

Electronic Records Storage Certification

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Paulette Pastor

March 28, 2016

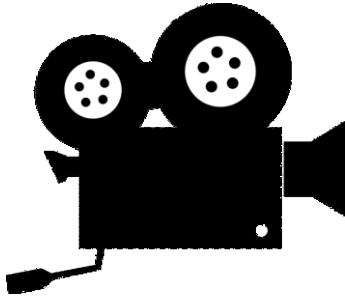


SCANDAL HOUSTON STYLE

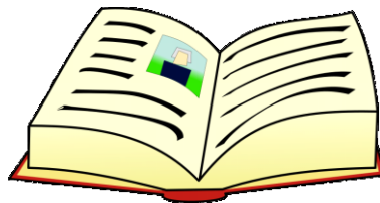
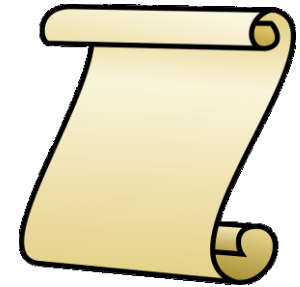
**Leads to the creation of
The Texas Public Information Act**

The preamble of the Public Information Act states:

The people, in delegating authority, do not give their public servants the right to decide what is good for the people to know and what is not good for them to know. The people insist on remaining informed so that they may retain control over the instruments they have created.



WHAT ARE RECORDS





Records are typically kept within the confines of the department. Other times, the information is within one of approximately 230,000 boxes that the City has in storage.

More and more often records are being maintained electronically.

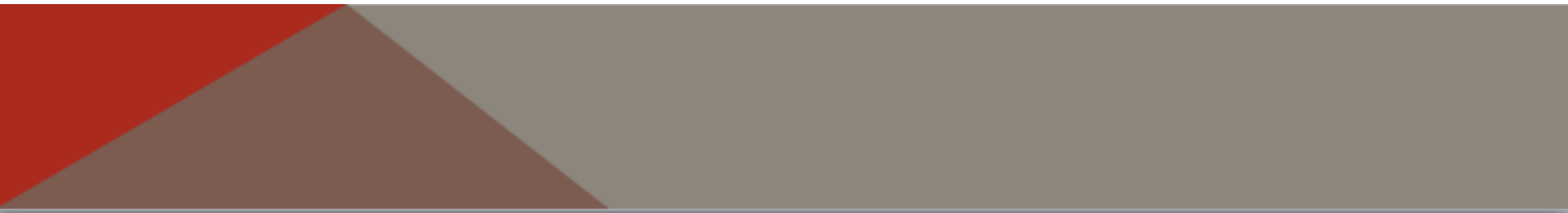
A problem results when these records cannot be accessed.

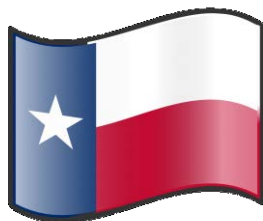
RETAIN

RETRIEVE

DESTROY

Retention schedules serve as a classification system to categorize these records for filing purposes that are designed specifically for the type of information maintained or produced by a department.

- The Texas State Library and Archives Commission (TSLAC) determines these schedules.
 - Each type of record is given a minimum length of time for which it must be kept.
 - Some records are considered under the category of Administratively Valuable (AV), meaning that it is at the discretion of the owner/recipient on whether the records is to be kept, if at all
 - Other records, such as birth and death records, have a permanent retention schedule.
 - ARA has oversight responsibility to assure that departments are following the retention of records until such time that they are allowed to be destroyed.
- 



STATE MANDATES

TSLAC grants permission to store records electronically through TSLAC's approval of a local government's retention schedule. In 2006 the City of Houston filed an SLR 508 Declaration of Compliance certifying that



Declaration of Compliance

with the Records Scheduling Requirement of the Local Government Records Act
Submitted pursuant to Local Government Code §203.041(a)(2)

Section 1 SUBMISSION OF DATA

1. Government:
2. Address:
- City: ZIP code:
3. Telephone: 4. Email (optional):

1. We have adopted records control schedules that comply with minimum requirements established on records retention schedules issued by the TSLAC; and,
2. The administrative rules for electronic records, adopted by the commission will be followed for records subject to the rules.

Once a local government creates, submits, and receives approval of their SLR 508, they are in compliance with this requirement and can store records electronically as an official record copy.



LOCAL MANDATES

The City of Houston Code of Ordinances Chapter 2, Article IV designates the Director of the Department of Administration and Regulatory Affairs, or designee, as the City's Records Management Officer. This position is responsible for the city-wide files management and the director and control of the city's records disposition program.

The City of Houston Administrative Procedure 8-5 provides a process for departments that desire to maintain electronic records as the official City records to receive certification to do so in compliance with TSLAC standards. A department that wants to store local government records and local government record data electronically must complete an "Electronic Records Storage Authorization Request for Certification and Acceptance" in which the records will be stored. The electronic records storage must comply with TSLAC standards.



IT Governance Committee (ITGC) – The ITGC Committee is headed by James Koski, Mayor’s Deputy Chief of Staff, and department directors from:

Aviation
Department of Neighborhoods
Finance
HITS
Human Resources
Library
Municipal Courts
Public Works and Engineering
Solid Waste

The Chief Information Officer, serves in a non-voting capacity to the Committee. The Committee meets on a monthly basis to discuss enterprise projects dealing with three or more departments. It also hears recommendations from IT advocates that serve on the IT Operating Committee.

IT Operating Committee (ITOC) - The ITOC Committee is comprised of Assistant and Deputy Directors that serve as IT advocates for department seeking software for one department. They analyze critical measures such as the citywide importance for particular software systems, funding issues, feasibility concerns and other issues to advocate projects to the ITGC.

ARA does not have their own representative; instead, HITS serves as their IT advocate.

SAP
Lagan
Chameleon
Kronos
OnBase
SharePoint

ARA Electronic Certification – Project Charter

Date:	September 8, 2015
Project Title:	Electronic Records Storage System Certification (ERSS)
Project Leader:	Paulette Pastor, Andrea Campos
Champion:	Francis X. Camody
Department Description:	Tasked with the management of citywide record retention and retrieval, The Administration and Regulatory Affairs Department, certifies electronic storage systems that includes database & shared network storage files. Certification is determined by the submittal and approval of an application from departments/divisions. Currently, there are systems that may not be certified.

Team Member	Function	% Time
Paulette Pastor	Facilitator	50%
Andrea Campos	Facilitator	50%
Linda Garrison	Records Manager	As needed
Beth Moffitt	Records Administrator	As needed

Problem Statement:	Currently, there are ERSS that have remained uncertified for up to 4 years. This backlog causes the process to become reactive rather than proactive. Determining the cause(s) of applications being incomplete, suspended or rejected will hopefully help in changing the view of this task within the records management division and among our internal customers, departments/divisions citywide.
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Mission Statement:	To achieve a 95% compliance rate within the next two years by reducing the average processing time for certification to less than 6 months & implement an outreach program to departments with non-compliant ERSS.
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Stakeholders:	All City of Houston Department that produce electronic documents considered to be the Office City record and the management of the electronic storage system associated with the retention and retrieval of data in compliance with TSLAC standards.
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Project Scope	
Process Start:	September 8, 2015
Process End:	March 8, 2016
In Scope:	Time in which the application is submitted to Records Management for review and approval to the time when the signed certification document is sent back to department.



PROJECT CHARTER DESCRIPTION

The Administration and Regulatory Affairs Department is responsible for verifying that the City's records, including electronic records, are maintained in accordance to State law. Departments that store records electronically as their official City record (rather than in a paper format) are required to have their methodology of storage certified to ensure their compliance with Texas State Library and Archives Commission standards.



THE PROBLEM

To date, the majority of these systems have not been certified. Thus, the City is not in compliance with State Law.

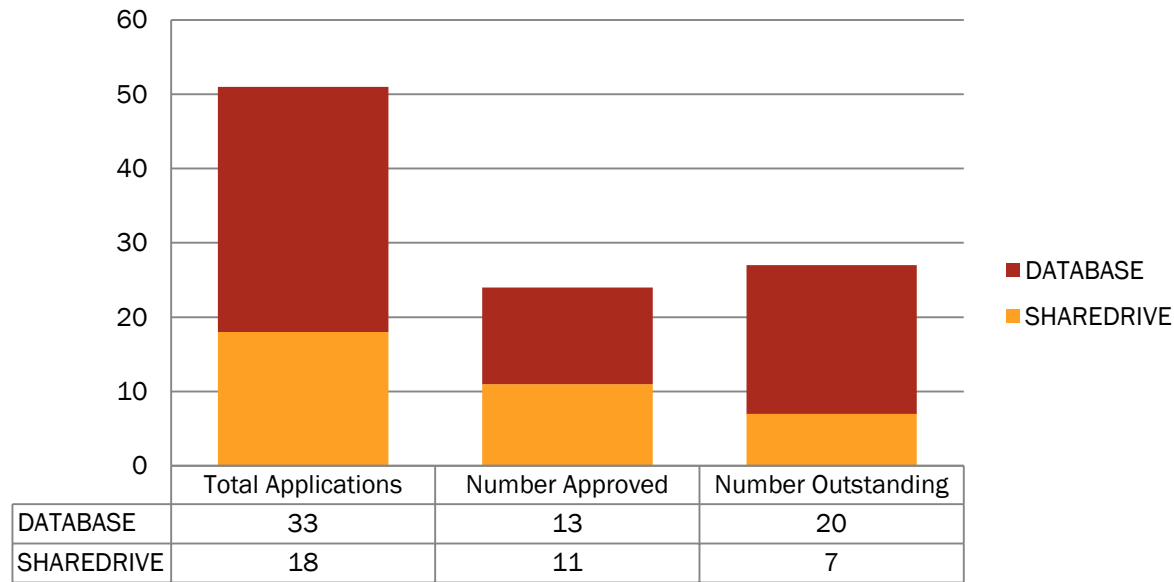
**WHAT IS THE POTENTIAL
CONSEQUENCE FOR
NON-COMPLIANCE?**



\$50 million in fines against the City of Houston




APPLICATION STATUS



To date, only 13 of 33 database application systems, or 39%; and, 11 of the 18 shared network storage files, or 61% (known to the Records Administrator) have been certified since 2009, with some applications taking up to four years to process, while other department not beginning the application process; thus creating noncompliance issues with State Law.

MISSION STATEMENT

Reduce the average processing time to certify an application to less than six months and implement an ongoing outreach program to departments with electronic record storage systems that have not submitted an application, resulting in an increase in the number of certified record storage systems throughout the City and a 95% compliance rate within the next two years



FISHBONE DIAGRAM

CAUSE

EFFECT

MONEY

1. Funding not allocated to purchase module to meet State compliance specifications

APPLICATION

1. Not written for a laymen to understand
2. Need outside assistance to answer questions
 - a. HITS
 - b. Software Vendor



PRIORITY

1. A low priority work item for responding employees
2. Originating division lacks understanding of consequences for non-compliance with State law
3. Contact person not with originating division
4. Contact person no longer with City
5. Contact person no longer with originating division



STATE STANDARDS

1. System does not meet State standards
 - a. Retain
 - b. Retrieve
 - c. Destroy



CITY NOT IN COMPLIANCE WITH STATE LAW



The former HITS Director's goal was to streamline the City's database applications by using a suite of INFOR Products at a cost of \$7 million.

CASE MANAGEMENT SUITE

- INFOR Case Management Suites are currently being utilized by:
 - PWE's Utility Customer Service Division
 - PWE's Traffic Operations Division
 - Department of Neighborhoods

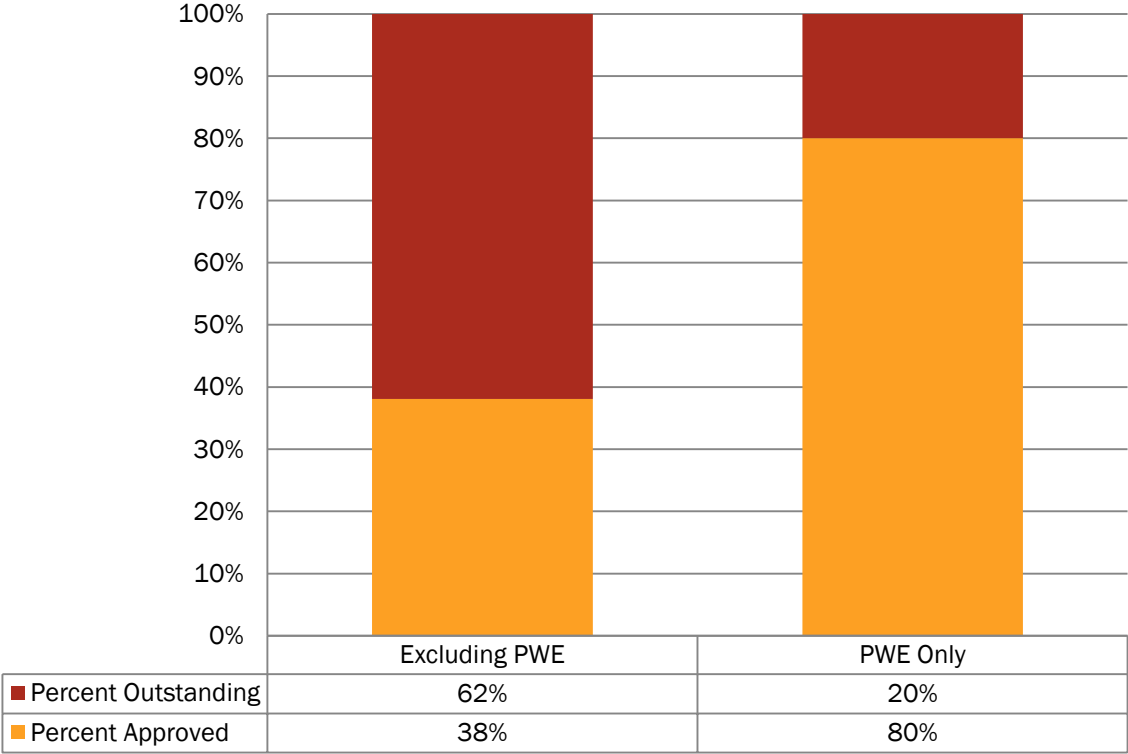
INVENTORY ASSET MANAGEMENT SYSTEM

- Aviation
- Houston Police Department

OTHER SYSTEMS

- A Call-Center Module is also available to replace the current system that is not certifiable.
- Parks and Recreation Dept. (Greenspace Management and Facilities Maintenance Divisions). Current work order system is 20 years old. The Forestry Division owns 2/3 of the necessary modules and needs additional funding to implement a mobile work order system).

PW&E vs. Other Departments





DON'T REINVENT THE WHEEL REFINE IT!

Public Works and Engineering (PWE) requires that their IT group initiates the implementation of a file share drive by coordinating with RM. This resolves many issues as it relates to the retention, security, and destruction of records.

- PW&E's IT group requests the Record Control Schedules from RM and confirms all files are listed on a schedule.
- Upon confirmation, IT sets up on their archives server the organization chart, office codes and record titles.
- The records are tagged based on the corresponding retention control schedule.
- Governance policies are established so that RM is notified when files are eligible for destruction.
- RM then begins the authorization process for the destruction of these records (i.e. notify appropriate department and Legal).

If the departments that HITS supports would implement this system, **95%** of the ERRS application would be auto filled.

HITS SUPPORTED DEPARTMENTS



Administration and Regulatory Affairs

Mayor's Office

Department of Neighborhoods

Health and Human Services

City Secretary

Municipal Courts

Finance

Department of Neighborhoods

Solid Waste

Office of Business Opportunity

Planning and Development

Human Resources

General Services

Fleet

Housing and Community Development

Houston Emergency Center

Fire

City Council

Parks and Recreation



LESSONS LEARNED

- Neither the Director of ARA nor her designee serves on the IT Governance Board or on the IT Operating Committee. Yet, ARA is responsible for certifying that the City's electronic record systems are in compliance with State Law.
- Specifications to help guarantee that software purchases meet certification guidelines prior to their actual purchase are lacking.
- **The average employee has difficulty completing the current application.**
- PW&E has implemented a process that simplifies the certification of their systems.
- There are electronic record systems that Records Management does not know exist.



RECOMMENDATIONS

Develop an application list from HITS/departments

Revisions to application

Workflow application

Autofill for departments utilizing HITS servers

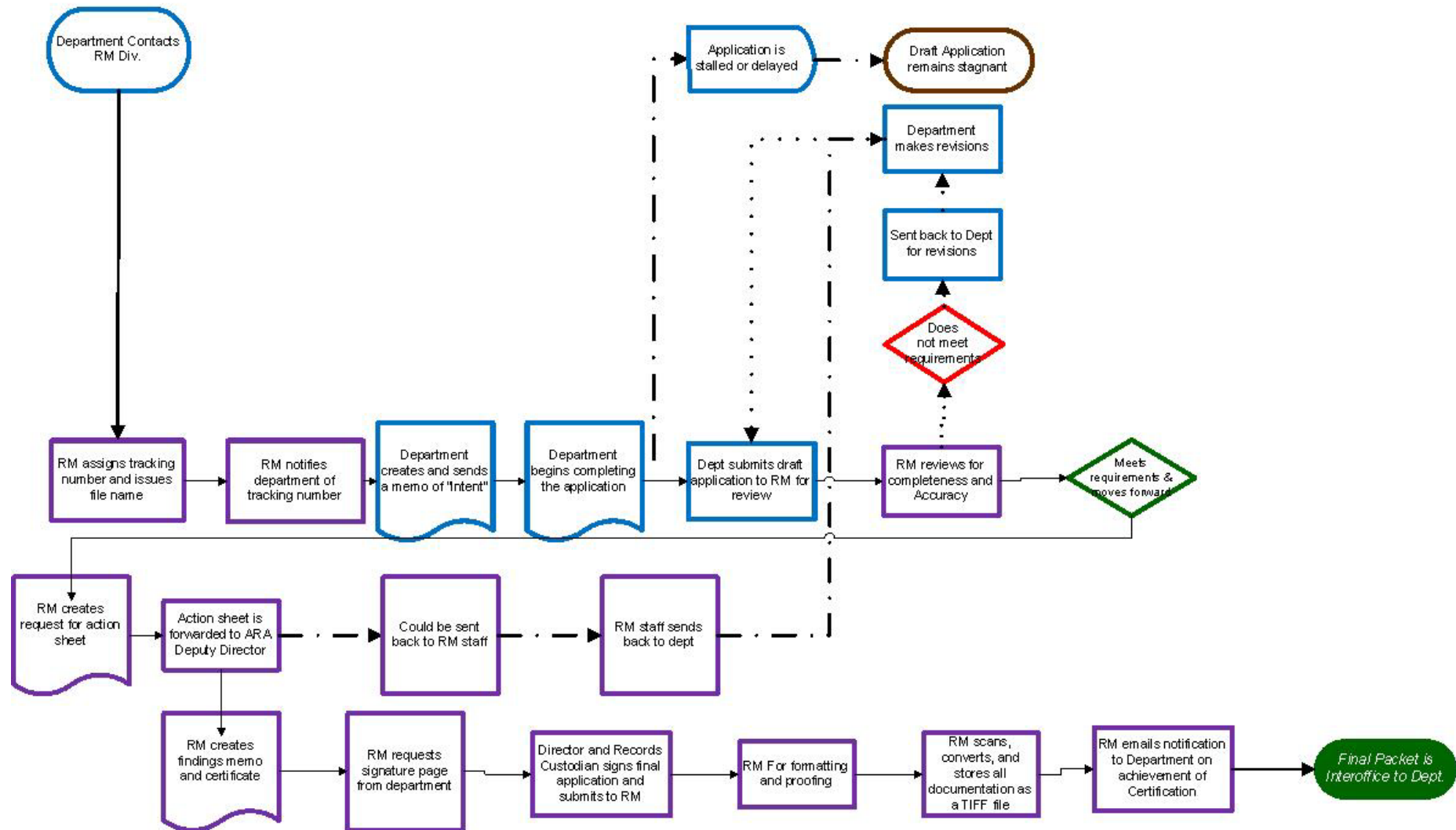
Coordinate efforts among HITS, RM, and departments

Develop a marketing plan on the need to educate users on the importance of certifying their systems



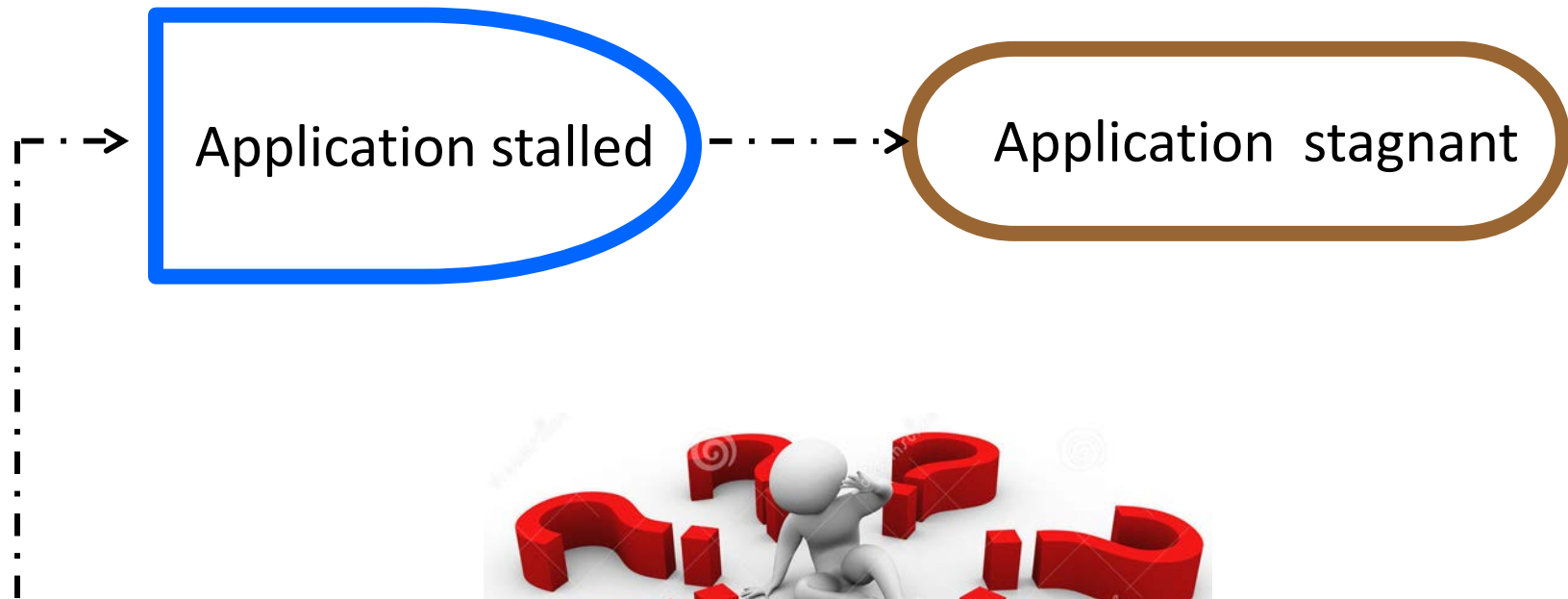
CURRENT WORK FLOW

ELECTRONIC RECORDS STORAGE SYSTEM CERTIFICATION



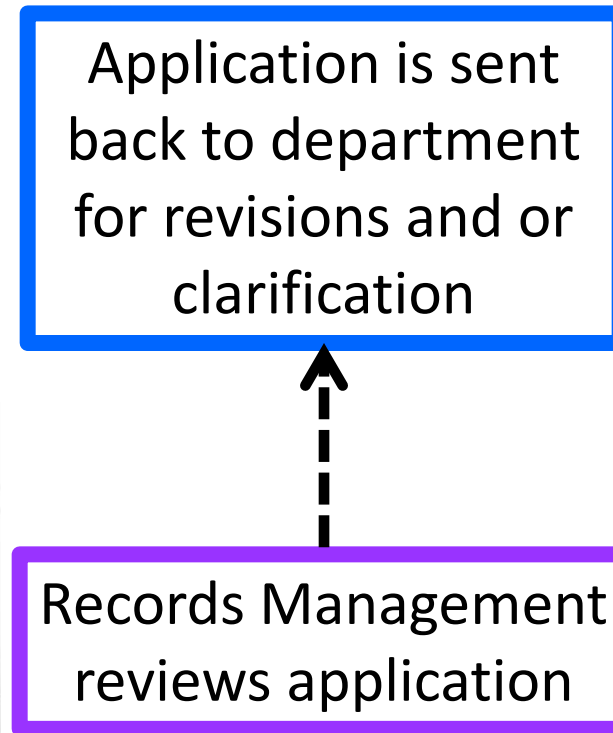


Current Workflow: Alternate Path



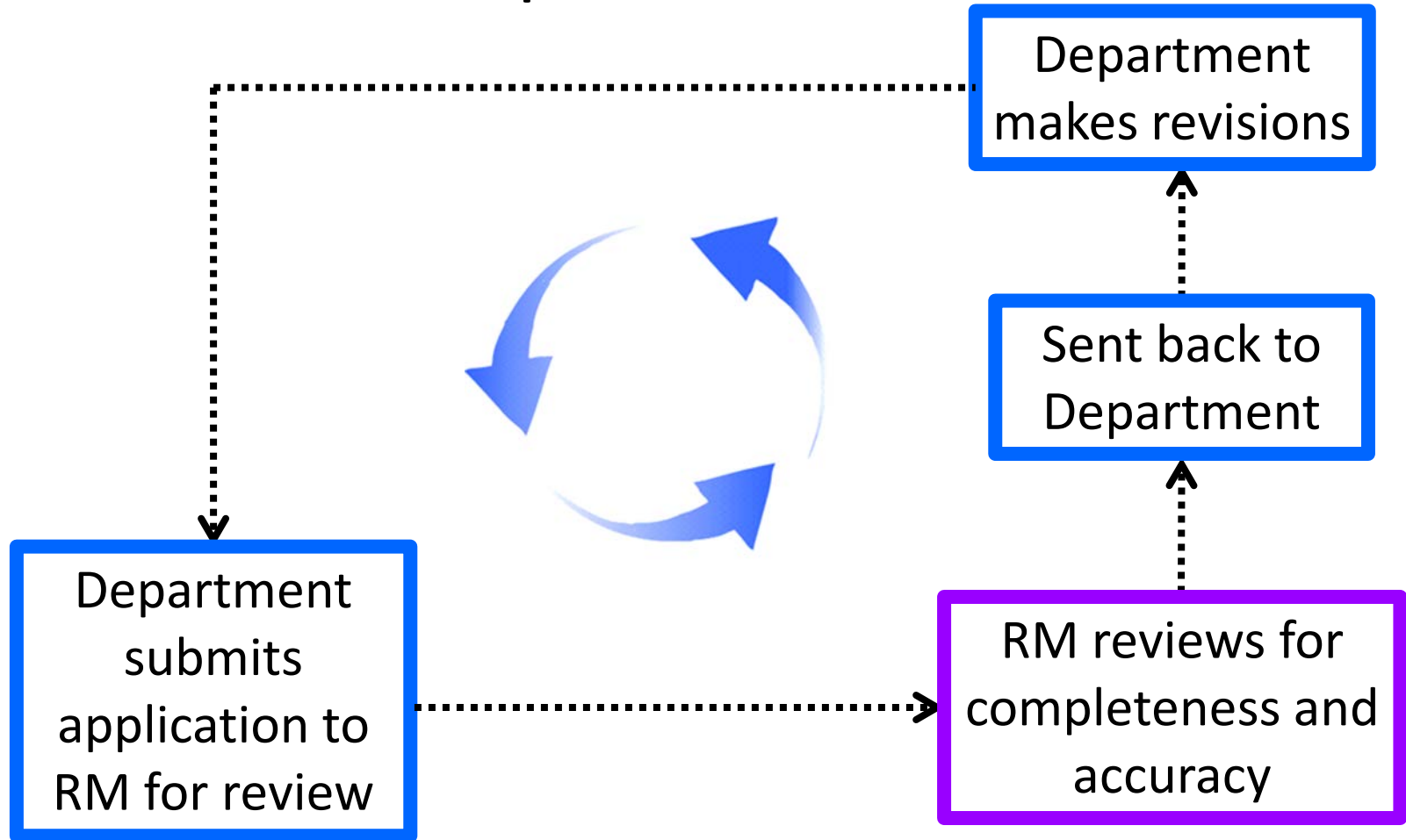


Current Workflow: Records Management Review





Current Workflow: Request for Revisions





ELECTRONIC RECORDS STORAGE SYSTEM CERTIFICATION

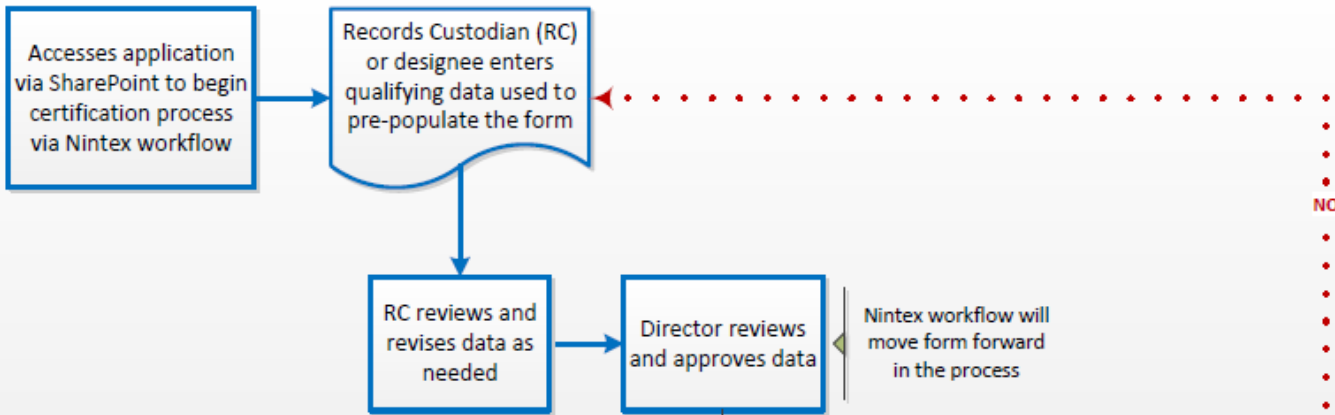
SIX - SIGMA SOLUTION

A NINTEX WORKFLOW

Future Workflow of the Electronic Storage System Application Form


3/28/16

Department



HITS

ARA



City of Houston

Administration & Regulatory Affairs

Welcome to the ARA Forms Portal

Your “One Stop” resource site for ARA Forms

Click **HERE** to open the Application for Electronic Storage System Certification form

ARA FORMS

- Click **HERE** to open the Asset Disposition Form
- Click **HERE** to open the Application for Electronic Signature Certification Form

MY WORKFLOW TASKS

There are no items to show in this view.

WORKFLOWS I'VE STARTED

There are no items to show in this view.

Electronic Signature Certific...

File Edit View Favorites Tools Help

Page Safety Tools

Site Actions Browse Edit

Submit Cancel Paste Cut Copy ABC Spelling

Commit Clipboard Spelling

About the Director

Downtown Employee Parking

Helpful Phone Numbers

Human Resources Forms

Other Docs and Links

P-Card Forms

Payroll Services

Policies and Procedures

Procurement and Accts Payable Forms

Records Management

Safety Policy and Checklists

Travel Forms

Workers Compensation Forms

ARA Forms

Lists

Libraries

Regulatory Permitting

HCDE Accounts for City Departments

Records Management FAQs

AP 8-5 Compliant Systems

All Site Content

City of Houston

Application for Electronic Records Storage System Certification

Data Management has progressed at a much faster pace than that of the law or any court and as technology evolves so does the meaning of terminology used within the industry.

The necessity for the City of Houston's electronic records storage systems to be in compliance with Texas State Code continues to encompass new technology and terminology. ARA continually tires to translate jargon into terms that are easily understood reducing ambiguity so that standards can be established. Therefore the certification process is to be considered a dynamic document with its context being revised through open collaboration amongst Houston Information and Technology, City Departments and Records Management.

Certification of a system that is "limited" is highly acceptable and allows the organization to anticipate future changes and a strategy in data maintenance and management.

REFERENCES: Texas State Library and Archives Commission. Electronic Records, Standards and Procedures <http://www.tsl.state.tx.us/slrn/recordspubs/lgbullb.html>

City of Houston Charter <http://www.houstontx.gov/adminpolicies/8-5.pdf>

Department Name

System Name

Managed by

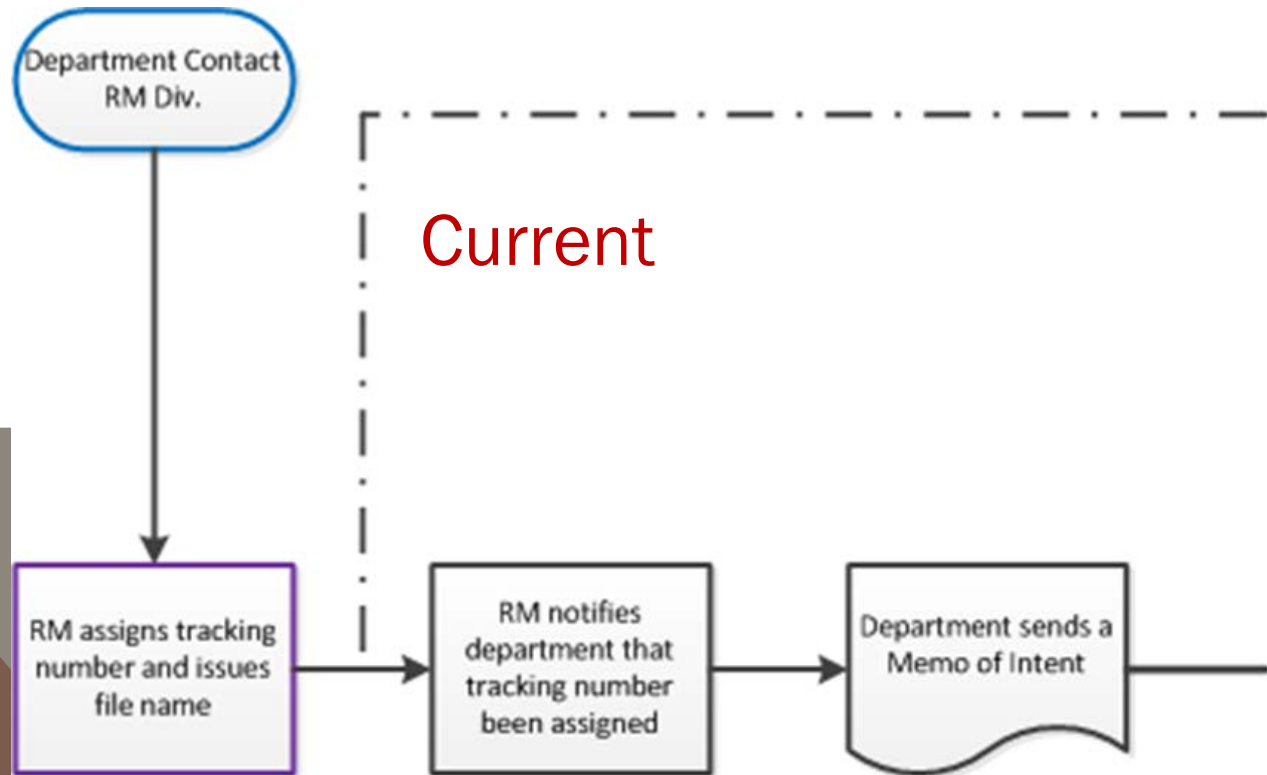
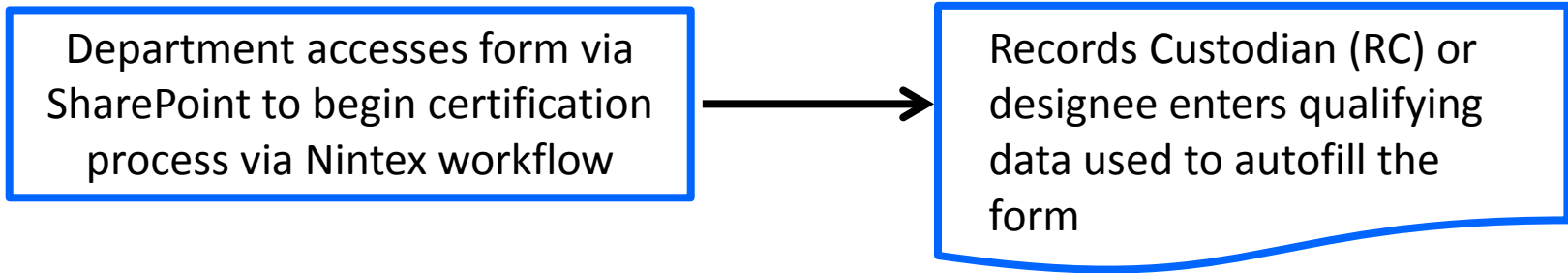
START

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Future

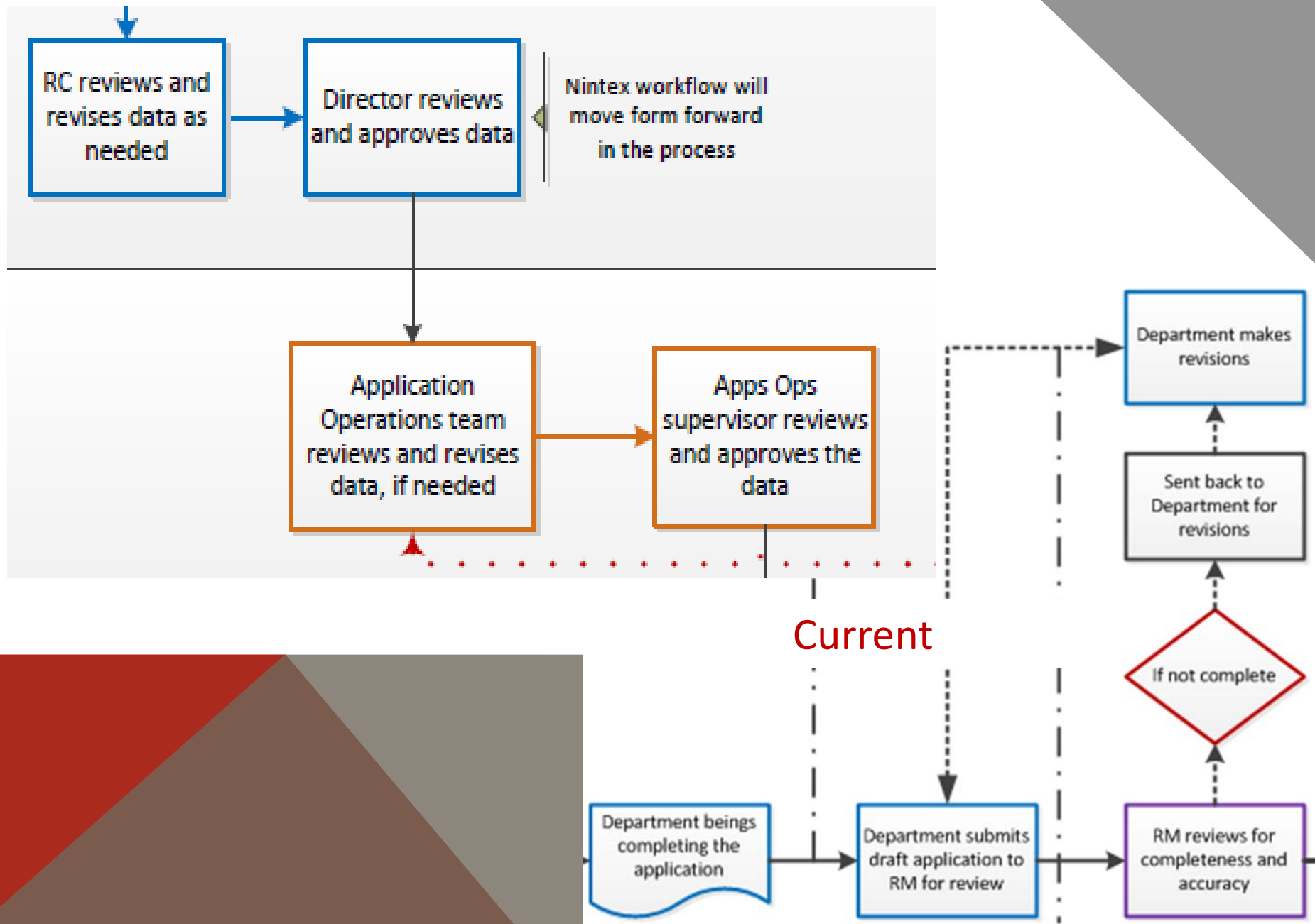
Reduction of Current Workflow





Future

The Elimination of Endless Cycle



Example of Autofill

7.75 Security of Electronic Records:

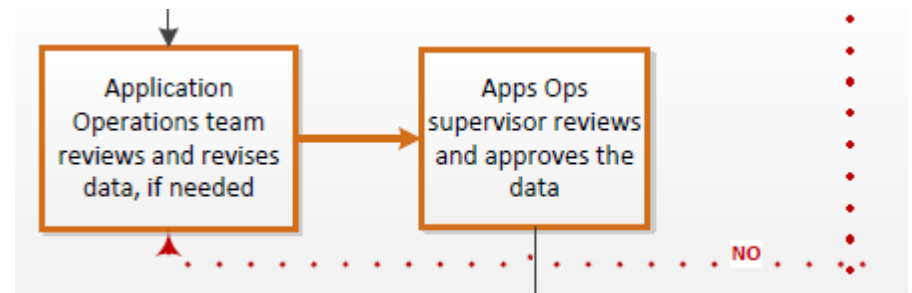
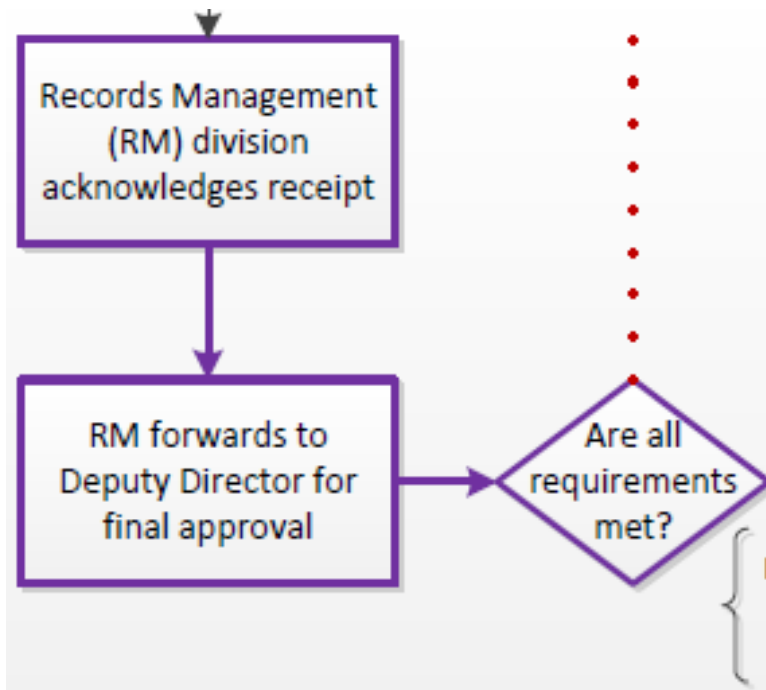
Local governments must implement and maintain an electronic records security program for office and storage area that meet the following standards:

- (1) Define security system which allows access to authorized personnel only.

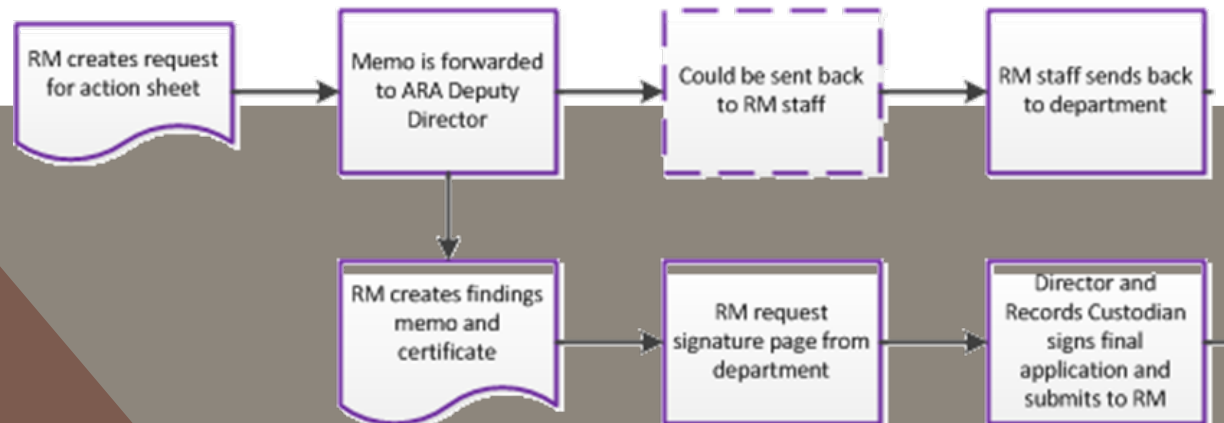
AUTOFILL RESPONSE: The hosting facility requires all of its customers to use a biometric hand scanner plus card swipe at the entrance to the facility with an additional card swipe to gain access to the room containing the customer's equipment. Video cameras monitor all access points; tapes are stored for 90 days and reviewed upon request. Visitor logs are retained for a year or longer. Visitors are given visitor tags to wear that expire in 24 hours. An expired tag will show stripes through the tag. The tags are not required to be surrendered as they expire and access to a secured room requires ID check.

Future

Reduce Document Creation & Improve Efficiency

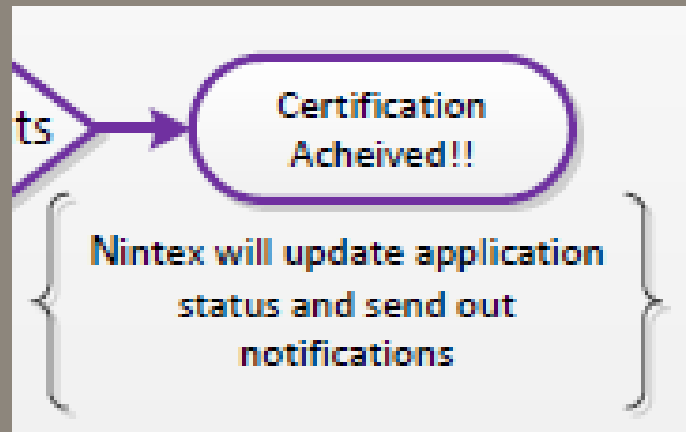


Current

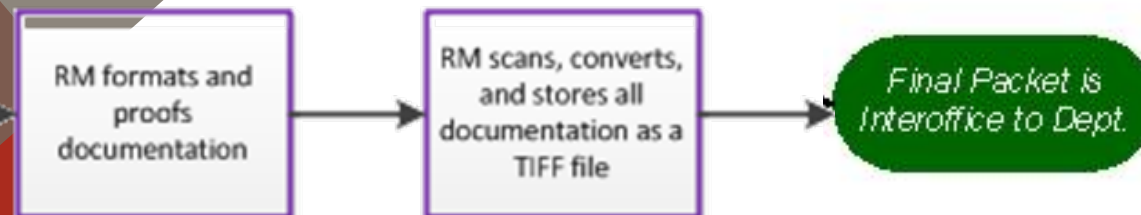




FUTURE



Current



City of Houston
Administration and Regulatory Affairs Department
Records Management Office
awards electronic records certification for

System Name

The **Department Name** has demonstrated an understanding of compliance with the administrative rules for electronic records, adopted under Local Government Code, Chapter 205 and the Texas Administrative Code, Title 13, Chapter 7.

Effective electronic records management program requires the cooperation between the information resource managers and records custodians whose evaluation of the system should occur regularly ensuing that recommendations are made as technology advances. The necessity for the City of Houston's electronic records storage systems to be in compliance with Texas State Code continues to encompass new technology and terminology. ARA continually tires to translate jargon into terms that are easily understood reducing ambiguity so that standards can be established. Therefore the certification process is to be considered a dynamic document with its context being revised through open collaboration amongst Houston Information and Technology, City Departments and Records Management. Certification of a system that is "limited" is highly acceptable and allows the organization to anticipate future changes and a strategy in data maintenance and management.

Issued Day Month, Year by:

Francis X. Carmody, Deputy Director for
Records Management Officer



LOOKING FORWARD

Cooperation

- Include Records Management in the initial stages regarding the acquisition of new systems.
- Agreement from Departments not supported by HITS submit text for autofill.
- Collaboration to analyze city-wide system needs and strategize ways to limit the number of systems that can perform similar functions.

Maintenance

- Project Managers need to ensure that new systems meet requirements.
- IT Department should be informed of technological advances that may require changes in the methods of electronic records maintenance.
- Thoroughly review autofill responses at all stages of Nintex workflow revising as necessary.

Training

- Records Management will update HITS and Records Custodians on any changes or new requirements from TSLAC.
- On-line Electronic Records Storage System training for Records Custodians and their staff and members of the IT Operating Committee. (required yearly refresher)