send us a document, to outline what they are developing for the General Counsel's Office, and what they could do for other City departments. There will be two liaisons from the City to Prime, to ensure that our plans complement and do not clash with one another. There are political implications, since developing these workflows may cost a significant amount of money, probably bonded money.

The money it will cost to provide more secure backups will also have political implications – we should make sure all of this is consistent and efficient.

EB: We may not need Prime for the backup process.

GD: Maybe not; they just need to run parallel. But when all this is presented to the Council and the Mayor, they need to know that we've coordinated it all, and Directors need to know this as well.

GD: The conversation was just the first of others we will have with Prime.

BrS or CH: Are we considering asking Prime to develop workflows for every City department? GD: No.

BrS or CH: Asking Prime to do this could be very expensive. But we do need a City-wide workflow to digitize and store things electronically. Will Prime help us with that?

GD: Yet to be seen – if so Prime would coordinate, not develop the workflows.

BrS or CH: Prime has experience with records retention--can they provide assistance, oversight for our process development?

GD: Our discussion at this meeting was extremely basic. The question is not just about records retention, but continuity. Spoke with LB, and this is not going to be a quick process. Especially if money has to be bonded (it probably will be). But since we need to go forward, we want to be sure that Prime doesn't come up with a process that clashes with the one we come up with. Prime agreed with this, and to provide an outline of their process.

GD: It was a good meeting with PRIME. Two separate projects; we need to sister them. Prime has a good tool to work with. May learn from what's been done with the General Counsel's Office.

EB: Everyone assumes that things are simple, but looking at each step can get very complicated. Time-consuming! The workflow review will benefit all departments, once it is done.

GD: With the financial and political implications – can we get it done? We'll keep moving and continue to talk to Prime.

6. **Adjournment:** BrS makes the motion to adjourn; CH seconds. Meeting adjourned at 2:07pm.