



## MEMORANDUM

TO: Mayor and Council

FROM: Jannette Goodall, City Clerk

DATE: May 1, 2014

SUBJECT: Mid-Year Records Management 10-Steps Status Update

In 2007, the City of Austin launched the 10-Step Program, which is designed to guide departments step-by-step to achieve compliance with best practices for records management. The Program includes checklists, deliverables, and specific tasks to be completed for each step, and requires departments to annually evaluate and report their progress. Seven deliverables are identified in the program and each year the Office of the City Clerk tracks the number of deliverables that have been submitted.

In August 2012, the City Auditor presented the findings of the Citywide Records Management and Retention Audit. The objective of the audit was to review records management and retention policies and procedures across the City for effectiveness and compliance. In summary, the audit concluded that while the City has a records management program that adheres to best practices, the program is not consistently implemented across all City departments.

In May 2013, Council Resolution 20130523-073 directed the City Manager and the City Clerk 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." The resolution further directed the City Manager and the City Clerk 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."

In compliance with the reporting requirement, this Mid-Year Records Management 10-Steps Status Update" is provided to the City Council.

In response to Resolution 20130523-073, the City Clerk and City Manager proposed a multi-year, two-phased approach for implementing best practices for records management throughout the City. Phase 1 addressed the acceleration and completion of the 10-Step program within all City departments, to lay a solid foundation of records management best practices. Phase 2 of the plan addressed the expansion of records governance into the areas of digital records including enterprise systems, databases, and electronic files.

The City Clerk and the City Manager recommended the creation of a *Records and Information Management (RIM) Task Force*; a dedicated team of records management professionals to work with

selected City departments to assist them in completing Steps 1 through Step 4 of the current 10-Step Program by the end of FY2014. This includes:

- Step 1: Establishing a departmental Records Management Team.  
Deliverable: Records Management Team formed and a current list of team members filed annually with the Clerk's Office.
- Step 2: Conducting a records inventory.  
Deliverable: Completed inventory of departmental records filed with the Clerk's Office.
- Step 3: Creating and approving a Records Control Schedule.  
Deliverable: Completion of an approved departmental Records Control Schedule.
- Step 4: Application of corporate criteria for managing records and identification of records considered vital for business continuity in an emergency.  
Deliverable: List of vital records – information that would be required to restore department operations in the event of an interruption or emergency – filed with the Clerk's Office.

These steps are by far the most critical and labor-intensive of the Program and lay the foundation for the remainder of the steps. With focused attention and support from a Task Force on completion of these steps, departments are well positioned to complete the remainder of the program on their own, with routine guidance, consultation, and support from OCC.

## Staffing

At the start of FY2014, the City Clerk's Office had 3.5 FTEs actively working with departments on completion of the 10-Step Program. A staff retirement in January 2014 reduced this number to 2.5 FTEs.

The OCC requested and was granted three new staff members (2.5 FTE) including one new job title to form the RIM Task Force.

- One Corporate Records Analyst Senior (A new position responsible for coordinating the RIM Task Force),
- One part-time Corporate Records Analyst, and
- One full-time Department Records Analyst.

Working with the Human Resources Department, the position descriptions for the Records Analyst and Corporate Records Analyst were updated to standardize education and experience requirements, and well as show a clear career progression from Records Analyst, Corporate Records Analyst, and Corporate Records Analyst Senior. Due to this effort, as well as space constraints within the City Clerk's Office, filling several of the vacancies were delayed.

- The Corporate Records Analyst Sr. position was filled 11/20/2013
- One Corporate Records Analyst position was filled 3/10/2014 and the second vacancy was filled 4/7/2014

- The Records Analyst position was filled 4/21/2014
- In addition, a student intern was brought on board January through May 2014 to assist with the 10-Steps Task Force

Lack of space has forced OCC to leave the 0.5 FTE Corporate Records Analyst vacant. A planned reconfiguration of the cubicles in the Clerk's Office will create space for this position. However, other priorities (such as maintenance of Council District data, expanded requirements for electronic filing of financial forms, and other records and digital asset management-related projects) we have identified a Critical Need for a Research Analyst and have recommend that the 0.5 FTE Corporate Records Analyst be reclassified and made a full-time Research Analyst.

## Departmental Prioritization

At the beginning of FY2014 the OCC divided City departments into four groups based on the degree of support required to complete Steps 1 through Step 4 of the current 10-Step Program. Four departments (Capital Planning Office, Labor Relations, Community Court, and Office of Medical Director) not previously included in the 10-Step program have been added, for a total of 45 City departments.

### Group 1

These are departments that need targeted assistance and would be the primary focus of the RIM Task Force. Group 1 departments are large in size and have complex recordkeeping and retention requirements. They do not currently have dedicated records management staff or need assistance completing their records inventories.

- |                                    |   |
|------------------------------------|---|
| • Austin Fire Department           | • Emergency Medical Services                |
| • Austin Police Department         | • Human Resources Department                |
| • Austin Transportation Department | • Labor Relations                           |
| • Building Services Department     | • Parks and Recreation Department           |
| • Capital Planning Office          | • Small and Minority Business Resources     |
| • Convention Center                | • Telecommunications and Regulatory Affairs |

### Group 2

These departments currently have full-time Records Analyst positions or dedicated staff assigned to records management duties. While they may receive some attention from the RIM Task Force, the expectation is that they will continue moving forward with completion of the Program on their own, with routine guidance, consultation, and support from existing OCC staff.

- Austin Energy
- City Manager's Office
- Communications and Public Information Office
- Economic Development Department
- Financial Services Department - Budget
- Financial Services Department – Controller
- Health and Human Services Department
- Neighborhood Housing and Community Development
- Planning and Development Review
- Sustainability Office

### Group 3

These departments are the primary focus of the existing OCC records management staff. These departments are further along in the program or smaller in size and/or complexity.

- Austin Resource Recovery
- Austin Water Utility
- Communications and Technology Management
- Community Court
- Government Relations
- Municipal Court
- Office of Homeland Security and Emergency Management
- Office of Medical Director
- Office of the City Auditor
- Office of the Police Monitor
- Public Works Department

### Group 4

These departments have completed and submitted the deliverables for Steps 1 through 4 and are working with the Clerk's Office on the more advanced components of their Records and Information Management Programs.

- Austin Public Library
- Aviation Department
- Code Compliance Department
- Contract Management Department
- Financial Services Department - Purchasing
- Financial Services Department - Treasury
- Fleet Services
- Law Department
- Office of Real Estate Services
- Office of the City Clerk (includes Mayor and City Council)
- Watershed Protection Department

The Task Force lead held meetings with the Executive Sponsors and Records Administrators of all Group 1 departments to establish plans for making progress on the 10-Step Program. City Clerk staff conducted similar meeting with the Records Management Teams for Group 2 and Group 3 departments. 10-Steps status reports were sent to all department directors to notify them of required actions to be completed. OCC records management staff have participated in 59 department Records Management Team meetings since the start of the fiscal year.

Records Administrators meetings were held 11/20/2013 and 1/14/2014. Department Records Analyst meetings held 10/25/2013 and 1/16/2014.

## 10-Steps Deliverables

Our goal is to complete 100% of 10-Step deliverables for steps 1 through 4 by September 30, 2014. With 45 City departments, the goal is to have completed a total of 180 deliverables:

Step	Sept 2013	April 2014	Remaining
Step 1	36	41	4
Step 2	39	41	4
Step 3	32	32	13
Step 4	24	24	21
TOTALS	131 (73%)	138 (77%)	42

6 department walk-throughs have been completed year-to-date.

16 draft Records Control Schedules have been submitted to the Records Management Committee year-to-date.

## Training

At the request of department Records Administrators, significantly more sessions for classes required by the 10-Steps Program were added. In addition, the registration limit was raised for nearly all of the classes.

Class	Seats Available	
	Original	Revised
Step 1 Class: Basic RIM and Your Responsibilities	220	470
Step 2 Class: Conducting Records Inventories	90	305
Step 4 Class: Applying Corporate Criteria	150	325
Step 4 Class: Vital Records	163	343
Step 5 Class: Developing Standard Operating Procedures	120	275
Step 5 Class: Files Management	150	240
Step 6 Class: Using Your Records Control Schedule	165	345
Step 7 Class: Disaster Planning for Records Management	151	311
	1,209	2,614

RIM staff have trained nearly 50% more City staff in required 10-Steps classes year-to-date over last year-to-date:

Class	FY2013 Year-to-Date		FY2014 Year-to-Date		+/-
	Classes	Attended	Classes	Attended	
Step 1	4	68	7	161	136.8%
Step 2	2	29	6	150	417.2%
Step 3	10	183	5	51	-72.1%
Step 4	5	112	12	275	145.5%
Step 5	5	101	8	133	31.7%
Step 6	5	87	5	81	-6.9%
Step 7	2	42	4	61	45.2%
TOTAL	33	622	47	912	46.6%

Other training activities:

- Completed a review and update of RIM course descriptions in TRAIN for courses required for Steps 1 – 4 of the 10 Steps.
- Created a tracking tool to document the increase in classes offered and measure attendance, cancellations, and no-shows for classes held.
- The Clerk's staff is developing a computer-based training (CBT) course for the required Step 3 "Reviewing Your Records Control Schedule" class.

## Additional 10-Steps Program Activities

With new staff on board, all City departments have been assigned to two Records Analysts (a primary and a secondary contact).

Created database of Records Administrators, Executive Contacts and all Records Management Team members for all departments. Procedures being put in place to keep this database up-to-date.

Conducted first "Departmental Records Assessment Survey" to assess the status of the City's RIM program against the best-practice RIM Principles developed by ARMA International as recommended in the 2012 Citywide Records Management and Retention Audit.

Created new pages on the OCC Intranet site for Records and Information Management Services. The content includes approved Records Control Schedules and training materials. We are working with CTM to implement a RIMS SharePoint site and Wiki for information sharing across City departments.

## Planned Activities for Remainder of FY2014

Finalize recommended revisions to Chapter 2-11 of the City Code, related to the establishment and administration of the City's records management program, as proposed in the 2012 Citywide Records Management and Retention Audit.

Conduct cross-training of new staff members. Work closely with all City departments to complete the remaining 10-Step deliverables for steps 1 through 4 by September 30, 2014.

Plan for next year's 10-Steps training classes, including a review and revision of training materials and hand-outs.

Continue working with CTM to implement strategies that support sharing of records and information management documentation across City departments.

Plan for a revised "Records Assessment Survey" to assess the status of the City's RIM program against the best-practice RIM Principles to be conducted in FY2015.