RESOLUTION NO. 20130523-073

WHEREAS, efficient, enterprise-wide records management is an integral component of a best managed city; and

WHEREAS, technical solutions and coordinated planning may improve the efficiency of records management and provide a cost effective means to achieving that function; and

WHEREAS, the City Clerk has developed a 10-Step Records Management Program, described in Exhibit A, that guides each city department in implementing a records management program that is customized to meet departmental needs but that achieves a basic level of city-wide standardization and accountability; and

WHEREAS, the Citywide Records Management and Retention Audit (AU12109), August 2012, by the City Auditor found that the City Clerk's 10-step program adheres to industry best practices; and

WHEREAS, support that is needed to progress through the Clerk's 10-Step Program is greater than the support necessary for the sustained, ongoing management of records once all 10-steps have been completed; and

WHEREAS, continued efforts are necessary to ensure that City of Austin becomes a leader in best practices for the management of municipal records and information; and

WHEREAS, oversight, monitoring and accountability are necessary to ensure continued progress in implementing the 10-Step Program throughout the city; **NOW, THEREFORE,**

BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF AUSTIN:

The City Manager and the City Clerk are directed to work jointly to develop a timeline and a plan for resource and staffing that will result in substantial completion of the 10-Step Records Management Program for each city department.
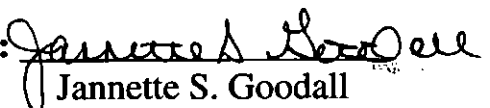
BE IT FURTHER RESOLVED:

The City Manager and the City Clerk are directed to report to the City Council on the timeline and plan for all city departments by July 1, 2013 and to integrate the resource and staffing plan into the proposed FY14 budget to be presented to City Council in August 2013.

BE IT FURTHER RESOLVED:

The City Manager and the City Clerk are directed to provide a mid-year status report on progress on the 10-Step Program in each department, by May 1 of each year, and to identify resource and staffing needs as well as any necessary adjustments to the timeline in the annual financial forecasts.

ADOPTED: _____May 23_____, 2013   **ATTEST:** Jannette S. Goodall

Jannette S. Goodall
City Clerk

10 Steps to Creating a Records Management Program

Pursuant to the City Code, the Records Management Officer (RMO) is responsible for developing, implementing and administering a city-wide records management program that must:
- Reduce the cost and improve the efficiency of record-keeping
- Establish eligibility criteria for microfilming or electronic storage of records
- Provide microfilming or electronic storage of records in compliance with state law
- Provide adequate protection of essential records of the city
- Preserve city records of historical value

To accomplish this task, the Office of the City Clerk has identified ten steps to facilitate the establishment of a Departmental records management program.

1) **Establish a Records Management Team (RMT)**
   Purpose: establish a network of experts on the Department's records. The Records Administrator (RA) is the chairperson of the team. The membership of the team should represent all locations in which departmental records are located and not consist entirely of support or clerical staff.

2) **Conduct and Complete a Records Inventory**
   Purpose: identify all City records including information located in empty offices, closets, warehouses, storage sheds, and any other areas where records may have been "stashed".

3) **Review and Approve a Records Control Schedule**
   Purpose: develop a customized Records Control Schedule that meets the City's legal and financial requirements, and the business needs of the Department.

4) **Apply Corporate Criteria for Managing Records**
   Purpose: to identify the most appropriate and cost effective format to retain records and to purge those records eligible for destruction.

5) **Develop Records Management Procedures**
   Purpose: to evaluate current practices and develop consistent procedures for staff to follow on how the Department's records are managed.

6) **Implement the Records Management Program and Procedures**
   Purpose: to ensure the Standard Operating Procedures are implemented, reviewed, and updated on a regular basis.

7) **Create a Disaster Plan**
   Purpose: document existing practices that protect vital records and identify additional measures needed.

8) **Records Management Training**
   Purpose: ensure existing staff and new employees receive adequate training and guidance on managing and protecting the Department's records.

9) **Maintain the Records Management Program**
   Purpose: ensure evolving departmental changes are reflected and addressed. This requires an annual review of the department's Records Management Program and Standard Operating Procedures.

10) **Audit the Records Management Program**
    Purpose: ensure consistent practices, outlined in Step 5, are followed and identify future needs for budgeting purposes.

STEP 1: ESTABLISH A RECORDS MANAGEMENT TEAM

The Department Director is required by the Municipal Code to appoint a senior level manager as the Department's RA to oversee the implementation of the records management program. The RA has the authority to appoint RLO(s) and RC(s) to help implement the records management program.

Purpose: establish a network of experts on the Department's records. The RA is the chairperson of the team. The membership of the team should represent all locations in which departmental records are located and not consist entirely of support or clerical staff.
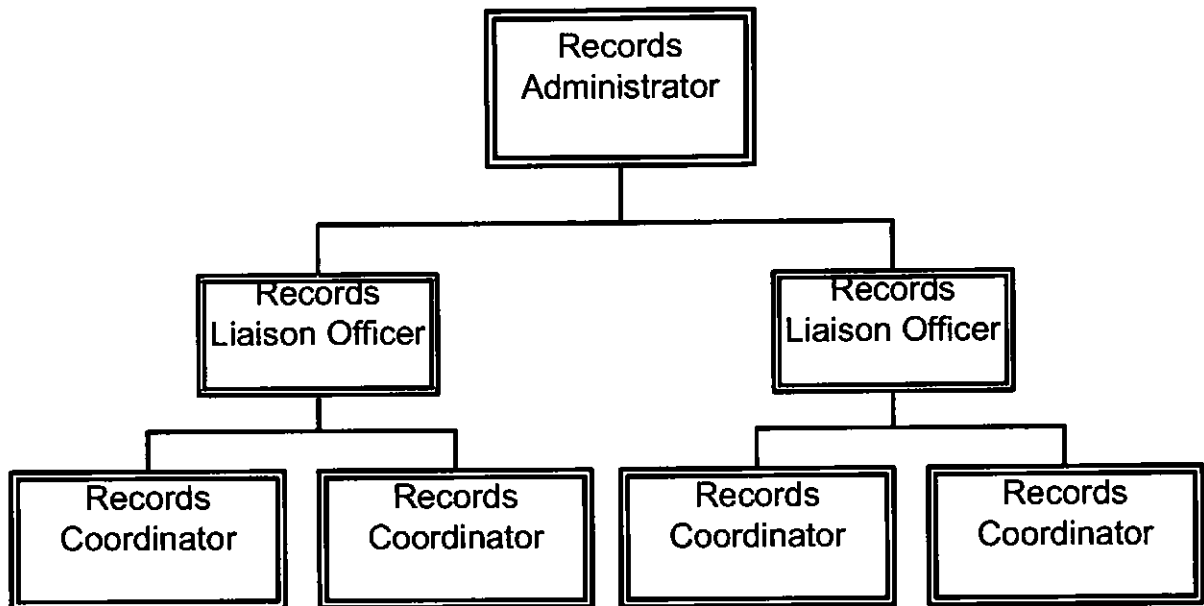
Deliverable: RMT member list

Name of Department: _____

Records Administrator Signature: _____

STEP 1 CHECKLIST

	Task	Status
1.1	Department Director appoints the RA, the RA appoints the RLO and the RLO's appoint the RC. Together the RA, RLO's and RC's comprise the RMT. (See organizational chart below.)	
1.2	RA submits a list of the RMT members to RMS.	
1.3	RMS is available to meet to discuss checklists, the current status of the department and steps for moving forward.	
1.4	RA incorporates records management responsibilities into the Success Strategy Performance Review (SSPR) of the RLO(s) and RC(s).	
1.5	RMT members complete the "Basic Records Management and Your Responsibilities" training session provided by RMS. RMS can provide a list of names and dates showing which staff members have completed training sessions. Upon request RMS can provide updated training rosters to the RA.	
1.6	RMT meets regularly as scheduled by the RA. RMS should be included until the records management program is implemented.	
1.7	RA, RLO and RMS conducts a walk-through of each location and documents their findings on the Location Walk-Through Survey Form provided by RMS.	
1.8	RMS submits a summary report of the walk-through to the RA, listing the good and/or bad conditions of each location, making suggestions for corrective action. The RA is responsible for prioritizing the order for inventories to be done.	
1.9	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	

RA = Records Administrator; RC = Records Coordinator; RLO = Records Liaison Officer; RMC = Records Management Committee; RMO = City Records Management Officer; RMS = Records Management Services; RMT = Department's Records Management Team

Records Management Team Organizational Chart

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                    ┌─────────────────┐
                    │    Records      │
                    │  Administrator  │
                    └────────┬────────┘
              ┌──────────────┴──────────────┐
     ┌────────┴────────┐           ┌────────┴────────┐
     │    Records      │           │    Records      │
     │ Liaison Officer │           │ Liaison Officer │
     └────────┬────────┘           └────────┬────────┘
       ┌──────┴──────┐               ┌──────┴──────┐
  ┌────┴────┐  ┌─────┴───┐      ┌────┴────┐  ┌─────┴───┐
  │ Records │  │ Records │      │ Records │  │ Records │
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RA = Records Administrator; RC = Records Coordinator; RLO = Records Liaison Officer; RMC = Records Management Committee; RMO = City Records Management Officer; RMS = Records Management Services; RMT = Department's Records Management Team

STEP 2: CONDUCT AND COMPLETE A RECORDS INVENTORY

Pursuant to the Municipal Code, the RA is required to submit a records inventory to the RMO. The RLO and RC are responsible for verifying the accuracy, content, and completeness of the inventory.

Purpose: identify all City records including information located in empty offices, closets, warehouses, storage sheds, and any other areas where records may have been "stashed".

Deliverable: Completed Records Inventory

Name of Department:

Records Administrator Signature:

STEP 2 CHECKLIST

	Task	Status
2.1	RMT members complete the "Conducting Records Inventories" training session provided by RMS. RMS can provide a list of names and dates showing which staff members have completed training sessions. Upon request RMS can provide updated training rosters to the RA.	
2.2	RLO and/or RC complete a Records Inventory Worksheet provided by RMS for each records series within the division.	
2.3	RLO and/or RC enter the data from the Records Inventory Worksheets into the Inventory Report Spreadsheet provided by RMS.	
2.4	RLO reviews the Inventory Report Spreadsheet for accuracy and completeness and submits the report to the RA.	
2.5	RA completes the final review of the Inventory Report Spreadsheet and submits it to RMS.	
2.6	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	

RA = Records Administrator; RC = Records Coordinator; RLO = Records Liaison Officer; RMC = Records Management Committee; RMO = City Records Management Officer; RMS = Records Management Services; RMT = Department's Records Management Team

STEP 3: REVIEW AND APPROVE THE DEPARTMENTAL RECORDS CONTROL SCHEDULE

RMS is responsible for taking the completed Inventory Report Spreadsheet and converting it into a Records Control Schedule to be reviewed and approved by the Department. The RMC is responsible for reviewing and approving each Records Control Schedule submitted by RMS. The schedule is then submitted to the Texas State Library for comment and approval.

Purpose: develop a customized Records Control Schedule that meets the City's legal and financial requirements, and the business needs of the Department.

Deliverable: Approved Records Control Schedule

Name of Department: _____

Records Administrator Signature: _____

STEP 3 CHECKLIST

	Task	Status
3.1	RMS submits the draft Records Control Schedule to the RA.	
3.2	RMT members complete the "Reviewing Your Records Control Schedule" training session. This session can be scheduled for departments during a RMT meeting.	
3.3	RMT reviews the draft schedule at a regular meeting chaired by the RA.	
3.4	RMT identifies records that are potentially vital and/or historical to the individual divisions or offices within the Department using the guidelines provided by RMS during the training session.	
3.5	RA submits changes and/or corrections to the Records Control Schedule to RMS.	
3.6	RA approves the final draft schedule by notifying RMS that the Department is ready for the schedule to be submitted to the RMC.	
3.7	The RA receives a copy of the Texas State Library approved Records Control Schedule from RMS and distributes to the RMT.	
3.8	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	

RA = Records Administrator; RC = Records Coordinator; RLO = Records Liaison Officer; RMC = Records Management Committee; RMO = City Records Management Officer; RMS = Records Management Services; RMT = Department's Records Management Team

STEP 4: APPLY CORPORATE CRITERIA TO THE MANAGEMENT OF RECORDS

The Municipal Code requires reducing the cost of records management and improving the efficiency of record-keeping. The City has established criteria for the microfilming or electronic storage of City records.

Purpose: identify the most appropriate and cost effective format to retain records and purge those records eligible for destruction.

Deliverable: List of Vital Records

Name of Department: _____

Records Administrator Signature: _____

STEP 4 CHECKLIST

	Task	Status
4.1	RMT members complete the training sessions, "Applying Corporate Criteria" and "Vital Records Identification and Preservation". The "Applying Corporate Criteria" class may be scheduled during a departmental RMT meeting.	
4.2	RMT (with assistance from RMS) evaluates the existing format(s), applying the corporate criteria and makes recommendations for changes using the guidelines provided by RMS during the training session.	
4.3	RMT reviews the Records Control Schedule to identify which records are eligible for disposition and completes the disposition log provided by RMS	
4.4	RA reviews and approves all requests to dispose of city records. This includes both requests received from the Records Center and requests to dispose of departmental records stored on-site.	
4.5	RMT members coordinate the disposition of the records stored on-site.	
4.6	RMT develops a complete Vital Records List for each division or office	
4.7	RMT documents the protection methods currently in place, methods which can be implemented with existing resources, and additional resources needed to protect all the Department's vital records.	
4.8	RA includes the required resources in the Department's forecast for the next fiscal year	
4.9	RA forwards a copy of the Vital Records List to RMS	
4.10	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	

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STEP 5: DEVELOP RECORDS MANAGEMENT PROCEDURES

The RA is responsible for including records management requirements in departmental policies and procedures. The RLO and RC are responsible for reviewing the Department's record keeping practices, and identifying those requiring improvement to increase efficiency and achieve compliance.

Purpose: evaluate current practices and develop consistent procedures for staff to follow on how the Department's records are managed. Standard Operating Procedures should document how the records are organized and maintained, who is responsible for maintaining them, when the records are to be purged and under whose authority, and how the Department manages their records that are part of an audit, litigation, or open records request.

Deliverable: Written Records Management Procedures

Name of Department: _____

Records Administrator Signature: _____

STEP 5 CHECKLIST

	Task	Status
5.1	RMT members complete the training sessions, "Developing Standard Operating Procedures" and "Files Management". The training sessions will be provided by RMS. RMS can provide a list of names and dates showing which staff members have completed training sessions. Upon request RMS can provide updated training rosters to the RA.	
5.2	RMT develops the required Standard Operating Procedures.	
5.3	RMT reviews the proposed Standard Operating Procedures.	
5.4	RA approves the Standard Operating Procedures	
5.5	RMT identifies any additional resources needed to implement the required procedures.	
5.6	RMT identifies staff members responsible for managing departmental records who will require training.	
5.7	RA includes the required resources in the Department's forecast for the next fiscal year.	
5.8	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	

STEP 6: IMPLEMENTATION OF THE RECORDS MANAGEMENT PROGRAM AND PROCEDURES

The RA is responsible for ensuring the maintenance of the Department's records including the preservation, microfilming, electronic storage, destruction, and other disposition. The RA and the RLO are responsible for implementing the Records Control Schedule.

Purpose: ensure the standard procedures are implemented, reviewed, and updated on a regular basis.

Deliverable: Completed Records Management Manual

Name of Department: _____

Records Administrator Signature: _____

STEP 6 CHECKLIST

	Task	Status
6.1	RMT distributes a copy of the Records Control Schedule to the staff identified in Step 5.	
6.2	RMT members and records staff identified in Step 5 complete the training session "Using Your Records Control Schedule" provided by RMS during a regular RMT meeting.	
6.3	RMT distributes a copy of the procedures to records staff members. RA posts the Records Control Schedule, procedures, forms, and Department's Records Management Manual on the Department's intranet site if one is available.	
6.4	RMT (with assistance from RMS) develops and conducts a training session on departmental records procedures. The training will be provided by the RMT to departmental staff.	
6.5	RMT develops and distributes a Records Management Manual to required staff. May include: • Contact list of the RMT and RMS Staff • Records inventory • Records control schedule • Procedures • Disaster preparedness plan when completed • Records management forms The manual may be in paper or electronic format. The recommended format is electronic.	
6.6	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	

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STEP 7: CREATE A DISASTER PREPAREDNESS PLAN

The records management program must protect the Department's vital records. The RA is responsible for establishing a Disaster Plan.

Purpose: document existing practices that protect vital records and identify additional measures needed. Staff should be trained on their roles and responsibilities before, during, and following a disaster.

Deliverable: Records Disaster Plan

Name of Department: _____

Records Administrator Signature: _____

STEP 7 CHECKLIST

	Task	Status
7.1	RMT members complete the "Disaster Planning for Records" session provided by RMS. RMS can provide a list of names and dates showing which staff members have completed the training session. Upon request RMS can provide updated training rosters to the RA.	
7.2	RMT reviews and updates the Vital Records List and forwards to RMS.	
7.3	RMT develops a Disaster Plan according to the template provided by RMS.	
7.4	RA approves the final Disaster Plan.	
7.5	RMT identifies which portions of the Disaster Plan can be implemented with existing resources and identifies additional resources needed to implement the entire plan.	
7.6	RA includes the required resources in the Department's forecast for the next fiscal year.	
7.7	RMT distributes the Disaster Plan to all disaster team members identified in the plan	
7.8	RMT (with RMS assistance) develops and conducts training on Implementing the Disaster Plan for the disaster team members.	
7.9	RA forwards a copy of the Disaster Plan and forecast to RMS.	
7.10	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	

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STEP 8: RECORDS MANAGEMENT TRAINING

The RA is responsible for ensuring the RMT has adequate time and resources to fulfill their records management responsibilities. Part of that responsibility includes ensuring staff are adequately trained.

Purpose: ensure existing staff and new employees receive adequate training and guidance on managing and protecting the Department's records.

Name of Department: _____

Records Administrator Signature: _____

STEP 8 CHECKLIST

	Task	Status
8.1	RA ensures members of the RMT have completed all of the required courses identified in the 10-Step Checklists. RMS can provide a list of names and dates showing which staff members have completed training sessions. Upon request RMS can provide updated training rosters to the RA.	
8.2	RA ensures all new members of the RMT complete the required training and maintains a list of completed trainings.	
8.3	RMT ensures all new employees that are responsible for managing records are trained on the appropriate standard operating procedures and Disaster Plan.	
8.4	RMT identifies ongoing training needs.	
8.5	RA coordinates with RMS for any additional customized training needed.	
8.6	RMT coordinates and schedules training sessions as required.	
8.7	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	

RA = Records Administrator; RC = Records Coordinator; RLO = Records Liaison Officer; RMC = Records Management Committee; RMO = City Records Management Officer; RMS = Records Management Services; RMT = Department's Records Management Team

STEP 9: MAINTENANCE OF THE RECORD MANAGEMENT PROGRAM

The RA is responsible for overseeing the records management program including the annual review of the program to ensure it meets the Department's needs as requirements and technology change.

Purpose: ensure evolving departmental changes are reflected and addressed. This requires an annual review of the department's records management program and standard operating procedures.
Name of Department: _____

Records Administrator Signature: _____

STEP 9 CHECKLIST

	Task	Status
9.1	RMT notifies the RA of necessary changes or additions to the Records Control Schedule.	
9.2	RA annually reviews and updates the following: • Records Control Schedule • Standard Operating Procedures • Vital Records List • Historical Records • Disaster Plan • Records Management Manual	
9.3	RMT distributes and trains all records staff members on revisions made to above documents.	
9.4	RA forwards a copy of the revised documents to RMS. RA notifies RMS when review is complete if there are no revisions.	
9.5	RMT annually reviews the records management budget to ensure necessary resources are available.	
9.6	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	

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STEP 10: AUDIT AND COMPLIANCE

The RA is responsible for assisting RMS in producing an annual report to the City Manager on the implementation of the Department's records management program. The RLO(s) and RC(s) are responsible for reviewing the Department's record keeping practices for compliance with the records management program, identifying practices which require improvement to increase efficiency, implementing corrective actions for program compliance, and reporting any noncompliance with the records management program to the RA.

Purpose: ensure consistent practices, as outlined in Step 5, are being followed and identify future needs for budgeting purposes.

Name of Department: _____

Records Administrator Signature: _____

STEP 10 CHECKLIST

	Task	Status
10.1	RMS conducts an annual audit of records management practices. The audit should be coordinated and scheduled with the RA.	
10.2	RMS provides an Audit report to the RA.	
10.3	RMT reviews the report and identifies additional resources and action items needed to address audit findings.	
10.4	RA sends RMS, the RMT responses and recommendations to the audit findings.	
10.5	RA incorporates the action items from the Audit Report into the Records Management Program.	
10.6	RA includes the required resources in the Department's forecast for the next fiscal year	
10.7	RA sends copy of checklist to RMS by October 15 of each year with completed items and the status of those in progress.	