



CITY OF PORTLAND

Office of City Auditor LaVonne Griffin-Valade

1221 S.W. 4th Avenue, Room 320, Portland, Oregon 97204

phone: (503) 823-4078

web: www.portlandoregon.gov/auditor



August 1, 2013

TO: Mayor Charlie Hales
Commissioner Nick Fish
Commissioner Amanda Fritz
Commissioner Steve Novick
Commissioner Dan Saltzman

SUBJECT: City of Portland Electronic Recordkeeping

Twelve years ago, the City of Portland began an investment in making our most widely sought records available to the public electronically and in ensuring that our City's history – as documented in its electronic records – is not lost to future generations. At that time, Council approved expenditures on staff and software (TRIM) in the Auditor's Office that would start the City on a path toward greater transparency, efficiency, compliance and conservation; all of this achievable by managing the growing number of electronic documents generated by City employees.

Although the City was years ahead of its time when this project began, the size and scope of the original investment have been dwarfed by the demands of electronic recordkeeping and archiving in the City. Not only has our reliance on electronic communication grown, but our production of records has escalated with the wide array of software, databases, applications, and media. No longer is electronic records management simply a matter of making sure important City documents are properly archived and available; it is a matter of sorting through and better managing the enormous volume of information and communications that we as City employees generate every day.

The original investment in TRIM was for 100 licenses for City employees and for two staff members to support electronic records management across the City. Pockets of successful implementations have been achieved in several areas, including the Police Bureau, the Bureau of Human Resources, Bureau of Environmental Services and in elected officials' offices. However, a recent survey on recordkeeping practices across the City indicated that there is a very large unmet need for information, training, support and tools in the bureaus to improve compliance with regulations and ensure good practice. Last year, the Auditor's Office convened a Citywide TRIM Steering Committee to help us plan for the future of the program.

Although the Auditor's Office has acquired over 1,600 licenses in a piecemeal fashion over the years, it is running low on licenses to distribute for any new deployments and the two existing staff members cannot keep up with the growing demands on their time for training, developing classification systems, working with bureaus on deployment, maintenance of the system and storage demands. The maximum capacity of the City's investment and vision twelve years ago has been reached and, in order for the program to grow and continue its efforts to ensure good electronic recordkeeping, new investments must be made.

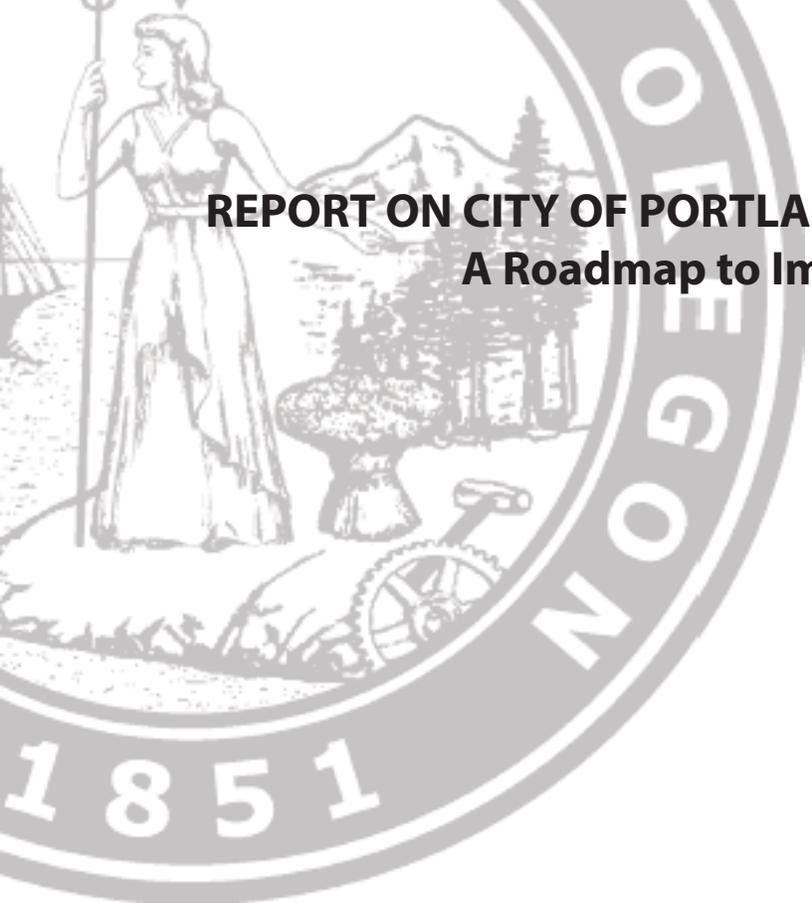
The attached report provides a history of efforts to improve electronic records management in the City, a discussion of the challenges, the findings of the TRIM Steering Committee, and a plan for new investments in the program. I recognize that the City is not in a financial position to make large investments at the present time. However, it is my hope that the attached report will make clear that there is a significant gap between where we as a city are today with electronic records management and where we need to be to ensure compliance and accessibility.

It is my hope that Council will continue to recognize the ongoing importance of strong electronic records management systems and policies and support our plan for Citywide implementation. I believe it is crucial to ensure that the records we generate today are available to the public tomorrow and for generations to come.

A handwritten signature in black ink, reading "L. Griffin-Valade". The signature is fluid and cursive, with a long, sweeping underline that extends to the right.

LaVonne Griffin-Valade
City Auditor

Attachment



**REPORT ON CITY OF PORTLAND ELECTRONIC RECORDKEEPING
A Roadmap to Improved Practices and Compliance**

August 2013

LaVonne Griffin-Valade
City Auditor

Sarah Landis
Chief Deputy City Auditor

Diana Banning
City Archivist

Brian Brown
Business Systems Analyst

Tim Hunt
Records Analyst

Office of the City Auditor
Portland, Oregon



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CITY AUDITOR

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Executive Summary

The City of Portland is not fully compliant with City administrative rules regarding the management of electronic records. The City administrative rules exist to guide employees and elected officials into compliance with State of Oregon public records requirements, upon which the City rules are based. While bureaus' management of paper records is good, the awareness and implementation of electronic records management practices need significant improvement. In addition to compliance concerns, the City is negatively impacted by the growing body of digital information – some of it with little or no business value – that is unmanaged and increasing in volume year after year. Employees lose time searching for relevant records, and technology expenditures grow due to the lack of a routine and defensible process for purging unnecessary information. Furthermore, long-term digital records are at risk without proper preservation standards being applied.

The Auditor's Office regards the proper management of electronic information assets to be of critical importance to the City. Not only is compliance with the laws necessary, but the benefits to bureaus and the public are numerous. An environment is created that encourages collaboration and sharing of information among employees and bureaus. Proper management provides increased security, preserves long-term records, and streamlines the public records request process. The availability of appropriate information to the public increases transparency and fosters the public trust. Despite success in some pockets across the City, the piecemeal approach to achieving comprehensive electronic records management is not sustainable and will never keep up with the document landslide.

The Auditor's Office began to address the management of electronic records in 1999, and acquired TRIM as the City's enterprise records management system. Working with interested bureaus, BTS and the City Attorney's Office, the Auditor's Office has helped make progress with improved electronic recordkeeping in discrete areas throughout the City. In 2009, City Council approved Code and Administrative rule changes to remind all City employees that public records laws apply to City records in all forms. In 2011, a TRIM Steering Committee was formed to evaluate the current state of electronic recordkeeping practices in the City and to make recommendations for achieving a comprehensive state of compliance and best practices. This report details their findings and recommendations then outlines the Auditor's Office proposal to implement them over a 5-year period.

The Steering Committee identified findings in four areas: business needs, compliance and responsibilities, funding, and priorities. To address its findings, the Committee recommends that a formal framework be developed to increase Citywide understanding and accountability related to electronic recordkeeping responsibilities at all levels. The Committee recommends that the City:

- A. Ensure responsibility for electronic records management is accepted at all levels of the City
- B. Establish and convene a Citywide advisory committee to ensure ongoing input from bureaus and users into the expansion of the program and other records issues
- C. Require electronic records management training of all City employees
- D. Develop a process for monitoring and enforcement of relevant rules and laws
- E. Expand the availability of TRIM software Citywide to provide the means for all employees to manage their electronic information in compliance with recordkeeping responsibilities
- F. Encourage Citywide records retention best practices and compliance with City Administrative Rule 8.12
- G. Create a sustainable funding model to support the enhanced electronic records management program
- H. Prioritize areas where TRIM implementation will provide the greatest benefit to the City and the public

In order to implement these recommendations, the Auditor's Office has prepared a 5-year implementation plan that addresses a range of components, including policy, governance, financing, training, compliance and software / IT infrastructure. The details of this plan can be found in the final section of this report and in the appendices.

INTRODUCTION

Current Electronic Recordkeeping Environment

Compliance with Public Records Requirements

Records created by any form of government must comply with local, state and federal laws governing public records. These laws prescribe the retention period for records and establish requirements for public access to those records. It is the responsibility of each jurisdiction to ensure its records are maintained and accessible for the entire retention period. While City bureaus' management of paper records is good, applying the same principles to electronic records has lagged behind and needs significant improvement.

Complying with public records laws was much more straightforward when the majority of records existed as tangible items, namely paper and microfilm. As business processes have evolved to the point where the vast majority of records are created and maintained in a digital form, and where the quantity of records has expanded at an exponential rate, complying with the public records laws has become increasingly difficult and expensive.

During the long transition from a paper-based government to a predominately digital-based government, the courts were relatively lenient and forgiving when agencies had problems quickly satisfying public records requests or producing records needed for litigation. However, the courts are increasingly penalizing agencies that are unable to produce records due to mismanagement, premature destruction, or because the agency is unable to locate the responsive records. One local example can be found in *Nike vs. the City of Beaverton*, in which the City of Beaverton was forced to spend nearly \$1 million to comply with the presiding judge's ruling to retrieve electronic records the City had initially failed to produce. The City was also found in contempt for the way it handled its electronic records during the course of the trial¹. It is worth noting that partly as a result of that experience, Beaverton has contracted with the Secretary of State's office to begin using TRIM.

Although the City of Portland has so far avoided any court sanctions for its electronic recordkeeping practices, it has struggled on occasion to locate and produce all electronic records relevant to specific cases. The findings of the TRIM Steering Committee clearly indicate that consistency in the area of managing electronic information needs a great deal of improvement.

¹J. Gayle Nachtigal (Wash Cty); *Nike v. Beaverton*, Case No. C051992CV, 2006
http://blog.oregonlive.com/washingtoncounty/2006/09/judge_rules_beaverton_in_conte.html

Business Considerations and Benefits

Issues with electronic recordkeeping go beyond legal compliance. The volume of electronic records being produced is swelling while reliance on these records is increasing. City employees expect to be able to share information across functions and among bureaus. They need to know which version of a document is the most recent. Current projects may rely on records that were created decades earlier. As dependence on electronic records grows, so does the importance of managing the information properly and efficiently.

Email quickly altered how we communicate and conduct business, but it presents its own set of recordkeeping concerns. The volume of sent and received emails overwhelms workers to the point where they have a difficult time managing their email at all, let alone in a manner that complies with records laws. Most employees keep far more email than is required by law, with many keeping almost every email they receive or send. Others likely delete their emails as soon as they have read or sent them, unaware that retention rules may apply. Neither practice is advisable or in compliance with City rules.

The technical response to “managing” email has been to increase server space or create massive PST archives so employees can hold on to all of their mail. To the extent that employees are not going back through the old email and destroying these records according to their legal retention, the need for additional server space continues to grow along with the digital proliferation.

City policy encourages employees to store files on network drives, which allows for some level of information sharing and provides emergency backup to those files. However, the same reluctance to manage email carries over to the network drives. The accumulation of files are not usually managed in a controlled structure to make information easy to locate and the drives are rarely cleaned up according to retention requirements.

While many might argue that storage costs are low and that there is no harm in keeping all these records, the reality is much different. The technology costs go well beyond the hardware and software needed to store the records. The organizational costs of trying to manage so much information surpass those associated with the technology costs; as employees continue to save more files without regard to duplication, classification, and retention requirements, their ability to find relevant records in a timely fashion decreases as they are inundated with accumulation of information.

Public Records Requests and Litigation

Although the City does not collect comprehensive data on public records requests, BTS alone saw the number of bureau requests for electronic records searches double over the last year. Many of these requests are for email records residing on Exchange servers and PST archive files, which increases the cost of search and retrieval.

Improperly managed electronic information increases the City's exposure in the event of litigation. Responsive records are more difficult to locate when there is little structure attached to them. When records are not destroyed according to their retention schedule they are open to legal discovery, even if they should have been destroyed earlier. City attorneys must review all records that meet the criteria of the opposing party's document request. When the quantity of those documents is inflated with duplicate records and records that should have been destroyed, the cost of review and production increases proportionately.

Whether it is an employee trying to find an email about a project or the City Attorney's office needing documents for litigation, risks and costs increase with poorly managed records.

Desired Electronic Recordkeeping Environment

The risks and costs associated with inaction are, in and of themselves, enough to warrant efforts to mitigate them. A properly managed electronic records system brings with it a number of additional benefits:

Compliance

- A properly utilized electronic records management system will apply the appropriate retention properties to the records within it
- Individual bureaus will create a structured filing plan that builds in both the bureau and legal retention requirements
- Employees will not need to be retention experts – they will just need to use the filing plan they helped create

Business Benefits

- Employees will be able to locate easily the information they need, whether to complete daily tasks or to fulfill public records requests
- Bureaus will have the capacity to easily share records without the need for maintaining separate or multiple copies throughout the City. Employees will know where to go for City information
- Business records with long-term value will be preserved in a repository that will ensure their availability for as long as is necessary. Employees will no longer feel the need to store “just in case” copies on network and email servers, which will reduce overall City storage needs
- Employees will be able to take advantage of collaboration and workflow tools that enable group editing and version control without the need to email documents back and forth
- Bureaus will be able to establish customized security and access controls for specific types of documents, thereby restricting certain information to specific workgroups, while allowing other information to be available to the public online
- Over time, as usage and trust in the system grow, the rate of data storage growth should decline. As the findings of this report indicate, very little data currently gets removed or destroyed once it is on a server

Public Benefits

- The public expects to find information about their City government with a few keystrokes on personal devices or computers. If the information they seek is not available online, they expect the bureau that owns the information to be able to access and share it (if permissible) in a reasonable amount of time
- Bureaus are encouraged to use available technology that allows citizens to access information on a self-serve basis and to interact with the bureau efficiently. This cannot be achieved without properly managing the underlying information to be shared
- The timely and efficient retrieval and availability of information increases transparency and fosters the public’s trust in the City’s competence

“Improving records management will improve performance and promote openness and accountability by better documenting agency actions and decisions.”

- President Barack Obama
Presidential Memorandum -- Managing Government Records

HISTORY OF AUDITOR'S OFFICE ELECTRONIC RECORDKEEPING EFFORTS

Acquisition of TRIM Software

The need for a system to manage the City's electronic records in compliance with public records requirements grew out of a strategic planning process that Gary Blackmer undertook shortly after he took office as the City Auditor in 1999. Several objectives related to the City's rapidly growing use of digital media and email were developed in that process, including:

- Increase public awareness of the availability of government information and documentation
- Provide easy access to Council documentation: ordinances, resolutions, agendas
- Ensure the effective management of electronic as well as paper records

To achieve the objectives of the strategic plan, the City Auditor assembled a multi-bureau project team. Auditor Blackmer submitted a Capital Improvement Project proposal for the plan, named E-files, which was approved in the budget by City Council in 2000². The proposal included the following language:

The City Enterprise Records Management System (E-Files) Project, is a multi-year project that creates a single information system for the storage, management and retrieval of official City records in both paper-based and electronic forms. The E-Files Project involves the implementation of an enterprise records management system to extend the retention scheduling, public access, and central storage and retrieval services which the Auditor's Office now provides for records in paper formats to public records in electronic form.

To research and acquire the appropriate software system the Auditor's Office formed a selection committee including members from the State Archivist's office and Metro as well as employees from the Bureaus of Environmental Services, Planning and Technology. The committee conducted a formal bidding and selection process and unanimously agreed on the software application known as TRIM. The original contract was for the purchase of 100 licenses with the expectation that additional licenses would be acquired over time to bring TRIM to all City employees.

For FY 2006-07 the Auditor's Office requested a package of approximately \$1.5 million one-time and \$0.5 million ongoing for a Citywide implementation of TRIM over a two year period. That request was not recommended by the Financial Planning Division, now known as the City Budget Office, partly because a funding plan that took into account how costs might be apportioned among City bureaus was not developed, and the implementation would compete for resources with what was known at the time as the Enterprise Business System Project, which became EBS.

² See <http://efiles.portlandoregon.gov/webdrawer/rec/5169029/view/>

The Bureau of Technology Services was allocated \$250,000 in FY 2006-07 to form a committee with the Auditor's Office to study the City's enterprise functional requirements related to the document and records management needs associated with business processes and, having identified those needs, develop a strategy to address them. The scope did not include a recommended solution. The committee did not complete the study and approximately \$180,000 of the allocated funds were returned. Although the overall outcome of the committee was not achieved, the committee did identify the need to be consistent with Oregon public records request rules, which led to the creation of the City's Public Records Request Policy, which became effective in January 2008.

Current Bureau Deployments of TRIM

The City currently owns a total of 1,675 TRIM licenses. With the exception of 500 licenses purchased by the Police Bureau and approximately 200 licenses purchased by the Bureau of Environmental Services, the costs of TRIM licenses and ongoing maintenance have been paid from the Auditor's Office budget. TRIM has users in almost every City bureau and is managing and preserving a wide array of City electronic records³.

The TRIM deployments described below have been implemented over time and require significant effort up front to achieve each bureau's unique requirements for content structure, access control and record retention. Integrating the use of TRIM into a workgroup's daily activities often requires process changes and sometimes a culture shift. Two Auditor's Office staff members work with bureaus to carry out the implementation steps and required training⁴.

- The Bureau of Human Resources maintains all City employee personnel files in TRIM
- Elected officials' offices are using TRIM to manage constituent correspondence
- City contracts, upon final approval/release are transferred from SAP to TRIM
- TRIM is the incident report repository for the Police Bureau's field reporting system
- The Portland Housing Bureau manages its portfolio of grants in TRIM
- The Bureau of Environmental Services uses TRIM to manage its engineering and construction records
- The Bureau of Development Services uses TRIM to manage plans and drawings submitted in the permitting process and has created a custom interface to TRACS data
- City Council ordinances, resolutions, agendas and minutes are available to the public via Efiles, the web interface to TRIM records with open access

These deployments ensure that the captured records are preserved and easily retrievable for their entire retention period by bureau-designated viewers. Although many of the records in TRIM have strict access controls, many others are accessible for the benefit of the public.

³ See Appendix B for information on TRIM functionality

⁴ See Appendix D (ii.) for the steps of a typical workgroup deployment

Efiles – The Public Portal to TRIM

Efiles enables access via the internet to records in TRIM that are open to the public, such as ordinances and bureau reports. Records in TRIM can be made web accessible without any special configuration. Bureaus can link directly to these records on PortlandOnline.com instead of uploading a duplicate there. Records can be retrieved using a variety of search criteria.

Over the past two and a half years more than 75,000 visits have been made to the Efiles website (<http://efiles.portlandoregon.gov/>). Hundreds of thousands of documents have been viewed, having been found through searches, linked directly through Portlandoregon.gov, or on other sites including news organizations and blogs. Efiles also allows for 24 hour reference of the City's historical records, the oldest dating back to 1851. Providing easy online access to records is a critical function of TRIM, and serves the spirit of open government, transparency, and 24-hour citizen services.

Updating City Code and Administrative Rules to Increase Recordkeeping Awareness and Compliance

In April 2009, City Council passed Ordinance #182637 to "Update responsibilities for the proper management and preservation of City records, including electronic records."⁵ The ordinance amended the Auditor's Office administrative rules to include section ADM 8.12 for the "Management, Preservation and Storage of Electronic Records and Electronic Mail Correspondence (E-Mail)". Rule 8.12 makes explicit the recordkeeping responsibilities at both the management and individual levels. The rule specifies expectations in several areas of procedure. It identifies TRIM as the City's enterprise electronic records management system but acknowledges that the system is not available to all employees. It provides guidance for managing electronic records and email with or without the benefit of TRIM.

Rule 8.12 was created to remind all City employees that public records laws apply to City records in all forms. A desired outcome of the rule is that the proper management of the City's electronic information becomes part of every bureau's culture and every employee's work routine.

In October 2009, City Auditor LaVonne Griffin-Valade reminded bureau directors about the new administrative rule and encouraged them to meet with Archives and Records Management (A/RM) staff to receive help with setting up tools and training to achieve compliance with the rule. That reminder led to a significant increase in the use of TRIM by bureau divisions as well as by elected officials' offices.

⁵ See <http://efiles.portlandoregon.gov/webdrawer/rec/3582972/view/>

Since the adoption of Rule 8.12 through September 2012, bureaus and elected officials' offices have added over 700,000 electronic records and emails to TRIM. Those records are being managed in compliance with retention and preservation requirements and standards. The records no longer need to be taking up space on network shared directories. They can be easily located by users with the appropriate permissions and – if so designated – can be viewed by the public through Efiles. Despite this activity, the City is far from universal compliance and much work remains to make headway in better managing the enormous number of electronic records generated every day.

TRIM STEERING COMMITTEE FINDINGS AND RECOMMENDATIONS

Formation of the TRIM Steering Committee

In August of 2011, Auditor Griffin-Valade arranged for members of her staff to give an update at the monthly bureau directors meeting on the status of compliance with Rule 8.12. The presentation included a TRIM status report and closed with the Auditor's request that directors appoint participants to a committee to be formed to explore a Citywide implementation of TRIM. The message was that although Rule 8.12 had been in effect for (at that time) more than two years, the City was still a long way from complying with electronic recordkeeping responsibilities. The Auditor's Office believed that expanding the availability of TRIM to all employees that work regularly with electronic records and email, along with appropriate training, would provide a workable tool and consistent methodology to bring the City into compliance not just with Rule 8.12 but also with the broader public records requirements at state and federal levels.

The Auditor's Office would be seeking help from this committee in areas where it lacked specific expertise:

- Establishing a sustainable funding model for ongoing storage, maintenance and system administration
- Negotiating and administering software licenses
- Determining IT infrastructure needs
- Building interfaces to appropriate city systems

TRIM Steering Committee Framework

Bureau directors recommended committee members and the first TRIM Steering Committee⁶ meeting was held in November 2011. The first order of business was to establish that City compliance with public records requirements – including State and Federal rules as well as City of Portland policies – is mandatory. Along with that mandate came the understanding that the City is frequently a party to litigation and that electronic records and email are increasingly relevant in such cases. The committee also understood that the records of the City should be governed as a valuable information asset. Finally, the committee met with the knowledge that the challenges associated with properly managing the City's electronic records and email will only increase with volume and new outlets for communication, such as social media, and that there is a significant risk and high cost associated with taking no action to address the issues.

⁶ See Appendix E (i.) for list of Steering Committee members

The committee held six meetings, at the end of which it recessed to create a report for City Council of findings and recommendations related to the City's present electronic recordkeeping practices. The report is intended to inform Council's decisions about the City's ongoing commitment to electronic recordkeeping compliance and good information governance.

The Steering Committee agreed upon a set of goals that would become the basis for making recommendations:

- Confirm and/or amend goals for TRIM
- Provide guidance on what is feasible for broader TRIM implementation
- Recommend funding, staffing and resource options for a Citywide TRIM implementation
- Recommend specific priorities for TRIM implementation
- Recommend implementation plan approach and strategies
- Set timeframe for plan implementation
- Establish expectations and guidelines for deployment
- Communicate results, reports and verbal communications to interested parties

Early in the series of meetings it became clear that one of the biggest challenges was to create a sustainable funding model. The committee examined both direct cost and general fund models from other enterprise City applications such as SAP and TRACS as well as models used by BTS to provide services. To help with developing a model, Auditor Griffin-Valade asked the City Budget Office to study the elements that would be required in the implementation and recommend one or two funding options to offer Council. Those recommendations are included in this report⁷.

Another major challenge was determining priority recommendations. Where does electronic recordkeeping (or lack thereof) bring the greatest benefit or pose the greatest risk to the City? Are the greatest obstacles technical or cultural?

To help address these questions, the committee created a survey that was sent to management level contacts identified by bureau directors across the City. The 180 recipients were those who have a general sense of how their divisions manage records. The intent of the survey was to assess the level of awareness across the City of recordkeeping responsibilities, rules and current practices, for paper as well as electronic records and email.

⁷ See Appendix C (i.)

Overall, 94 surveys were completed, for a response rate of 52%. Of these, nearly half were from the Bureau of Environmental Services, which has had a relatively robust implementation of TRIM in its Engineering Services division and requested the survey be sent to a large number of employees. At least one response was received from most of the other bureaus in the City, with Parks and Police being the primary exceptions⁸.

Among survey respondents, there was generally awareness of the existence of rules around electronic recordkeeping, but responses indicated that compliance with those rules lags significantly behind. Specifically:

- The majority of respondents indicated that consistent, thorough procedures for recordkeeping did not exist in their bureaus
- Expectations and responsibilities were not clearly defined
- Retention schedules were not consistently applied
- Network drives and email folders were not regularly reviewed, nor were records either appropriately retained or purged on a regular basis

Additionally, there was a strong need for training, with over 60% of respondents requesting training on recordkeeping rules and responsibilities, electronic records retention requirements, and learning about TRIM.

Steering Committee Findings

The Steering Committee arrived at a number of findings and recommendations at the conclusion of its work. These were developed through learning about the history and current status of electronic recordkeeping in the City; analyzing results from a records management survey; weighing the risks and benefits of the City's current practices and potential alternative scenarios; and bringing their own experiences with managing records and with TRIM into the dialogue.

The original objectives of the *City Enterprise Records Management System (E-Files) Project* remain as valid today as they were in 1999 and the Steering Committee findings clearly point to the need for a more concerted and broadly supported effort to help City bureaus comply with City record-keeping rules and better manage their electronic records.

Achieving these goals will require commitment and resources from City leadership, changes in bureau-level procedures and employee practices, tools for better records management, and enhanced support from Archives and Records Management staff. The recommendations presented in the committee report were developed to help move the City in this direction.

⁸ See Appendix E (ii.) for full survey results

Findings in Brief

The Steering Committee findings fall into four areas, described in more detail in the following sections:

1. Business Needs: Easy access to critical records, education and training, and technology tools are needed to ensure successful electronic recordkeeping
2. Compliance and Responsibilities: Awareness of rules is greater than employees' and bureaus' adherence to them and enforcement of the rules is lacking. From line staff to leadership, recordkeeping responsibilities are not clearly defined within bureaus and training on responsibilities is insufficient
3. Funding: Current resources are inadequate and unsustainable for a Citywide approach to electronic recordkeeping
4. Priorities: Focus should be first on record sets that are high risk, high visibility, and high volume

Finding #1: Needs

After reviewing the history of electronic recordkeeping efforts, analyzing the survey data, and hearing bureau experiences and concerns, the Committee identified the following needs for comprehensive Citywide electronic records management:

- A strategy and process for the long-term preservation of electronic records
- Education and training outreach efforts reaching all City employees
- Ownership of recordkeeping responsibilities at all levels of the City
- Consistent response to public records requests and litigation to ensure transparency
- Ease of access to widely used source documents to benefit business operations
- Designing ease of use into the electronic recordkeeping system to increase acceptability by users and achieve overall greater compliance with requirements
- Compatibility between TRIM and a given business application to increase the likelihood of records being properly maintained and preserved

Finding #2: Compliance and Responsibility

In addition to state and federal requirements, City Administrative Rule 8.12 requires that the principles of records management, preservation and orderly disposition that are applied to a bureau’s paper records must also be applied to its electronic records. The rule requires that each bureau establish procedures to:

- Identify which electronic records and emails constitute evidence of a bureau’s organization, functions, policies, decisions, procedures and essential transactions
- Identify the record copy of its electronic records and emails, and assign recordkeeping responsibilities to specific positions
- Regularly review the information kept on its individual or network drives
- Ensure that electronic correspondence (email) is properly managed and retained
- Ensure that electronic records and emails are maintained in a storage environment that complies with authenticity, access, retrieval, retention and destruction requirements

The results of the survey as well as the observation of Steering Committee members on practices in their own bureaus and the experience of Archives and Records Management staff in working with bureaus on records management strongly indicate that there is a gap between awareness of what is required to comply with recordkeeping rules and actually implementing a plan to do so.

Excerpts from Survey Results⁹

**Table 1: Knowledge of Rules
(among bureau staff with recordkeeping familiarity/responsibility)**

	Yes	No
Are you are aware of City Administrative Rules for the management and preservation of electronic records and email?	79.8%	20.2%
Do you believe your division staff members know which records they must retain as part of their job responsibilities?	67.4%	32.6%
Do you believe your division staff members know how long to retain their records and whether or when they can be destroyed?	56.8%	43.2%
Do you believe your division staff members are familiar with the record retention schedule that applies to their records?	52.6%	47.4%

⁹ See Appendix E (ii.) for full survey results

**Table 2: Compliance with Rules
(among bureau staff with recordkeeping familiarity/responsibility)**

	Yes	Partially	No/Unknown
Does your division have established procedures to identify which electronic information on its network, including all email correspondence, comprise official records of the bureau?	16.7%	38.3%	44%
Have the recordkeeping responsibilities for electronic information and email been assigned within your division?	19%	40.5%	40.5%

	Weekly-Annually	When Full or Rarely	Unknown
How frequently does your division review network drives to distinguish between what must be retained and what can be purged?	8.3%	56%	35.7%
How frequently does your division review email folders to distinguish between what must be retained as official City record and what can be purged?	2.4%	59.5%	38.1%

The Committee discussed possible causes for these results, including lack of Citywide direction for ensuring procedures are set in place and followed; inadequate resourcing for large-scale implementation of a Citywide solution; the need for additional education, training and monitoring by the Auditor's Office, lack of enforcement of the rules or clear consequences for non-compliance and the absence of time and available staff for bureaus to effectively manage their records. Although there are consequences for not being able to locate or produce reports for a business need or in support of litigation, there are no immediate penalties for failing to comply with existing electronic recordkeeping rules.

The Committee found that improvements are needed across the City to ensure that responsibilities are clearly defined and assigned within bureaus. Bureau directors should take a leadership role in encouraging compliance with recordkeeping responsibilities and put procedures in place to ensure the rules are carried out; and individual employees must take responsibility and be held accountable for recordkeeping. Significantly enhanced training and monitoring are needed to support and institutionalize these efforts.

Finding #3: Funding

In its analysis of the Auditor's Office FY 2012-13 budget request, the City Budget Office recognized the importance of having a sustainable solution for electronic recordkeeping compliance and recommended that Council allocate resources behind the recommendations of the TRIM Steering Committee. The Steering Committee also confirmed that growing the program was necessary to support Citywide compliance with ADM 8.12 and improve electronic recordkeeping. Additional funds will be needed for expanded implementation, license purchases, rollout and training, and increased ongoing costs for maintenance, support, training, and monitoring. Expanding TRIM will have additional costs to the City's IT infrastructure as well.

The Committee studied the manner in which the TRIM system is now funded. Currently, the Auditor's Office absorbs nearly all costs associated with Citywide records management and TRIM. The Police Bureau has its own instance of TRIM for managing field records, and BES, has purchased licenses for several divisions. These bureaus purchase TRIM licenses and pay annual maintenance costs from their own budgets. All other TRIM licenses are provided to bureaus free of charge from the stock purchased by the Auditor's Office. The Auditor's Office currently pays for the storage of all records (except the Police and Development Services Bureaus) residing in TRIM. Initial purchase of TRIM and subsequent purchases of additional licenses and storage were done through one-time budget requests and on-going allocation for two FTE to administer TRIM and the electronic records management program.

The Committee initially agreed on the following criteria to help frame the new funding model:

- Ease of recovering both one-time and ongoing costs
- Ability to adjust to fluctuations in costs (staff, server space, software, infrastructure, etc)
- Bureau costs reflect use
- Simple and defensible metrics used to allocate costs to bureaus
- Scalability of the model to increasing/decreasing use by bureaus
- Model encourages records retention best practices

Over the course of the Steering Committee's work, it became clear that some of these criteria were in conflict with one another. For example, ease of administration and encouraging records retention best practices conflict with the desire for costs to reflect actual bureau use and adapt to changes in bureau use. Because of these conflicting requests, the Committee arrived at a roadblock in mapping out a funding model. The Auditor's Office, on behalf of the Committee, asked the budget analyst assigned to the Auditor's Office to develop a recommended model and guidance in order to ensure that the funding mechanism be sustainable and in concord with the City's financial policies and practices. Two funding models were offered by the analyst¹⁰:

1. *General Fund Overhead.*

The first option considered the expansion of the electronic recordkeeping program simply as an increased element in services already provided by the Auditor's Office. This treated allocation of costs as they are now, as part of the General Fund Overhead model. The benefits of this model include ease of administration and cost recovery, alignment with current funding for the Archives and Records Management function, long-term stability, and encouraging bureau usage of TRIM. The drawbacks identified were that it is not as flexible to respond to changing program needs, is not sensitive to the level of use or service demands by individual bureaus, and does not recognize investments in TRIM already made by some bureaus.

2. *Interagency Agreements.*

The second option was based on establishing interagency agreements between bureaus and the Auditor's Office, using defined metrics to allocate bureau usage costs. The advantages of this model were that it could be scaled to a bureau's specific uses or needs and could grow or decrease as those needs changed. It would also take into account the investments that some bureaus, in particular BES, had already made in TRIM. The disadvantages of this approach were that it would be difficult to administer and require dedicated additional staffing for the Auditor's Office, could discourage the wide-scale use of TRIM as bureaus attempt to control costs, and would not provide a stable, Citywide solution for electronic records management.

¹⁰ See Appendix C (i.)

Of the two models, the budget analyst indicated that the General Fund Overhead model would be the most appropriate methodology because “TRIM provides Citywide benefit and as such, is eligible and appropriate to receive GFOH.” The Auditor’s Office agreed with this assessment, preferring an approach that built on the existing electronic records management program, which is funded through the Overhead model, and one that ensures stability and encourages good recordkeeping practices Citywide. The analysis also noted that the current fiscal environment might make it difficult for Council to approve new General Fund resources and that they might therefore be more inclined to accept a plan based on Interagency Agreements that would support program expansion with existing bureau resources.

The Steering Committee reviewed the recommendation from FPD and rather than proffer a single recommendation, chose to capture each committee member’s preference by vote¹¹. Overall, the vast majority of Steering Committee members preferred the General Fund Overhead model. The IA model was strongly preferred by some because it was seen as the only way to accurately reflect the substantial investment in TRIM already made by BES. As an enterprise bureau, BES does not want to pay again, through the overhead model, for a program it has already purchased.

Many in the group wanted to see a “hybrid” model, in which on-going costs were in the GFOH model, while one-time and ramp up costs were covered in a one-time GF Discretionary request. The hope was that this combination would address the concern about sunk costs for some bureaus. The Committee also expressed a preference that the funding model include a base level of service, including TRIM license, training and support and a designated amount of storage that would be covered within the Auditor’s Office budget. Any additional costs for expanded service or functionality, such as integration with other IT systems or large data storage requirements, would be recovered through interagency agreements with bureaus.

Although it stopped short of making a formal recommendation on a funding model, it became clear that the hybrid model described above, which combines one-time requests and ongoing funding through the Overhead Model, along with a base level of service and additional costs for custom or large installations recovered through Interagency Agreements, would best meet the criteria established and accomplish the goal of creating a flexible, sustainable source of funding for TRIM into the future.

¹¹ See Appendix C (iv.)

Finding #4: Priorities

The Steering Committee and A/RM staff identified a list of the types of records that are most critical to capture in TRIM. This list should help guide the priorities of the roll out effort and assist bureaus in identifying their highest records retention needs. The following types of records were identified as highest priority:

- Email, because of its unstructured nature and enormous volume
- Records in bureaus with Citywide functions or functions that span many bureaus
- Records maintained electronically with retention requirements of greater than 10 years
- Records regularly subject to litigation
- Records that pose risks and liabilities if not properly managed
- Records with high public interest/value

Steering Committee Recommendations

In order to address the findings in this report, bring the City into greater compliance with laws and administrative rules, and implement better electronic records management practices, the Steering Committee recommends that a more robust, broader electronic records management program be developed, building on the existing program and tools. The Committee recommends that a formal framework be developed to increase Citywide understanding and accountability related to electronic recordkeeping responsibilities at all levels.

To be successful, a Citywide approach to electronic records management systems and best practices requires commitment that starts at the top of the organization with City Council and bureau directors. There needs to be a financial commitment as well as a commitment to comprehensive and ongoing implementation.

To be successful, a Citywide approach to electronic records management must also recognize that certain City records continue to be maintained in a hard copy format and continue to apply existing records management principles and best practices to them as well.

The Steering Committee has identified the following specific recommendations to address the stated findings:

- A. Ensure responsibility for electronic records management is accepted at all levels of the City.
 - Bureau directors must ensure plans and accountability systems are in place
 - Managers must ensure bureau plans for compliance are followed
 - All staff must receive orientation and have clear roles and expectations set for them by the City and their bureaus
 - Bureaus must amend job descriptions to include language referencing recordkeeping responsibilities
 - Bureaus must ensure compliance with PCC 3.76.050¹² and require that this liaison role be included in the job description of at least one management level employee per bureau
- B. Establish and convene a Citywide advisory committee to ensure ongoing input from bureaus and users into the expansion of the program and other records issues.

¹² **Duties of Elected Officials and the Managers of City Agencies.** Each City elected official and agency manager shall: K. Designate a management level employee to act as a liaison between the agency and Archives and Records Management on all matters relating to the archives and records management program.

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- C. Enhance current records management training options and make them available to all employees at all levels. Mandatory Citywide records trainings will be modeled on HR Rule 2.2 training requirement, covering basic RM 101 and more specifically A/RM Admin Rule 8.12. Employee training will focus on individual responsibilities, with additional management level training on bureau responsibilities.

Implementing this recommendation will entail increasing the number of staff members, as well providing multiple training models and types, including a user group, online courses, annual refreshers, customized training, etc. The Auditor will work with the City's Training and Employee Development staff to maximize the options, technology, and reach of training opportunities.

- D. Develop a process for monitoring and enforcement of relevant rules and laws. In order to track compliance, bureaus shall submit status reports to the Auditor's Office on an annual basis. The City Auditor will issue a combined annual report on progress to City Council.
- E. Expand the availability of TRIM software Citywide to provide the means for all employees to manage their electronic information in compliance with recordkeeping responsibilities. This recommendation will entail the purchase of additional seats, increasing staffing capacity to support a large scale implementation and ensuring adequate IT infrastructure is in place.
- F. Encourage Citywide records retention best practices and compliance with Admin Rule 8.12. Undertake a 5-year TRIM deployment and training curriculum to provide all employees with the knowledge and tools to be able to meet their electronic recordkeeping responsibilities¹³.
- G. Create a sustainable funding model to support the enhanced electronic records management program. The Committee recommends that a funding package be developed for consideration by Council and that the model include a base level of service covered within the Auditor's Office budget allocation, with any additional costs incurred for large or specialized deployments charged to the using bureau.
- H. Prioritize areas where TRIM implementation will provide the greatest benefit. Certain types of records may be identified by bureaus, the City Attorney, Risk Management or the City Auditor as priorities for inclusion in the TRIM repository. Criteria for selection include:
- Email because of its volume and lack of structure
 - Records that generate high public interest
 - Records frequently needed for litigation
 - "Born digital" records with retention of longer than 10 years
 - Records from bureaus that provide Citywide functions or services
 - Vital records
 - City-generated or commissioned reports and studies

¹³ See Appendix D (i.) for TRIM implementation timeline

CITY AUDITOR RECOMMENDATIONS

5-Year Implementation Plan

The Auditor's Office has developed a plan to implement the recommendations of the Steering Committee. The goal of a Citywide TRIM implementation is to provide the tools and training to allow all employees to manage their electronic information in an efficient, cost-effective manner that complies with public records requirements and fosters government transparency.

The TRIM tool and appropriate training would be provided to all City employees who – in the course of their job activities – create, maintain or need regular access to City electronic records and email. Cost estimates for a 5-year implementation can be found in Appendix C (iii.).

The 5-year time frame provides a realistic target for attaining the stated goals of records management compliance and practice while taking into account the complexity and breadth of records produced by the City.

Such an implementation would involve activities and components falling into several categories:

- **Policy and Governance**
- **Training**
- **TRIM administration / testing**
- **Staffing**
- **Finance**
- **Scheduling**
- **Compliance and Monitoring**
- **Software / IT infrastructure**

Policy and Governance

Sponsorship and overall responsibility for the TRIM implementation will reside with the City Auditor. The City Auditor will update City Council annually on the progress of the implementation.

The TRIM Steering Committee will continue to meet, as appropriate, throughout the 5-year implementation period to validate overall goals and determine implementation priorities for each upcoming year. During the course of the implementation it may be necessary to create or update City Code or policy documents associated not only with recordkeeping but also with employee behavior and technology services. This committee will help coordinate those efforts. After the implementation is completed the committee may continue to exist in an advisory role on major records policy issues.

A separate bureau-level records liaison group will also be established to maintain communication between bureaus, the Steering Committee and the Archives and Records Management TRIM implementation team on all issues related to the TRIM implementation in particular or to recordkeeping issues in general. Communication with bureaus that are scheduled to be trained in the coming year will be the priority.

Over time, as bureaus are trained and provided with the TRIM tool, the Auditor's Office will begin to monitor and report on bureau compliance with the established electronic recordkeeping requirements.

Training

Bringing all employees the skills and tools necessary to effectively manage their electronic information will require training on several fronts. Knowledge of public records laws and responsibilities and familiarity with records management principles and practices will be a prerequisite to learning how to use TRIM.

The Auditor's Office will consult the BHR Training & Development division for guidance on existing tools and methods. Initial efforts will be focused on researching and acquiring training tools and modifying existing records management and TRIM training materials for different delivery methods, such as:

- In person classroom
- Live/recorded webinar
- Web-based on-demand
- Text-based reference material
- Train the trainer for selected bureau power users

Mandatory public records / records management training will be modeled on BHR's workplace discrimination training and will be offered regularly. TRIM-specific training will be targeted to specific bureaus or category of users determined by the priorities that have been established by the Auditor's Office and Steering Committee.

A TRIM user's forum will be established to share peer-to-peer knowledge and learning tips, with occasional live educational events scheduled, if warranted.

TRIM Software Administration and Testing

TRIM is a highly scalable product that, when properly deployed and administered, will easily meet the electronic records management requirements and functionality needs of the City.

To take full advantage of the system's potential the Auditor's Office meets with bureaus and individual workgroups to learn about their business processes and the records associated with their work activities. This analysis results in building a series of classification plans that apply bureau-specified naming conventions, retention requirements, ownership information and security and access controls to the records in the system.

User profiles are created to align an individual's job responsibilities with appropriate permissions in the system.

Each bureau plays a significant role in determining the attributes of their classification plans and user profiles. Devoting serious attention on the front end of the process pays big dividends once the system is deployed.

Simplified generic classification plans can also be created for a broader community whose job responsibilities have a limited need for maintaining electronic records.

Once the priorities have been established by the Steering Committee, the Auditor's Office will work closely with BTS on deployment, user support, data storage and server requirements associated with TRIM.

As new Citywide business applications are considered it will be essential to establish compatibility with TRIM to guarantee seamless transitions.

Bureaus may elect to research and evaluate optional TRIM modules or apply additional programming to integrate other business applications to the system as warranted.

Staffing

The initial set up, deployment and requisite training for a Citywide software application such as TRIM can be considered a project with a beginning and end. But to achieve compliance from all employees with electronic recordkeeping legal requirements and to institute best practices in all bureaus is a programmatic change that will require staffing resources beyond current Auditor's Office capacity.

Currently, all TRIM related activity, training, system administration, integration with bureau work processes, end user support etc. is performed by two Archives and Records Management staff members: a full time business systems analyst devoted entirely to TRIM; and a records analyst spending approximately 1/3 of time with TRIM.

It is estimated that two additional Auditor's Office analysts will be required for the software and records management training, bureau integration and application development necessary to achieve Citywide electronic recordkeeping goals. An additional application analyst – either Auditor's Office or BTS staff –will be necessary to maintain the system infrastructure.

The focus in the first year will be on development of training content and delivery methods. The following three years will be devoted to employee records management education, software training and bureau work process integration.

After a sustainable level of compliance is established, staff resources will be divided between ongoing training and user support and advanced, value-added integrations between TRIM and other function-specific business applications that maintain City records¹⁴.

Finance

The financial administrative tasks of a Citywide implementation of TRIM will consist of:

- Contracting with Hewlett-Packard for additional software licenses and ongoing software maintenance
- Establishing contracts with vendors, if necessary, for goods or services associated with initial or ongoing training
- Negotiating contracts for new TRIM functional modules that benefit an individual bureau or the City as a whole
- Working with BTS to develop storage cost charge-back mechanism
- Establishing interagency agreements, if necessary
- Contracting with vendor, if necessary, for any specialized integration between TRIM and other City systems

¹⁴ If the decision is made to fund TRIM strictly via interagency agreements an additional half-time position will be required to administer that function.

Scheduling

Upon City Council approval of the TRIM implementation budget request, the TRIM Steering Committee will convene to create the detailed project implementation and communication plans for years 1 and 2. Less detailed plans will be created and updated annually for years 3 through 5 of the implementation.

Specific project management steps and timelines will be coordinated with the designated liaisons from bureaus on the Steering Committee priority list.

Compliance / Monitoring

Certain operational and financial benefits derive from properly and efficiently managing the City's electronic information. There are also federal, state and City rules with which we must comply. As with any rule that governs employee expected behavior, there must be a mechanism in place to assess progress towards full compliance.

The City Auditor will take the lead on reviewing and updating, if necessary, rules related to City recordkeeping practices that exist in City Code, in BHR and City Auditor Administrative Rules and elsewhere. A simplified electronic records retention schedule has been designed to ensure that records are retained based on their appropriate business, legal, fiscal and historical value.

The Audit Services Division will be consulted to help develop methods and metrics for monitoring bureau compliance with electronic recordkeeping requirements.

Progress on bureau compliance with electronic recordkeeping requirements will be a component of an annual report to Council.

Software / IT infrastructure

Establishing and maintaining a valid electronic recordkeeping system and program will require a strong alliance between the Auditor's Office and BTS. Planning, implementation and ongoing maintenance activities must be compatible with information technology standards and must function properly within the City's IT infrastructure and landscape.

Working with TRIM-specific BTS contacts the TRIM administrator will maintain regular contact with BTS to:

- Properly route and respond to end user support needs
- Monitor and ensure availability of data storage
- Acquire additional servers (physical or virtual) as needed
- Perform server, software upgrades as necessary

Conclusion

The information environment that drove this office twelve years ago to undertake serious efforts to improve the City's electronic records management practices has grown in both scope and complexity since that time. City policies put in place to guide bureaus are not universally followed. A technology solution exists but is not available to all employees. Myths prevail about electronic information being backed up and preserved. Costs of recovering "archived" data rise because there is no unified logic to how it is structured. Storage costs rise because there is no City-wide commitment to reducing duplicative records. Retention requirements are applied inconsistently to electronic records and email.

The City's records and information are as important an asset as its buildings, streets or sewer lines. Ignoring any of these assets puts the City at legal and financial risk. Maintaining any of these assets requires an investment of funds and personnel. The costs associated with protecting, preserving and properly managing our City's electronic records will continue to increase – the longer a commitment is delayed, the higher the ultimate price will be. This office strongly encourages City Council to support the recommended action plan in this report by approving appropriate funding.

APPENDICES

Content of Appendices

Appendix A (i.) – Administrative Rule ARC-ADM 8-12; Ordinance 182637

Appendix A (ii.) – Links to State and City recordkeeping rules

Appendix B – TRIM functionality and statistics

Appendix C (i.) – Budget Office TRIM recommendations and analysis memo with attachments

Appendix C (ii.) – TRIM Base model components (proposed)

Appendix C (iii.) – Projected TRIM costs for full implementation over 5 years

Appendix C (iv.) – Steering Committee vote on preferred funding model

Appendix D (i.) – TRIM Implementation Project Plan

Appendix D (ii.) – Typical TRIM rollout steps to workgroup

Appendix E (i.) – Steering Committee members

Appendix E (ii) – Complete recordkeeping survey results

ADM-8.12**Management, Preservation and Storage of Electronic Records and Electronic Mail Correspondence (E-Mail)****Purpose**

This policy gives bureaus direction on complying with: **BHR Administrative Rule 1.03 Public Records Information, Access and Retention; BHR Administrative Rule 4.08 Information Technologies; and City Code Chapter 3.76 Public Records.** Part of Code Chapter 3.76 sets forth:

3.76.050 Duties of Elected Officials and the Managers of City Agencies.

Each City department, agency, bureau, office, commission, board, or public corporation shall:

A. Make and preserve records containing adequate documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency which are designed to furnish the information necessary to protect the legal and financial rights of the City and of persons directly affected by the agency's activities;

B. Ensure staff compliance with City records policies and procedures established by Archives and Records Management;

Although Code Chapter 3.76 refers to public records "regardless of physical form or characteristic", this policy document focuses specifically on the management and preservation of records maintained in a digital or electronic form, including electronic mail correspondence (e-mail). Since electronic records cannot be accessed, used or stored without the aid of computer hardware, software and storage media – all of which are subject to frequent obsolescence – special steps must be taken to preserve the reliability, authenticity and accessibility of electronic records for the duration of their retention period.

Authority

City Code Chapter 3.76.030 Archives and Records Management Program Creation and Administration

The City Auditor shall maintain a professional Archives and Records Management Program for the City, and shall be responsible for the care, maintenance and access of all City records.

City Charter 2-504 (a) 3 Auditor - Duties in General

Maintenance of all official records, including records of the various bureaus, records regarding the City Charter and City Code, and all other records regarding City business

Policies

Each bureau shall establish procedures to identify which electronic records and e-mails constitute evidence of the bureau's organization, functions, policies, decisions, procedures and essential transactions.

- A. Not everything stored on a City computer or server meets the definition of a “record” for retention purposes. This policy is concerned with the management and preservation of records as described in City Code 3.76.050, paragraph A (above). Bureaus possess other electronically stored information that – although not a record – is discoverable in the event of litigation or that may be subject to disclosure for a public records request. Consult the Office of the City Attorney for guidance on responding to litigation or to public records requests.¹
- B. The focus of this policy is limited to those electronic documents, e-mails or data collections that a bureau or individual consciously regards as evidence of that bureau’s “functions, policies, decisions, procedures and essential transactions of the agency”.

Each bureau shall establish procedures to identify the record copy of its electronic records and e-mails, and assign recordkeeping responsibilities to specific positions.

- A. Electronic records and e-mails are easily copied and distributed. Once a bureau establishes which electronic documents, data and e-mails constitute evidence of its activities, it must then identify *which copy* is the one that will be maintained officially for retention purposes, and assign responsibility for keeping it. This copy is known as the record copy.²
- B. Bureau management must identify which position within the bureau is responsible for maintaining each category of that bureau’s official City records. In general, the individual that is responsible for a particular function, project or program is required to maintain the official copy of all records, as well as internal and external e-mail correspondence, both incoming and outgoing, related to that responsibility. If job responsibilities overlap or are shared as part of a work team, bureau management must clearly delineate and assign specific responsibilities for maintaining electronic records and e-mail correspondence and ensure that the assigned roles are understood.
- C. This designation process is important because once the record copy has been identified and assignments have been made to preserve it, other copies (known as convenience copies) no longer need to be retained. As a responsible practice bureaus must establish procedures to remove convenience copies regularly from individual or network drives. Similarly, individuals not responsible for maintaining the record copy of sent or received e-mails may retain copies for informational purposes, but should delete them as soon as possible. If the designated record copy is a paper record it is acceptable to retain an electronic version for easy access – but as soon as the need for frequent access diminishes, these electronic convenience copies should be purged. If steps are not taken to identify record copy e-mails and electronic records and assign retention responsibilities

¹ See Binding City Policy ADM-8.03 - Public Records Requests

² Record Copy – the single copy of a document, often the original, which is designated as the official copy to be preserved for the entire retention period

for them, the City may find that no one retains these records or that everyone retains them. Neither of these scenarios is acceptable.

Each bureau shall establish procedures to regularly review the information kept on its individual or network drives.

- A. To ensure that City records are being properly managed and preserved, each bureau or office shall establish policies and procedures directing employees to regularly review their electronic files and e-mails residing on bureau computer hard drives and network drives.
- B. The purpose of this review is to:
 1. Identify which files and e-mails constitute official records that must be retained per the City retention schedule.
 2. Migrate official City records to a suitable storage repository together with sufficient indexing information or taxonomy to allow for proper retention and future retrieval of the records.
 3. Determine which files are convenience copies or do not constitute official records and remove them from City network drives/servers.

Each bureau shall establish procedures to ensure that electronic correspondence (e-mail) is properly managed and retained

- A. Categorization of e-mail records by subject matter content

It is not allowable under Oregon Administrative Rules to attach a single retention period to all e-mails [OAR 166-200-0010(5)]. Since the content of an e-mail message can vary immensely – from a lunch invitation to a critical bureau decision – the retention of e-mail must be based on the content and context of the message and its attachments.

Not every e-mail sent or received needs to be retained. The user must determine which of the following two categories the e-mail falls under: *Transitory Records* or *Correspondence*.

1. Transitory Records
E-mails of short-term interest (90 days or less), which have minimal or no documentary or evidential value. Included are such records as:
 - Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply
 - Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material

- Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of office parties, holidays or charity fund appeals, and other similar records
- Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities³
- Listserv messages
- Fax confirmations
- Reading materials
- Reference materials
- FYI e-mail information that does not elicit a response
- Unsolicited advertising

E-mails that fall under the *Transitory* category should be deleted from the e-mail system by the user as soon as any operational or informational value has expired.

2. Correspondence

E-mails that directly relate to City programs, management or administration. These include but are not limited to formal approvals, directions for action, communications about contracts, purchases, grants, personnel, etc; and correspondence relating to a particular project or program.

E-mail messages that fall under the *Correspondence* category must be managed as an official City record in a suitable storage environment.

B. E-mails as public records

E-mail messages that fall under the *Correspondence* category constitute public records and are subject to disclosure under Oregon Public Records Law. City employees are responsible for identifying and managing their job-related e-mail correspondence in compliance with the City retention schedule, this set of policies as well as bureau procedures.

If employees send or receive e-mails related to City business using a non-City computer or personal handheld device (such as a Palm Pilot or BlackBerry), the e-mails, as well as the equipment itself, may be subject to search in the event of a public records request or litigation. If employees use non-City e-mail accounts for correspondence related to City business, those communications are public records and subject to discovery and/or disclosure.

C. Authenticity and Context of E-mail Records

E-mail messages must be maintained in a manner that preserves contextual information (metadata) and authenticity. An authentic e-mail record should completely and accurately

³ This does not include Calendars, which do need to be retained per the retention schedule: permanently by elected officials and bureau heads; and for 1 year by other City employees.

document the activity to which it pertains. It is unacceptable to save only the text in the body of the message and none of the sender/recipient information or attachments.

Complete e-mail records must include, at a minimum, all of the following elements, as applicable:

- Recipient(s), including any group list members
- Sender
- Subject Line
- Text of message itself
- Time and date sent
- Complete attachment(s), which should be included in full (not just indicated by file name)

D. E-mail accessibility and searchability

E-mail messages, including any attachments, must remain accessible and reproducible during their entire retention period. The messages must be searchable by multiple data elements, including sender, recipient(s), date sent or received, subject line, as well as by the text of the message itself and any attachments.

E. Working within the e-mail application

It is each user's responsibility to identify and manage their job-related e-mail records in compliance with City retention policy and bureau procedures for maintaining record copy electronic records.

To prevent the loss of record copy e-mails, users must actively manage their incoming and outgoing correspondence. E-mail applications are intended to be used as message delivery systems, not record storage systems. Maintaining messages in the e-mail application for a short time allows users to retrieve the message for reference or for replying or forwarding. However, no retention rules are applied to the messages and access is restricted to the holder of the e-mail account. For these reasons, any e-mails that need to be retained for longer than 90 days must be actively managed.

By default, City e-mail applications will delete any items left in the Inbox or Sent Items folder after 90 days. Users should create subfolders within their Inbox that correspond to their job responsibilities. These subfolders can be organized by job function, project, location or any other criteria that allows the user to identify the context of what is in the folder. When users either receive or send messages related to their responsibilities, they should file them in the appropriate folder. Messages in the job-related subfolders will not be deleted automatically after 90 days. However, size limitations will be placed on these folders. At least weekly, users must assess the messages they have placed in their job-related subfolders and identify which e-mail messages have a retention or reference value of longer than 90 days. These messages must then be migrated from the e-mail application to a storage system that allows for the proper management of the record.

Bureaus shall establish procedures to ensure that electronic records and e-mails are maintained in a storage environment that complies with authenticity, access, retrieval, retention and destruction requirements.

The City Auditor's Office recognizes two compliant methods of managing City electronic records and e-mails. They are described in Appendix I and Appendix II. Bureaus must use one of these methods to comply with City recordkeeping requirements.

Summary of Responsibilities

Bureau managers must ensure that employees are trained to identify and manage record copy electronic records and e-mails related to their job responsibilities, in compliance with this policy.

Each City employee is responsible for categorizing and maintaining electronic records and e-mails related to their job responsibilities; and routinely cataloging those records using the appropriate storage method in use by the bureau.

The Auditor's Office must provide regular training in electronic records and e-mail management, including the use of approved electronic recordkeeping systems, or other storage methods.

The Auditor's Office must ensure continued preservation and access, in compliance with State requirements, to permanent-retention electronic records and e-mails within its electronic recordkeeping system.

Appendix I

City Enterprise Electronic Records Management System (TRIM)

The Office of the City Auditor administers an electronic records management software system – known as TRIM or Efiles – that meets reliability and authenticity standards, and applies retention requirements, security settings, access controls, structured context and enterprise-wide searchability to appropriate records and e-mails within it.

Bureaus that have access to the system and have received appropriate training from the Auditor's Office are to use TRIM to manage all record copy City electronic records and e-mails.

Implementation of the system within a bureau is preceded by user training in public records responsibilities, basic records and e-mail management principles, electronic filing system guidelines and instruction on integrating the system with bureau business practices.

Individual users are trained to integrate TRIM with their existing e-mail and desktop applications, so that record copy e-mails and other electronic documents can be easily filed within the system.

Appendix II

Approved Electronic Record and E-Mail Storage Procedures
for Bureaus Without Access to TRIM System

Transitory or Convenience Copy Electronic Records and E-mails

Convenience copies and non-record electronic documents should not be stored, but rather should be purged from network drives as soon as their reference value has expired. Bureaus must establish procedures to monitor and regularly delete such information.

By default, the City e-mail application will delete any e-mails older than 90 days that remain in the Inbox folder or the Sent Items folder. When users send or receive e-mails that are either transitory or for which they are not responsible for maintaining the record copy, they should delete them immediately. However, if they take no action and leave them in the Inbox folder or the Sent Items folder, the e-mails will be purged automatically by the e-mail application after 90 days. To prevent the loss of record copy e-mails, users must actively manage their incoming and outgoing correspondence. (*See Section 8.04.4*)

Storage For Electronic Records and E-mails With A Retention Period Shorter Than Five Years⁴

1. Bureau Business Applications

Certain bureaus use specialized software applications for specific business functions, such as accounting, inventory control or project management. Bureaus may store record copy City records with a retention period of less than five years within such a system provided that the system (with human intervention, if necessary):

- Is backed up daily by Bureau of Technology Services
- Can retrieve the authentic record – with its contextual information and metadata intact – for the entire retention period
- Can identify, retrieve and delete records that have reached the end of their retention period
- Can document how these conditions are achieved

(Note: these systems should not be used for storing e-mails unless they capture the complete, authentic message. It is not sufficient to simply cut and paste the text of the message into a text field within the application.)

2. Bureau Network Drives

Bureaus without access to the Efiles system may store record copy electronic records with a retention period of less than five years on network drives, provided that:

⁴ Some retention periods are linked to a triggering event, such as the close of a contract term or the termination of an employee. When calculating how long a record needs to be retained, the time period leading up to the triggering event must be included. For example, if a particular kind of permit has a retention period of “3 years after expiration”, and the permit is in effect for 2 years, then the total “lifetime” of that record is 5 years.

- The drive is backed up daily by Bureau of Technology Services.
- The bureau maintains all software and hardware necessary to retrieve the record for its entire retention period.
- The bureau establishes, monitors, and enforces the use of a classification system or taxonomy to file its electronic records. The classification system must be set up to preserve the business context in which the files were originally created, and each category within the system must correlate to the appropriate record series⁵ in the City retention schedule.
- The bureau trains its employees in the use of the classification system for all record copy electronic records.
- The bureau routinely identifies and purges records that have met their retention periods and submits annual reports of purged records to Archives/Records Management.
- The bureau documents how these conditions are achieved.

Bureaus without access to the Efiles system may also store e-mails on a network drive, provided they meet the conditions above and the e-mails are saved with an .msg file extension, which preserves the e-mail in its native format. Record copy e-mails are not to be stored as .pst files. (Note: bureaus and individuals are not to use the e-mail application's "archiving" function to manage record copy e-mails because this function merely moves the e-mails to another unmanaged environment.)

3. Removable Media

Removable media, such as CDs, DVDs and flash drives are not appropriate for storing record copy City records. Bureaus shall not use them for that purpose.

Storage For Records With A Retention Period Five Years Or Longer

Bureaus that intend to use bureau business applications or bureau network drives to store record copy electronic records or e-mails with retention periods of longer than five years must contact Archives/Records Management for review and authorization of the planned system.

Permanent Records

Oregon law requires records with a retention period of 100 years or longer to be "retained in hard copy or on microfilm for the entire scheduled retention period".⁶ Bureaus that create permanent records must consult with Archives/Records Management to create a formal plan to manage these records.

⁵ Record Series – a group of files or documents kept together (either physically or intellectually) because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use.

⁶ OAR 166-017-0080(2)

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Links to State of Oregon and City of Portland rules related to public recordkeeping requirements.

Oregon Revised Statutes Chapter 192 — Records; Public Reports and Meetings
<http://www.leg.state.or.us/ors/192.html>

Oregon Administrative Rules Chapter 166 Secretary of State, Archives Division
http://arcweb.sos.state.or.us/pages/rules/oars_100/oar_166/166_tofc.html

City of Portland Charter: Chapter 2 Government, Article 5 The Auditor,
Section 2-504 Duties in General
<http://www.portlandonline.com/auditor/index.cfm?c=28241&a=13531>

Portland City Code Title 3, Chapter 3.76 Public Records
<http://www.portlandonline.com/auditor/index.cfm?c=28448>

BHR Administrative Rule 1.03 Public Records Information, Access and Retention
<http://www.portlandonline.com/auditor/index.cfm?c=27933&a=12001>

Portland Policy Documents, Administrative Rules and Policies, Administration, Archives and
Records Management
<http://www.portlandonline.com/auditor/index.cfm?c=35190>

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Functional Overview & Statistics

TRIM Overview

TRIM Context is a comprehensive electronic records/document management tool that attaches retention, access control, searching and other bureau-specified rules and attributes to electronic documents.

TRIM integrates with desktop applications, with individual or shared folders on network drives and with specific business applications, such as TRACS. TRIM accepts records created from almost any application including e-mail, Word, Excel, PowerPoint, CAD drawings, TIFs, JPEGs, PDFs, MPEGs etc.

TRIM allows the bureau to establish customized access controls for specific types of documents: access for one type might be limited to a select work group; or access to another type might be unrestricted, granting availability to anyone with an Internet connection. For in-progress or working documents, TRIM provides collaboration and workflow tools that enable group editing and version control without the need to e-mail documents back and forth.

With TRIM as the central repository, the duplicative documents kept on network and e-mail servers can be eliminated. Users can find the information they need easily within the system so they won't feel the need to create their own copies on their individual drives. And if they need to share information, they don't have to send a copy – they can just send a link to the record in the system.

TRIM supports multiple searching methods, not only on the full content of any text-searchable document, but also by a wide array of metadata elements, whether automatically captured by the system or specially defined by the bureau.

TRIM can be used to identify the bureau's vital records – those that are essential for the resumption of business in the time immediately following a disaster – so that extra measures are taken to safeguard them. Records maintained in TRIM will comply with federal, state and city retention requirements.

The overall goal – to make information, regardless of format, readily available to the people that need it – does require work up front. The key to making this happen, and the foundation for a successful TRIM implementation, is the creation of an intelligent, logical, easily understood filing classification plan, based on the functions, services, projects or programs that the bureau carries out every day.

The concept is simple: responsibility for a function or a program includes managing the associated records. It takes cooperation and commitment to turn that simple concept into a bureau-wide classification plan, but it can be accomplished by following a process that includes:

- Training from the Auditor's Office on e-mail/records management responsibilities and the creation of classification plans
- Identifying individual or shared job responsibilities within the bureau
- Assigning recordkeeping responsibilities for shared programs or projects
- Identifying, by purpose or function, categories of records associated with a program/project

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- Establishing naming conventions that will be understood by both the record creators and searchers
- Establishing security settings and access controls for the classification plan categories
- Linking the classification plan categories to the appropriate retention rules
- Training from the Auditor’s Office on TRIM and its integration with bureau systems and activities

Once TRIM is up and running in the bureau the advantages of being able to manage and share information strategically will become apparent and new beneficial uses for the software will be discovered.

TRIM Functionality	Potential Application	Benefit
Applies retention and preservation requirements to content	<ul style="list-style-type: none"> ▪ Applies to all City employee electronic documents and e-mail that pertain to their job responsibilities and have retention value per State/City definitions 	<ul style="list-style-type: none"> ▪ Compliance with Oregon Public Records Law and City Admin Rule 8.12 ▪ Information will be preserved for its entire legal retention period ▪ At the end of its prescribed retention period, information will be destroyed, mitigating risk and reducing storage needs
Applies security/access controls to content	<ul style="list-style-type: none"> ▪ Allows bureaus/workgroups to control access to their documents ▪ Ensures that final versions cannot be altered ▪ Controls what is viewable online 	<ul style="list-style-type: none"> ▪ Internal control ▪ Protects information from accidental/intentional alteration or deletion ▪ Allows some records, by designation, to be viewable immediately by the public
Applies customized filing / naming conventions to content via a customized classification plan	<ul style="list-style-type: none"> ▪ Standardizes filing practices across a bureau or workgroup ▪ Builds security, access, ownership and retention functionality into the filing system 	<ul style="list-style-type: none"> ▪ Classification plan aligns with bureau/workgroup business practices ▪ Users know where to file information ▪ Information can be more easily located – now and years from now ▪ Bureau-designated access and retention properties are built in to the structure to avoid unintended access to or destruction of records
Adds robust search and retrieval capability to content	<ul style="list-style-type: none"> ▪ Automatically indexes and makes searchable content of any text-based documents including e-mail and attachments ▪ Captures and makes searchable: dates; owner locations; file types; actions performed on records; user-defined fields; etc. ▪ Ad hoc customized searches can be created and saved 	<ul style="list-style-type: none"> ▪ Virtually impossible to “lose” a document ▪ Major time-saving in responding to public records or litigation requests ▪ Saved searches can be shared with other users/workgroups
Automatically creates url for open-access public-facing records	<ul style="list-style-type: none"> ▪ Use PortlandOnLine to link directly to reports in TRIM ▪ Send link via e-mail to documents instead of sending documents themselves 	<ul style="list-style-type: none"> ▪ Uses link to TRIM url – saves resources by not having to load copies of documents onto PoL ▪ If document needs updating, editing can be done in TRIM – no need to

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		<ul style="list-style-type: none"> reload document onto PoL ▪ Sending links to documents uses much less space than sending documents themselves
Accepts all file formats	<ul style="list-style-type: none"> ▪ TRIM has viewer that can read almost 200 file extensions ▪ Even if the TRIM viewer cannot open the document, it can still reside in TRIM and be accessed using the file's native software 	<ul style="list-style-type: none"> ▪ Preserves record authenticity by not modifying original file format ▪ Allows users to view certain file types even if they don't possess authoring software ▪ Allows related records – regardless of format – to be filed together to allow easier access ▪ Allows users to use the authoring software to access the document, if they prefer (provided they have the software on their machine)
Links to Outlook	<ul style="list-style-type: none"> ▪ Establish links between Outlook Inbox subfolders and related folders in TRIM – no limit on number of linked folders 	<ul style="list-style-type: none"> ▪ Project team members don't need access to another user's e-mail once the e-mails are in TRIM ▪ E-mails cannot be modified – authenticity is preserved ▪ Advanced searching can be performed on all content, including attachments, as well as all authors, recipients, dates etc. ▪ E-mails in TRIM can still be opened and responded to ▪ Once message is in TRIM, the Outlook copy is sent to Deleted Items, saving server space and duplication
Links to folders on network drives	<ul style="list-style-type: none"> ▪ Automatically catalogue all documents placed in bureau-designated folders 	<ul style="list-style-type: none"> ▪ Automates a manual process ▪ Can be set up to delete copy on network drive once the record is in TRIM
Is capable of linking to other business applications (additional programming usually required)	<ul style="list-style-type: none"> ▪ Repository for applications that are not intended to store large volume of documents (e.g. SAP, TRACS) ▪ Automatic capture and classification of high-volume document output 	<ul style="list-style-type: none"> ▪ Improves system performance by removing document “clutter” ▪ Seamless access to documents via business application ▪ Applies retention rules to system data ▪ Application owner can make documents available via TRIM if some users don't need full application ▪ Applies retention compliance to systems that lack that functionality
Allows document check-in / check-out and applies version control	<ul style="list-style-type: none"> ▪ Allows users to collaborate on documents in a controlled environment 	<ul style="list-style-type: none"> ▪ Users will always know which version is most current ▪ Earlier drafts are automatically preserved unless bureau determines otherwise ▪ Once document is “finalized” editing rights can be locked down to prevent further changes; bureau determines whether earlier drafts are

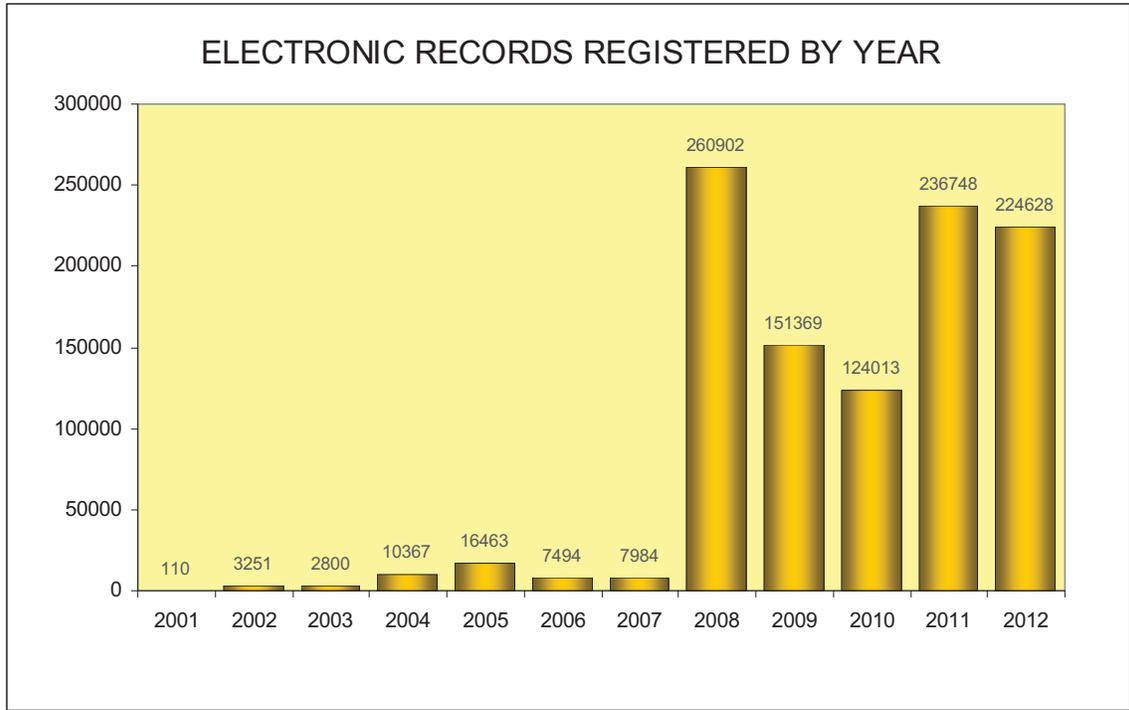
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		<p>preserved or deleted</p> <ul style="list-style-type: none"> ▪ Information about who made changes when are automatically captured in audit log
Allows creation of document workflows	<ul style="list-style-type: none"> ▪ Ad hoc and repeatable workflows can be created to route documents 	<ul style="list-style-type: none"> ▪ Applies consistency and internal controls to document routing ▪ Time constraints can be added to increase compliance with process deadlines
Creates automatic audit log of actions performed on records	<ul style="list-style-type: none"> ▪ Applicable in any situation where it is necessary to track any action that was performed on a given document 	<ul style="list-style-type: none"> ▪ Allows authorized users to see “who did what when” to a given record ▪ Encourages compliance with bureau access rules and internal controls
Implementation includes records management training	<ul style="list-style-type: none"> ▪ Applies to all City employees that create/use records 	<ul style="list-style-type: none"> ▪ Users learn basic recordkeeping principles and get introduction to Oregon Public Records requirements ▪ When records management principles are put into practice they can increase efficiency and save resources

TRIM Statistics

TRIM Licenses Owned (for named-users)	1675
Electronic Records in TRIM (as of 9/19/2012)	1,046,086
Documents Viewed by TRIM users	395.663
TRIM document revisions (check-out/check-in)	
Visits to Efiles (efiles.portlandoregon.gov), Jan 2010 - Present	77,963

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Appendix C (i.)
CITY OF PORTLAND
OFFICE OF MANAGEMENT AND FINANCE
Sam Adams, Mayor
Jack D. Graham, Chief Administrative Officer
Richard F. Goward, Jr., Chief Financial Officer

Andrew Scott, Manager
Financial Planning Division
Financial Services
1120 S.W. Fifth Avenue, Rm. 1250
Portland, Oregon 97204-1912
(503) 823- 6845
FAX (503) 823-5384
TTY (503) 823-6868

Date: September 12, 2012
TO: TRIM Steering Committee
FROM: Kezia Wanner, Financial Planning Division
RE: TRIM Funding Model Options

Background

At the request of City Auditor Griffin-Valade, Financial Planning is presenting the TRIM Steering Committee with analysis of select funding models for Citywide implementation of the TRIM system, a records retention and management system managed by the Auditor's Office. There are two separate but related parts to this analysis – the first section evaluates potential funding mechanisms (General Fund overhead or Interagency Agreements) for the expanded program, and the second part evaluates some possible options to allocate the program costs to user bureaus. Assumptions used and the benefits and drawbacks of the models are included within the narrative below.

The purpose of this analysis is to inform the TRIM Steering Committee's recommendations to Council regarding program funding mechanisms and cost allocation. The Steering Committees' specific evaluation criteria for selecting a funding model includes the:

- ease of the Auditor's Office recovering one-time and ongoing costs,
- ability to adjust to fluctuations in costs,
- adaptability of the model to increasing/decreasing use by bureaus,
- accuracy of costs reflecting bureau use,
- simplicity and defensibility of allocation metrics, and
- support for records retention best practices.

General Fund Overhead (GFOH)

The current TRIM program is managed by the Auditor's Office Archives and Records Division, which is funded by General Fund overhead, and as such, is considered an overhead (central service) function of the City government structure; therefore the expansion of the TRIM program could be characterized as an overhead function, as well. According to the City's Financial Policy 2.08, GFOH is the appropriate funding mechanism for general support services or activities budgeted in the General Fund.

Addressing the list of decision criteria above, funding TRIM expansion with GFOH 1) would provide a reliable source of funding in the event that Council made a formal decision to allocate resources to the program, and 2) would not present a financial disincentive for bureau usage and would therefore not impede records retention and management best practices.

The GFOH funding model is practical for a program in which the costs are consistent from year to year, and will grow roughly with the cost of inflation. If the program costs fluctuate significantly from year to year, this model lacks adaptability.

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Interagency Funding (IA)

The Interagency funding model structure would require individual agreements between the Auditor's Office and all City bureaus. These agreements would need to be monitored throughout the year, and negotiated and adjusted annually.

One aspect of the IA funding model is that bureaus may perceive the ability to negotiate their level of service, as is the nature of IAs. This could create a challenge to the TRIM implementation Citywide in that there would be a desire on the part of bureaus to minimize costs and not participate as fully as they might if costs were not negotiable.

Another point of consideration is the potential complexity of managing an IA-funded model. Funding Citywide TRIM expansion by IA is projected to require additional Auditor's Office staff to manage financial and administrative aspects of an expanded program, and the cost of the additional staff would be passed on to the user bureaus through their IAs. For the purposes of this analysis, a mid-range.50 FTE Assistant Management Analyst position (salary and benefits totaling \$45,690 in year one) is included in the IA-funding model costs, although if a simple cost allocation model is employed, less staff resources would be required.

Allocation of Costs

The program funding dictates the funding allocation options available. If the Steering Committee opts to support recommending a Council request for GFOH to fund the program, the allocation of costs would be the done according to the current GFOH allocation model - 25% position count/ 75% budget size.

If the Steering Committee supports an IA funding model, there are numerous cost allocation options. Some allocation methodologies are tied to levels of service, some employ metrics that are rough proxies for usage, and some attempt to distribute costs in ways to achieve stability, predictability, and equity but do not reflect actual usage. Members of the Steering Committee have expressed interest at different times, in both having allocations that are tied to actual usage as well as not having allocations that create disincentives for TRIM usage, but inherently cost allocations based upon use will affect participation.

Metrics that are commonly used as proxies for allocating costs include bureau budget size, bureau FTE count, and number of transactions of a specific nature (financial, email, council documents, etc.). In conducting this analysis several combinations of metrics were used in calculating the bureau cost allocations, including FTE, budget size, number of email accounts; all but the number of email accounts created disproportionate costs (per TRIM license) across the bureaus.

Email accounts serve as a proxy for the number of employees using computers and thereby creating electronic records, although it is an imprecise corollary.¹ This metric derives an average cost per seat which then is multiplied by the number of projected seats that will be assigned to the bureau. Using the number of email accounts to derive the cost allocations provides an equitable distribution of costs in that no bureau is paying more per seat than any other bureau and it allows for user bureaus to anticipate future costs with reasonable accuracy. A challenge to this allocation method is it may provide disincentive for use if bureaus feel that they can control costs by purchasing fewer seats. Barring a mandate from Council that stipulates specific level of TRIM implementation for City bureaus, the natural tendency for bureaus will be to try to control costs if perceived as possible.

This analysis includes two specific cost allocations: 1) total number of email accounts assigned to bureaus, and 2)

¹ The number of email accounts was provided by BTS, and is based upon current data, as of August 2012.

Appendix C (i.)

GFOH cost allocation methodology. These are attached to this memo.

Recommendations

Financial Planning recommends GFOH as the funding mechanism for expansion of the TRIM system as TRIM provides Citywide benefit and as such, is eligible and appropriate to receive GFOH. That being said, it can be assumed a primary goal of the Steering Committee is to implement the TRIM system Citywide and therefore would be interested in a feasible funding plan. One of the primary considerations of the GFOH funding model is that it entails making a request from Council for both 1) one-time General Fund discretionary resources to fund the one-time costs, and 2) ongoing GFOH resources to support the annual program costs which are estimated at a little less than \$800,000. Requesting significant General Fund support during a time of limited resources could be a challenge to the success of such request.

An advantage to the IA funding model is that Council may be inclined to support program expansion if it is funded by existing bureau resources, as opposed to new General Fund resources. Some challenges with the bureau IA funding model are 1) that it would require some measure of additional resources to manage the model and thereby carry greater costs, and 2) the negotiable nature of IAs may negatively affect bureau participation in TRIM implementation.

If the IA funding model is supported by the Steering Committee, there are optional metrics for allocating costs. In the GFOH funding model costs are automatically allocated based on the existing GFOH model. The GFOH funding allocation of costs relies on metrics of position count and budget size, both of which can shift materially from year to year and therefore are less stable and predictable than the IA funding model using a single, relatively stable metric such as number of bureau email accounts. One cost allocation method that achieves stability, predictability, and equity is the cost per seat method, using the number of bureau email accounts as a proxy for usage.²

Because some bureaus may require enhanced TRIM functionality, such as interfacing with other bureau-specific computer systems or software programs, the Auditor's Office should establish a base level of service that will be included in their Citywide cost allocations, and anything above that base level of service would be paid directly for by the requestor bureau. These additional service requests would then be negotiated and funded as bureau to bureau IAs and operate outside of the Citywide TRIM cost allocation model.

² The General Fund Overhead Advisory Committee's recommendations for cost allocation states the priorities of "stability, predictability, and equity – in that order of priority" in City Financial Policy 2.08.

Appeal Bursaria Funding Model**
ANNUAL COST - FIVE YEAR FORECAST (excluding existing TRIM program costs)

FY 13/14* FY 14/15* FY 15/16* FY 16/17 FY 17/18
 4000 licenses 4000 licenses 4000 licenses 4000 licenses 4000 licenses
\$738,040 \$1,017,365 \$1,029,666 \$873,602 \$895,228

ALLOCATION DATA - TOTAL EMAIL ACCTS	
# OF EMAIL ACCOUNTS (BTS)	% OF Total
64	1.23%
55	1.06%
137	2.63%
14	0.27%
6	0.12%
8	0.15%
8	0.15%
186	3.57%
13	0.25%
596	11.44%
9	0.17%
17	0.33%
9	0.17%
55	1.06%
28	0.54%
627	12.03%
56	1.07%
412	7.91%
578	11.09%
136	2.61%
304	5.83%
1347	25.85%
545	10.46%
5210	

BUREAU

ATTORNEY'S OFFICE
AUDITORS OFFICE
BOEC
Comm of Public Affairs
Commiss Pub Safety
Commiss Pub Utilities
Commiss Pub Works
BDS
PBEM
BES
EQUITY
FPDR
GOVERNMENT RELATIONS
HOUSING
MAYORS OFFICE
OMF
ONI
PARKS
PBOT
PLANNING & SUSTAINABILITY
FIRE
POLICE
WATER

	FY 13/14*	FY 14/15*	FY 15/16*	FY 16/17	FY 17/18	five year total
9,066	12,497	12,648	10,731	10,997	55,940	
7,791	10,740	10,870	9,222	9,451	48,074	
19,407	26,752	27,076	22,972	23,541	119,747	
1,983	2,734	2,767	2,347	2,406	12,237	
850	1,172	1,186	1,006	1,031	5,244	
1,133	1,562	1,581	1,341	1,375	6,993	
1,133	1,562	1,581	1,341	1,375	6,993	
26,348	36,321	36,760	31,188	31,960	162,577	
1,842	2,539	2,569	2,180	2,234	11,363	
84,428	116,382	117,789	99,936	102,410	520,945	
1,275	1,757	1,779	1,509	1,546	7,867	
2,408	3,320	3,360	2,851	2,921	14,859	
1,275	1,757	1,779	1,509	1,546	7,867	
7,791	10,740	10,870	9,222	9,451	48,074	
3,966	5,468	5,534	4,695	4,811	24,474	
88,820	122,435	123,916	105,134	107,737	548,041	
7,933	10,935	11,067	9,390	9,622	48,948	
58,363	80,452	81,425	69,083	70,793	360,117	
81,879	112,867	114,232	96,918	99,317	505,212	
19,266	26,557	26,878	22,804	23,369	118,873	
43,064	59,363	60,080	50,974	52,236	265,717	
190,814	263,031	266,211	225,862	231,453	1,177,371	
77,204	106,423	107,710	91,384	93,647	476,368	
5210						

* Total program costs for FY 2013/14 through FY 2015/16 include some one-time costs
 **IA model includes costs for .50 FTE management assistant salary and benefits (\$47,975 in year 2013/14 and 5% increase in out-years).

**Appendix C(i)
General Fund Overhead Model**

ANNUAL COST - FIVE YEAR FORECAST (excluding existing TRIM program costs)

	FY 13/14*	FY 14/15*	FY 15/16*	FY 16/17	FY 17/18	Five-year total
	4000 licenses					
	\$692,350	\$969,390	\$979,293	\$820,710	\$839,692	
GFOH metrics using 75% position count/ 25% budget size**						
Bureaus						
ATTORNEY'S OFFICE	0	0	0	0	0	0
AUDITOR'S OFFICE	1,195	1,673	1,690	1,416	1,449	7,421
BOEC	12,565	17,593	17,773	14,895	15,239	78,065
Comm of Public Affairs	400	560	566	474	485	2,484
Commiss Pub Safety	0	0	0	0	0	0
Commiss Pub Utilities	0	0	0	0	0	0
Commiss Pub Works	0	0	0	0	0	0
BDS	17,481	24,475	24,725	20,721	21,201	108,603
PBEM	0	0	0	0	0	0
BES	120,479	168,688	170,411	142,816	146,119	748,513
EQUITY	371	520	525	440	450	2,305
FPDR	1,371	1,919	1,939	1,625	1,663	8,517
GOVERNMENT RELATIONS	0	0	0	0	0	0
HOUSING	13,642	19,100	19,295	16,171	16,545	84,753
MAYOR'S OFFICE	0	0	0	0	0	0
OMF	93,242	130,552	131,886	110,529	113,085	579,294
ONI	4,085	5,719	5,777	4,842	4,954	25,376
PARKS	64,588	90,432	91,356	76,562	78,333	401,271
PDC	2,030	2,842	2,871	2,406	2,462	12,611
PBOT	95,266	133,386	134,749	112,928	115,540	591,869
PLANNING & SUSTAINABILITY	13,976	19,569	19,768	16,567	16,950	86,831
FIRE	60,624	84,882	85,749	71,863	73,526	376,644
POLICE	125,284	175,416	177,208	148,511	151,946	778,365
WATER	65,119	91,176	92,108	77,192	78,978	404,574
Unallocated costs	637	892	901	755	773	3,957

* Total program costs for FY 2013/14 through FY 2015/16 include some one-time costs

** Percentages reflect 2012-13 allocation of costs

Appendix C (ii.)

TRIM Base Model Components

Designated City employees will receive a TRIM license that is linked to their individual Windows log in name. Licenses must be tied to named users so that the system recognizes a user's access control and functionality permissions. Employees will use TRIM to manage the electronic document and e-mail records associated with their job responsibilities. A TRIM license will include the following components and services.

Creation of customized classification plan

The classification plan is a filing structure that applies ownership, naming conventions, retention rules and access controls to the records in TRIM. The creation of the classification plan requires significant bureau involvement as it forms the underlying structure that employees will use every day. The Auditor's Office works in tandem with designated bureau workgroups to create plans that users understand and accept. The classification plan must be in place before a TRIM license is activated.

TRIM software training

The Auditor's office will conduct initial TRIM training in a classroom setting that will include:

- Searching for and retrieving records
- Learning the custom classification plan
- Processing individual electronic documents and folders
- Checking documents in and out, editing documents, version control
- Creating links to TRIM records
- Linking Outlook folders to TRIM
- Customizing displayed information

TRIM ongoing help and support

TRIM user support will be available via standard BTS Help Desk channels. TRIM follow-up training sessions will be offered periodically. TRIM quick reference sheets and other self help materials will be available online for basic TRIM instruction.

Storage

Bureaus will be charged the current BTS rate for network storage. To avoid unnecessary costs bureaus will be encouraged to delete duplicative copies of records from their shared or individual office directories once they are catalogued in TRIM.

Appendix C (iii.)

5 Year TRIM Costs (NEW COSTS ONLY) One-Time and Ongoing

One Time Costs

Description	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	5 Year Total
Software - Cost of purchasing 2325 additional TRIM seats and modules (Workflow, PDF Renderer) - cost	\$ 172,666.00	\$ 172,666.00	\$	172,666.00		\$517,998.00
Maintenance for new licenses	\$ 114,000.00					\$114,000.00
PTE Contract - training development	\$ 60,000.00					\$60,000.00
Staffing Auditor - one time(@\$50/hr)						
Training development & execution (inc. 3% annual increase)	\$ 208,000.00	\$ 318,240.00	\$	220,667.20		\$746,907.20
BTS Project \$ - one time @ \$103/hr for integration	\$ 20,000.00	\$ 30,000.00				\$50,000.00
Total One Time	\$ 574,666.00	\$ 520,906.00	\$	393,333.20	\$	\$1,488,905.20

Ongoing Costs

Description	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	5 Year Total
Staffing Auditor - new ongoing (@\$50/hr) - Records (inc. 3% annual increase)	\$ 104,000.00	\$ 211,120.00	\$	217,453.60	\$ 223,977.21	\$ 987,247.33
Staffing BTS - Ongoing App Analyst @ \$60/hr (inc. 3% annual increase)			\$	124,800.00	\$ 128,544.00	\$ 385,744.32
BTS Project \$ - ongoing @ \$103/hr	\$ 8,800.00	\$ 17,050.00	\$	10,000.00	\$ 10,000.00	\$ 30,000.00
Storage - BTS new 50 GB disks	\$ 8,800.00	\$ 8,800.00	\$	8,800.00	\$ 8,800.00	\$ 52,250.00
Storage - BTS Allocation costs*	\$ 8,800.00	\$ 25,850.00	\$	34,650.00	\$ 43,450.00	\$ 165,000.00
Servers - TRIM Workgroup (\$5,700 ea)	\$ 5,700.00	\$ 11,400.00	\$	5,700.00	\$ 5,700.00	\$ 34,200.00
Servers - BTS Maintenance**	\$ 6,150.00	\$ 18,450.00	\$	24,600.00	\$ 30,750.00	\$ 116,850.00
Servers - BTS replacement rate	\$ 1,400.00	\$ 2,800.00	\$	3,500.00	\$ 4,200.00	\$ 16,800.00
Software - HP/TRIM license maintenance and support***	\$ 43,000.00	\$ 160,140.00	\$	163,342.80	\$ 166,609.66	\$ 703,034.31
Software - SQL upgrade	\$	\$ 5,000.00	\$	5,000.00	\$	\$ 5,000.00
PTE Contracts	\$ 20,000.00	\$ 20,000.00	\$	20,000.00	\$ 20,000.00	\$ 80,000.00
Total Ongoing	\$ 177,850.00	\$ 486,810.00	\$	617,846.40	\$ 642,030.86	\$ 2,576,125.96
Total One-time plus Ongoing	\$ 752,516.00	\$ 987,716.00	\$	1,011,179.60	\$ 642,030.86	\$ 4,065,031.16

*BTS Service Catalog FY2012-13; One-time setup: \$541.30 per 50GB disk and \$547.30/yr per 50GB disk

**BTS Virtual Server rates: \$5,700 for new server; annual maintenance = \$6153.99; annual replacement rate = \$700.92

***Includes 2% annual increase

Appendix C (iii.)

TRIM Staffing Costs over 5 years

Description	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	5 Year Total
One Time						
Staffing Auditor - one time(@\$50/hr) Training	\$ 104,000.00	\$ 107,120.00	\$ 110,333.60			\$ 321,453.60
Staffing Auditor - one time(@\$50/hr) Training	\$ 104,000.00	\$ 107,120.00	\$ 110,333.60			\$ 321,453.60
Staffing Auditor - one time(@\$50/hr) Training		\$ 104,000.00				\$ 104,000.00
BTS Project \$ - one time @ \$103/hr	\$ 20,000.00	\$ 30,000.00				\$ 50,000.00
	\$ 228,000.00	\$ 348,240.00	\$ 220,667.20	\$ -	\$ -	\$ 796,907.20

Ongoing						
Staffing Auditor - new ongoing (@\$50/hr) - Records (inc. 3% annual increase)	\$ 104,000.00	\$ 211,120.00	\$ 217,453.60	\$ 223,977.21	\$ 230,696.52	\$ 987,247.33
Staffing BTS - Ongoing App Analyst @ \$60/hr (inc. 3% annual increase)			\$ 124,800.00	\$ 128,544.00	\$ 132,400.32	\$ 385,744.32
BTS Project \$ - ongoing @ \$103/hr	\$ 104,000.00	\$ 211,120.00	\$ 10,000.00	\$ 10,000.00	\$ 10,000.00	\$ 30,000.00
	\$ 332,000.00	\$ 559,360.00	\$ 352,253.60	\$ 362,521.21	\$ 373,096.84	\$ 1,402,991.65

Total one-time plus ongoing

\$ 332,000.00

\$ 559,360.00

\$ 572,920.80

\$ 362,521.21

\$ 373,096.84

5 year one-time \$ 796,907.20
 5 year ongoing \$ 1,402,991.65
 Total 5 year staffing \$ 2,199,898.85

YEAR 1	2 one-time and 1 ongoing entry level records coordinators; learning TRIM; creating training materials; working on classifications
YEAR 2	1 additional one-time entry level RC for help w/training & admin; 1 new ongoing RC with emphasis on TRIM admin functions
YEAR 3	reduce to 2 one-time RCs; transition 1 RC position to ongoing; transition 1 ongoing RC to entry level application analyst
YEAR 4	continue with two ongoing RCs and one app. Analyst
YEAR 5	continue with two ongoing RCs and one app. Analyst

Appendix C (iii.)

BTS server and storage cost calculations

SAN Storage Calculations (1 unit = 50GB)		
Year 1 Calculation	# of Units	Cost
One Time Storage (\$541.30) New Units	16	\$8,660.80
Annual Storage (\$547.30) Total Units	16	\$8,756.80
Total for year		\$17,417.60
SAN Storage Calculations (1 unit = 50GB)		
Year 2 Calculation	# of Units	Cost
One Time Storage (\$541.30) New Units	31	\$16,780.30
Annual Storage (\$547.30) Total Units	47	\$25,723.10
Total for year		\$42,503.40
SAN Storage Calculations (1 unit = 50GB)		
Year 3 Calculation	# of Units	Cost
One Time Storage (\$541.30) New Units	16	\$8,660.80
Annual Storage (\$547.30) Total Units	63	\$34,479.90
Total for year		\$43,140.70
SAN Storage Calculations (1 unit = 50GB)		
Year 4 Calculation	# of Units	Cost
One Time Storage (\$541.30) New Units	16	\$8,660.80
Annual Storage (\$547.30) Total Units	79	\$43,236.70
Total for year		\$51,897.50
SAN Storage Calculations (1 unit = 50GB)		
Year 5 Calculation	# of Units	Cost
One Time Storage (\$541.30) New Units	16	\$8,660.80
Annual Storage (\$547.30) Total Units	95	\$51,993.50
Total for year		\$60,654.30

Virtual Server Calculations Based on Medium 2cpu servers		
Year 1 Calculation	# of Units	Cost
One Time Setup (\$5700/unit)	1	\$5,700.00
Annual Replacement Rate (\$700.92/unit)	1	\$700.92
Annual Virtual Server Maintenance	1	\$6,153.99
Total for year		\$12,554.91
Total Storage/Server Costs FY 12/13		\$29,972.51
Virtual Server Calculations Based on Medium 2cpu servers		
Year 2 Calculation	# of Units	Cost
One Time Setup (\$5700/unit)	2	\$11,400.00
Annual Replacement Rate (\$700.92/unit)	3	\$2,102.76
Annual Virtual Server Maintenance	3	\$18,461.97
Total for year		\$31,964.73
Total Storage/Server Costs FY 12/13		\$74,468.13
Virtual Server Calculations Based on Medium 2cpu servers		
Year 3 Calculation	# of Units	Cost
One Time Setup (\$5700/unit)	1	\$5,700.00
Annual Replacement Rate (\$700.92/unit)	4	\$2,803.68
Annual Virtual Server Maintenance	4	\$24,615.96
Total for year		\$33,119.64
Total Storage/Server Costs FY 12/13		\$76,260.34
Virtual Server Calculations Based on Medium 2cpu servers		
Year 4 Calculation	# of Units	Cost
One Time Setup (\$5700/unit)	1	\$5,700.00
Annual Replacement Rate (\$700.92/unit)	5	\$3,504.60
Annual Virtual Server Maintenance	5	\$30,769.95
Total for year		\$39,974.55
Total Storage/Server Costs FY 12/13		\$91,872.05
Virtual Server Calculations Based on Medium 2cpu servers		
Year 5 Calculation	# of Units	Cost
One Time Setup (\$5700/unit)	1	\$5,700.00
Annual Replacement Rate (\$700.92/unit)	6	\$4,205.52
Annual Virtual Server Maintenance	6	\$36,923.94
Total for year		\$46,829.46
Total Storage/Server Costs FY 12/13		\$107,483.76

HP/TRIM annual software maintenance and support calculations

Existing Support payments- Auditor (943 seats)	88,855.00
Existing Support payments - Police (500 seats)	32,172.00
Existing Support payments - BES (232 Seats)	10,973.00
Total current payments (1675 seats)	132,000.00
Maintenance for new seats/modules per 8/20/2012 HP quote	113,800.00
Total New Maintenance	113,800.00
Ongoing Maintenance (existing plus new)	245,800.00
Back out existing Auditor portion	(88,855.00)
Total Annual Maintenance for 4000 seats	156,945.00

Appendix C (iv.)

Vote on Preferred Funding Model for Expanded TRIM Implementation

TRIM Steering Committee Meeting 13 November 2012

	GFOH Model	Interagency Model	Hybrid (or other metrics)
Richard Appleyard			x
Diana Banning	x		
Kevin Campbell	x		
Geoff Chew	x		
Mark Ellwood			x
Myndi Fertal			x
Scott Gibson		x	
Celia Heron			x
Sarah Landis	x		
Antoinette Pietka	x		
Linly Rees	x		
Deborah Sievert-Morris	x		

Appendix D (i.)

Overview of 5 Year TRIM Implementation Process

This document is an outline of the major activities in the process of providing TRIM software and electronic records management training to all City employees who – in the course of their job activities – create, maintain or need regular access to City electronic records and email.

The goal of the Citywide TRIM implementation is to allow all employees to manage their electronic information in an efficient, cost-effective manner that complies with public records requirements and fosters government transparency.

This is not a detailed project or program management plan, given that funding has not been attained.

The activities outlined are grouped by year into the following categories

- **Policy and Governance**
- **Training**
- **TRIM administration / testing**
- **Staffing**
- **Finance**
- **Scheduling**
- **Compliance and Monitoring**
- **Software / IT infrastructure**

Year 1

Policy and Governance

- Convene TRIM Steering Committee which will meet throughout implementation
- Steering Committee to validate overall goals and determine implementation priorities for Years 1 and 2
- Convene bureau records liaison group; liaisons' primary role will be to maintain communication between bureau, Steering Committee and TRIM implementation team on all issues related to TRIM implementation or to recordkeeping in general

Training

- Consult with BHR Training & Development for guidance, available tools
- Determine requirements for establishing mandatory training
- Research/ acquire online training mechanism
- Customize, modify existing records management and TRIM training materials for different delivery methods
 - In person classroom
 - Live/recorded webinar
 - On-demand online
 - Text-based
 - Train the trainer for selected bureau power users
- Select pilot group for training delivery testing
- Conduct pilot training; integrate feedback into new material

TRIM administration / testing

- Create classification structures for commonly used administrative records
 - Naming conventions
 - Retention requirements
 - Security / access controls

Appendix D (i.)

- Work with BTS to examine retention functionality of Office 365 for potential use to manage short-term and transitory email
- Develop profile categories for TRIM users, based on levels of functionality required
- Determine which user profiles require full client TRIM installation and which profiles can use web based version
- Perform server, software upgrades as necessary

Staffing

- Determine Auditor's Office and BTS personnel roles for Years 1 – 5
- Recruit/hire 1st Auditor's Office analyst, if needed
- Train appropriate BTS staff in TRIM administration functions

Finance

- Acquire required TRIM licenses / modules from HP
- Work with BTS to develop storage cost charge-back mechanism
- Establish any interagency agreements necessary for upcoming FY
- Contract with vendor, if necessary, to create training materials
- Contract with vendor, if necessary, for any specialized integration between TRIM and other City systems

Scheduling

- Create detailed project implementation, communication plan for Years 1 and 2; less detailed plan for Years 3 – 5
- Begin meeting with workgroups identified as priorities by Steering Committee

Compliance/Monitoring

- Review/update applicable City Code and administrative rule areas
 - Auditor's Office
 - BHR
 - BTS
- Update, simplify retention schedules for electronic records
- Work with Audit Services Division to develop methods and metrics for monitoring bureau compliance with electronic recordkeeping requirements

Software / IT infrastructure

- Test TRIM compatibility with Office 365
- Ensure availability of storage for upcoming FY
- Acquire additional servers as needed for upcoming FY
- Perform server, software upgrades as necessary

Year 2

Policy and Governance

- Steering Committee validates, adjusts ongoing implementation plan and priorities for current and following FY
- Continue communication with bureau records liaisons as necessary (meet regularly with liaisons who are part of current year implementation)
- Develop policy/plan for disposition of existing email .pst archives
- Report TRIM implementation progress to City Council

Training

- Transition City employees from using Efiles (WebDrawer) to using the TRIM web client for casual searching of TRIM content. The TRIM web client allows users to perform

Appendix D (i.)

more complex and varied searches and provides greater sorting and filtering functionality for search results.

- Begin mandatory training on electronic recordkeeping responsibilities
- Begin targeted TRIM training for workgroups identified as priority by Steering Committee

TRIM administration / testing

- Install TRIM clients on designated workstations
- Create bureau-specific classification structures for workgroups in current year implementation
 - Naming conventions
 - Retention requirements
 - Security / access controls

Staffing

- Concentrate staffing efforts on initial TRIM startup and training on records management and TRIM software
- Recruit/hire 2nd Auditor's Office analyst
- Recruit/hire BTS application analyst
- Create ongoing ½ FTE position to administer interagency agreements/billings (only applies if IA funding model is adopted)

Finance

- Establish any interagency agreements necessary for upcoming FY
- Contract with vendor, if necessary, for any specialized integration between TRIM and other City systems

Scheduling

- Validate/adjust current FY implementation plan; create detailed plan for next FY

Compliance/Monitoring

- Finalize methods and metrics for monitoring bureau compliance with electronic recordkeeping requirements

Software / IT infrastructure

- Ensure availability of storage for upcoming FY
- Acquire additional servers as needed for upcoming FY
- Perform server, software upgrades as necessary

Year 3

Policy and Governance

- Steering Committee validates, adjusts ongoing implementation plan and priorities for current and following FY
- Continue communication with bureau records liaisons as necessary (meet regularly with liaisons who are part of current year implementation)
- Report TRIM implementation progress to City Council

Training

- Continue mandatory training on electronic recordkeeping responsibilities
- Continue targeted TRIM training for workgroups identified as priority by Steering Committee

Appendix D (i.)

- Establish a TRIM Users Forum, available to all users, for online information sharing and occasional live educational events

TRIM administration / testing

- Install TRIM clients on designated workstations
- Create bureau-specific classification structures for workgroups in current year implementation
 - Naming conventions
 - Retention requirements
 - Security / access controls

Staffing

- Concentrate staffing on records management and TRIM software training

Finance

- Establish any interagency agreements necessary for upcoming FY
- Contract with vendor, if necessary, for any specialized integration between TRIM and other City systems

Scheduling

- Validate/adjust current FY implementation plan; create detailed plan for next FY

Compliance/Monitoring

- Begin electronic recordkeeping compliance monitoring: apply to bureaus that have had TRIM implemented for at least 18 months; status update on other bureaus

Software / IT infrastructure

- Ensure availability of storage for upcoming FY
- Acquire additional servers as needed for upcoming FY
- Perform server, software upgrades as necessary

Year 4

Policy and Governance

- Steering Committee validates, adjusts ongoing implementation plan and priorities for current and following FY
- Continue communication with bureau records liaisons as necessary (meet regularly with liaisons who are part of current year implementation)
- Report TRIM implementation progress to City Council
- Report to Council on compliance with electronic recordkeeping requirements

Training

- Continue mandatory training on electronic recordkeeping responsibilities
- Continue targeted TRIM training for workgroups identified as priority by Steering Committee

TRIM administration / testing

- Install TRIM clients on designated workstations
- Create bureau-specific classification structures for workgroups in current year implementation
 - Naming conventions
 - Retention requirements

Appendix D (i.)

- Security / access controls
- Research/evaluate available HP/TRIM modules for potential expanded information management functionality

Staffing

- Concentrate staffing on records management and TRIM software training

Finance

- Establish any interagency agreements necessary for upcoming FY
- Contract with vendor, if necessary, for any specialized integration between TRIM and other City systems

Scheduling

- Validate/adjust current FY implementation plan; create detailed plan for next FY

Compliance/Monitoring

- Begin electronic recordkeeping compliance monitoring: apply to bureaus that have had TRIM implemented for at least 18 months; status update on other bureaus

Software / IT infrastructure

- Ensure availability of storage for upcoming FY
- Acquire additional servers as needed for upcoming FY
- Perform server, software upgrades as necessary

Year 5

Policy and Governance

- Steering Committee assesses effectiveness of 5 year implementation
- Steering Committee transitions from TRIM implementation to an ongoing advisory role on major records policy issues
- Continue communication with bureau records liaisons as necessary (meet regularly with liaisons who are part of current year implementation)
- Report TRIM implementation progress to City Council
- Report to Council on compliance with electronic recordkeeping requirements

Training

- Continue mandatory training on electronic recordkeeping responsibilities
- Continue targeted TRIM training for workgroups identified as priority by Steering Committee

TRIM administration / testing

- Install TRIM clients on designated workstations
- Create bureau-specific classification structures for workgroups in current year implementation
 - Naming conventions
 - Retention requirements
 - Security / access controls
- Research/evaluate available HP/TRIM modules for potential expanded information management functionality

Appendix D (i.)

Staffing

- Continue records management and TRIM software training
- Transition training staff focus from basic TRIM training to advanced, value-added functionality of TRIM

Finance

- Establish any interagency agreements necessary for upcoming FY
- Contract with vendor, if necessary, for any specialized integration between TRIM and other City systems

Scheduling

- Transition from implementation plan to continued maintenance program

Compliance/Monitoring

- Continue electronic recordkeeping compliance monitoring: apply to bureaus that have had TRIM implemented for at least 18 months; status update on other bureaus

Software / IT infrastructure

- Ensure availability of storage for upcoming FY
- Acquire additional servers as needed for upcoming FY
- Perform server, software upgrades as necessary

Appendix D (ii.)

TRIM Rollout/Training in a Nutshell

1. Retention Schedule update

Applies to: All users

Description: Retention schedule must be current and account for records maintained electronically

2. Records Management 101 training

Applies to: All users; training conducted by Archives/Records Management (A/RM) staff

Description: Review of public records responsibilities, records management principles, retention rules and how they apply to electronic records and e-mail

3. Bureau integration: Creation of Bureau-specific classification plan/rollout strategy

Applies to: Bureau-selected team(s), preferably composed of those most familiar with information sharing requirements or records-related practices and challenges facing Bureau or individual workgroup. This team works with A/RM staff to develop the underlying organizational structure that will be applied to the Bureau electronic records and e-mail.

Description: Creation of bureau-specific classification plan (filing system) for use with TRIM

- Analyze Bureau work processes or activities that result in the creation of electronic records that must be retained
- Identify, by purpose or function, categories of records associated with those processes/activities
- Identify individual or shared job responsibilities within the Bureau and assign correlated recordkeeping responsibilities
- Identify areas where document sharing/collaboration will be beneficial
- Establish naming conventions that will be understood by both the record creators and retrievers
- Establish security and access controls for different categories of records
- Assign appropriate retention rules to different categories of records

4. TRIM Software End-user training

Applies to: All users; training conducted by A/RM staff

Description:

- Understanding the Bureau/workgroup-specific classification plans
- Creating folders in TRIM
- Entering documents
- Integrating Outlook with TRIM
- Searching and retrieving
- Document collaboration
- Follow-up and “power user” training as requested

Appendix E (i.)

Members of the TRIM Steering Committee

Art Alexander – Bureau of Technology Services (through July 2012)

Richard Appleyard – Bureau of Development Services

Diana Banning – Archives and Records Management

Kevin Campbell - Office of Management and Finance - EBS

Geoff Chew – Water Bureau

Mark Ellwood – Bureau of Technology Services (as of October 2012)

Myndi Fertal – Bureau of Technology Services

Scott Gibson – Bureau of Environmental Services

Celia Heron – Office of Management and Finance

Sarah Landis – City Auditor’s Office

Antoinette Pietka – Portland Housing Bureau

Linly Rees – Office of the City Attorney

Deborah Sievert Morris – Portland Bureau of Transportation

Brian Brown (non-voting subject matter expert) – Archives and Records Management

Tim Hunt (non-voting subject matter expert) – Archives and Records Management

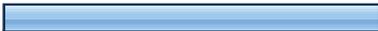
Ryan Kinsella (subject matter expert; votes in event of a tie) – City Elections

Facilitator

Shane Sasnow – Forward Motion Facilitation

Auditor's Office Records Management Survey, 2012  **SurveyMonkey**

In the past 3 years has your division received any in-person records management training from the Archives and Records Management Division?

		Response Percent	Response Count
Yes		25.3%	24
No		56.8%	54
Unknown		17.9%	17
		Comments?	19
		answered question	95
		skipped question	1

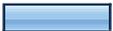
Appendix E (ii.)

Page 2, Q1. In the past 3 years has your division received any in-person records management training from the Archives and Records Management Division?

1	We received a training on using TRIM to access records, though we do not currently upload our records there.	May 24, 2012 12:28 PM
2	It was well done but has the same weakness of any other computer training....too early in the release to have a working knowledge to apply and lack of immediate and extended use means you lose it.	May 23, 2012 9:21 AM
3	not that I know of	May 23, 2012 8:30 AM
4	A couple of individuals have talked with Archives and Records Management Training for advice, but no formal training.	May 23, 2012 7:49 AM
5	Two of us have met with Tim Hunt and BES staff to see how TRIM is used in BES Construction.	May 17, 2012 9:17 AM
6	While I am relatively new to the division, I believe there has been no training.	May 16, 2012 5:32 PM
7	The only case I know of was getting Mark Greinke set up with TRIM.	May 16, 2012 1:35 PM
8	My Inspectors are trained in all phases of construction documentation which are all public record, the administrative group archives our project main file records so no my group isn't trained in archiving because it isn't something they do.	May 16, 2012 12:59 PM
9	some groups of staff - but not all that need it	May 15, 2012 5:03 PM
10	My staff person signed up for class but I believe was unable to attend. General training was recieved when TRIM was launched in our bureau two years ago.	May 15, 2012 10:08 AM
11	Training was provided by BES Admin staff that are familiar with TRIM.	May 15, 2012 9:57 AM
12	It is possible that the researchers received some training, but if so I do not recall.	May 15, 2012 9:15 AM
13	Good training, but only about 40% usage	May 15, 2012 8:59 AM
14	that I know of	May 15, 2012 8:49 AM
15	In house training from Records group as part of Records/GIS group and Barbara Streeter with Filenet software	May 15, 2012 8:20 AM
16	Our management team at ONI has, but I have not yet booked a training for my staff in Crime Prevention. This is a good reminder to do that.	May 15, 2012 8:08 AM
17	Not personally.	May 15, 2012 7:55 AM
18	We have had no formal training but have used the Admin Rules and record retention information as reference	May 15, 2012 7:07 AM
19	Don't beleve so. Received presentation on Trim at Sr HR Mgr meeting	May 14, 2012 5:52 PM

Auditor's Office Records Management Survey, 2012  **SurveyMonkey**

Does your division store paper or other hard copy records at the City of Portland Archives and Records Center?

		Response Percent	Response Count
Yes		72.6%	69
No		15.8%	15
Unknown		11.6%	11
		Comments?	9
		answered question	95
		skipped question	1

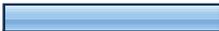
Appendix E (ii.)

Page 2, Q1. Does your division store paper or other hard copy records at the City of Portland Archives and Records Center?

1	But have not been very thorough about it.	May 24, 2012 1:27 PM
2	Land use cases.	May 24, 2012 12:28 PM
3	Some, but most are on-site at PDC.	May 23, 2012 7:49 AM
4	Not in the past 3-years.	May 18, 2012 4:59 PM
5	I do know that records from our construction contracts are stored at the records center.	May 16, 2012 12:59 PM
6	Though we do utilize archived records stored by other City programs.	May 15, 2012 9:21 AM
7	I believe - but am not certain - that we no longer store any records outside of our own facility.	May 15, 2012 9:15 AM
8	I am not in charge of records retention for the division so I don't know.	May 15, 2012 6:54 AM
9	Archiving will be conducted after project and litigation are completed	May 14, 2012 5:48 PM

Auditor's Office Records Management Survey, 2012  **SurveyMonkey**

Do you believe your division staff members know which records they must retain as part of their job responsibilities?

		Response Percent	Response Count
Yes		67.4%	64
No		32.6%	31
		Comments?	26
answered question			95
skipped question			1

Appendix E (ii.)

Page 2, Q1. Do you believe your division staff members know which records they must retain as part of their job responsibilities?

1	To varying degrees	May 25, 2012 2:01 PM
2	We have a general idea, but would like training. We have retained literally everything, and would like to purge the unneeded and place the required material in archives.	May 24, 2012 3:58 PM
3	For the most part, though there are always detail questions about maps, versions of plans, emails, etc.	May 24, 2012 12:28 PM
4	This is an ongoing issue discussed amongst administrative and design services staffs	May 23, 2012 1:57 PM
5	OSHA Recordkeeping Requirements	May 23, 2012 10:40 AM
6	The Admin person does know the rules, but most of the office staff are not familiar with the archive requirements.	May 23, 2012 9:27 AM
7	Probably not all members.	May 23, 2012 8:39 AM
8	Some do, but likely not all.	May 23, 2012 7:56 AM
9	We probably error on the side of over-saving records.	May 23, 2012 7:50 AM
10	Not across the board. Pockets of the organization do know.	May 23, 2012 7:49 AM
11	Generally, yes. But, not in all cases.	May 21, 2012 3:43 PM
12	We are frustrated in trying to answer that question by conflicting advice from the Auditor's Office and the City Attorney's Office.	May 17, 2012 9:17 AM
13	For some of our transactions, we are very clear as there are Federal rules we need to abide by, which are actually more stringent than City rules. For the rest of our business, I do not think people have any idea.	May 16, 2012 5:32 PM
14	Overall, yes.	May 16, 2012 1:35 PM
15	If we need to revisit past project records from archives the administrative staff would be responsible to work with the records center to discover the documents.	May 16, 2012 12:59 PM
16	I'm not sure they understand about emails, however.	May 16, 2012 8:25 AM
17	If they don't, they know where to find the resources and answers.	May 16, 2012 6:34 AM
18	for the most part	May 15, 2012 5:03 PM
19	We collect environmental data, primarily water quality information related to surface water, wastewater and stormwater. Our records are kept in a database and backed up in paper files. These are kept appropriately as far as I know.	May 15, 2012 1:30 PM
20	not totally clear; probably archiving more than necessary.	May 15, 2012 11:58 AM
21	It is not clear to all staff.	May 15, 2012 9:57 AM

Appendix E (ii.)

Page 2, Q1. Do you believe your division staff members know which records they must retain as part of their job responsibilities?

22	Our group receives guidance from the City Attorney's Office due to the legal nature of our program.	May 15, 2012 9:21 AM
23	A few are, admin staff.	May 15, 2012 8:20 AM
24	Yes, but they need to look it up each time they make a decision to retain or shred.	May 15, 2012 8:08 AM
25	we are about 80% accurate, but I have ongoing concerns. Electronic/e-mail is a major problem.	May 15, 2012 7:31 AM
26	But we are doing a electronic "clean up" project involving email and other electronic records, bureau wide, to regain server space. Tom Schneider is convening that effort. Retention rules will be reviewed as part of the effort I believe.	May 14, 2012 5:52 PM

Auditor's Office Records Management Survey, 2012  **SurveyMonkey**

Do you believe your division staff members know how long to retain their records and whether or when they can be destroyed?

		Response Percent	Response Count
Yes		56.8%	54
No		43.2%	41
		Comments?	29
answered question			95
skipped question			1

Appendix E (ii.)

Page 2, Q1. Do you believe your division staff members know how long to retain their records and whether or when they can be destroyed?

1	To varying degrees	May 25, 2012 2:01 PM
2	On some of the records, we know the requirements, but not all.	May 24, 2012 3:58 PM
3	Done through the Wastewater Group	May 23, 2012 10:40 AM
4	The Admin person does know the rules, but most of the office staff are not familiar with the archive requirements.	May 23, 2012 9:27 AM
5	Some but not all members.	May 23, 2012 8:39 AM
6	May need to make inquiry in some cases but they know to do that	May 23, 2012 8:30 AM
7	Some do, but not all.	May 23, 2012 7:56 AM
8	Not across the board. Pockets of the organization do know.	May 23, 2012 7:49 AM
9	Some do, some don't.	May 21, 2012 3:43 PM
10	We refer to the retention schedules for the details.	May 21, 2012 1:32 PM
11	For some of our transactions, we are very clear as there are Federal rules we need to abide by, which are actually more stringent than City rules. For the rest of our business, I do not think people have any idea.	May 16, 2012 5:32 PM
12	I suspect that more records are retained than need to be retained.	May 16, 2012 3:05 PM
13	To some degree, but remedial/additional education would be useful.	May 16, 2012 1:35 PM
14	When I say yes I mean for my staff the files they also maintain are would be for claims management and these files aren't destroyed until the timeline has passed for a contractor to file a claim ends. The inspectors also maintain a copy of the project record drawings (asbuilts) because questions usually come up on what happened from past projects (lessons learned) or design clarifications for future projects.	May 16, 2012 12:59 PM
15	Yes - but sometimes we lack confidence that a record can be destroyed.	May 16, 2012 11:05 AM
16	But they do ask when they have records and I am usually able to tell them.	May 16, 2012 8:25 AM
17	Bureau has provided information and training for project related records. Non-project files/records are work in progress. Retention and destruction function for project related files is centralized, and the staff responsible has that knowledge.	May 16, 2012 8:16 AM
18	If they don't, they know where to find the resources and answers.	May 16, 2012 6:34 AM
19	for the most part	May 15, 2012 5:03 PM
20	Since we are the data gathering section in our division, we typically have a "one way" role in record keeping. We collect the data and store it, but do not have a role in stewarding the data once we enter it into the system and therefore do not participate in the long term responsibilities of data management.	May 15, 2012 1:30 PM

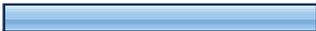
Appendix E (ii.)

Page 2, Q1. Do you believe your division staff members know how long to retain their records and whether or when they can be destroyed?

21	Probably not everyone knows, but some do.	May 15, 2012 1:13 PM
22	Some of our grant records must be retained for much longer than 3 years. It is sometimes difficult to get the Archives staff to understand this need.	May 15, 2012 11:12 AM
23	Not all staff are aware of the specific records retention requirements.	May 15, 2012 9:57 AM
24	The Administrative Records Specialist is responsible for the archiving of Engineering Services CIP and Public Works Project Records per the Record Retention Schedule (8806 - Engineering Project Records).	May 15, 2012 8:21 AM
25	A few are, admin staff.	May 15, 2012 8:20 AM
26	We have retention schedules, and our administrative staff (not the lawyers in this group) tracks retention for the Office.	May 15, 2012 8:16 AM
27	Yes, but they need to look it up each time they make a decision to retain or shred.	May 15, 2012 8:08 AM
28	again about 80% accurate	May 15, 2012 7:31 AM
29	That is a "weak" yes. Rules to be reviewed shortly.	May 14, 2012 5:52 PM

Auditor's Office Records Management Survey, 2012  **SurveyMonkey**

Do you believe your division staff members are familiar with the record retention schedules that apply to their records?

		Response Percent	Response Count
Yes		52.6%	50
No		47.4%	45
		Comments?	30
		answered question	95
		skipped question	1

Appendix E (ii.)

Page 2, Q1. Do you believe your division staff members are familiar with the record retention schedules that apply to their records?

1	To varying degrees	May 25, 2012 2:01 PM
2	the management team is aware of the need to retain various records, but we all need current training.	May 24, 2012 3:58 PM
3	We know about the land use retention schedule at archives, but not our own personal retention schedule.	May 24, 2012 12:28 PM
4	The Admin person does know the rules, but most of the office staff are not familiar with the archive requirements.	May 23, 2012 9:27 AM
5	I believe the admin staff that does the record retention know and apply the rules. I do not necessarily think the things retained are "golden" either by content or category. Some project and engineering information may be more important than others that an admin person would not recognize. But, as I do not wish to take on that duty, the set of rules and schedules appears adequate and known to admin. The rest of the staff beyond admin is not very familiar with these schedules and depend on admin staff to understand and implement.	May 23, 2012 9:21 AM
6	Some but not all members.	May 23, 2012 8:39 AM
7	Again there are occasions when we need to make an inquiry but we know who to ask	May 23, 2012 8:30 AM
8	Some do, but not all.	May 23, 2012 7:56 AM
9	Not across the board. Pockets of the organization do know.	May 23, 2012 7:49 AM
10	However with the implementation of SAP, the retention schedules are way out of date and need to be updated.	May 23, 2012 7:32 AM
11	Somewhat - it is good to have it readily available on-line, but the categories don't match the work flow. The result is that there is no one category that covers our work. Instead, we must look through the requirements of several categories. One of our Admin Specialist attempted to draft a list - of basic requirements. I would like to finish that list for distribution.	May 17, 2012 9:17 AM
12	For some of our transactions, we are very clear as there are Federal rules we need to abide by, which are actually more stringent than City rules. For the rest of our business, I do not think people have any idea.	May 16, 2012 5:32 PM
13	To some degree, but remedial/additional education would be useful.	May 16, 2012 1:35 PM
14	Not my staff of inspectors but as I stated the administrative staff is tasked with this work	May 16, 2012 12:59 PM
15	However- our retention schedule dates back to Mid-County Sewer and should be updated.	May 16, 2012 11:05 AM
16	They always ask.	May 16, 2012 8:25 AM
17	For project and finance related records, "Yes."; for non-project files/records "No." My belief is that 90+% of the records are either project or finance related,	May 16, 2012 8:16 AM

Appendix E (ii.)

Page 2, Q1. Do you believe your division staff members are familiar with the record retention schedules that apply to their records?

	so "Yes" to the question.	
18	If they don't, they know where to find the resources and answers.	May 16, 2012 6:34 AM
19	See comments in #6 above.	May 15, 2012 1:30 PM
20	Probably not everyone knows, but some do.	May 15, 2012 1:13 PM
21	I believe everyone would benefit from a periodic refresher course on all of the above. Everyone knows there are policies and guidelines but may not use them enough to always feel competent applying them.	May 15, 2012 1:06 PM
22	Generally	May 15, 2012 11:12 AM
23	Staff usually ask an admin specialist to verify retention requirements.	May 15, 2012 9:57 AM
24	I believe that no retention schedules have been set for our program, due to the unique legal nature of our work.	May 15, 2012 9:21 AM
25	Yes and No. That's difficult to determine.	May 15, 2012 8:21 AM
26	A few are, admin staff.	May 15, 2012 8:20 AM
27	Our administrative staff (not the lawyers in this group) tracks retention for the Office.	May 15, 2012 8:16 AM
28	Yes, they know they exist and where to find them.	May 15, 2012 8:08 AM
29	but we don't have enough admin staff to manage a system to assure compliance and QA	May 15, 2012 7:31 AM
30	Another "weak" yes.	May 14, 2012 5:52 PM

Auditor's Office Records Management Survey, 2012  **SurveyMonkey**

Are you aware of [City Administrative Rules](#) for the management and preservation of electronic records and e-mail?

		Response Percent	Response Count
Yes		79.5%	66
No		20.5%	17
		Comments?	7
		answered question	83
		skipped question	13

Appendix E (ii.)

Page 3, Q1. Are you aware of [City Administrative Rules](http://www.portlandonline.com/auditor/index.cfm?c=35190&a=262374) for the management and preservation of electronic records and e-mail?

1	somewhat	May 23, 2012 7:36 AM
2	Aware of its existence, but have never accessed the information.	May 18, 2012 5:07 PM
3	I am aware of this	May 16, 2012 1:14 PM
4	But would appreciate more training and a contact person on whom I could rely for answers to questions regarding specific situations.	May 16, 2012 11:16 AM
5	If there was an intermediate choice to check above I would have checked off that I know some of the rules regarding preservation of electronic communications. I save project related communications and personnel related communications, but if an email or electronic document does not appear to have any long term importance, I usually delete it so my inbox doesn't get out of hand.	May 15, 2012 1:31 PM
6	I'm aware that such rule exist - I couldn't give you specifics on the guidance they provide however	May 15, 2012 9:26 AM
7	my main focus is paper handling	May 15, 2012 6:02 AM

Auditor's Office Records Management Survey, 2012 SurveyMonkey

Does your division have established procedures to identify which electronic information on its network, including all e-mail correspondence, comprise official records of the bureau?
Please indicate which answer most closely resembles current procedures in your division.

		Response Percent	Response Count
Written procedures are in place		16.9%	14
Procedures exist but are not in writing		8.4%	7
Procedures exist in some areas, but not all		30.1%	25
Procedures do not exist		25.3%	21
Unknown		19.3%	16
Briefly describe any procedures in place			25
answered question			83
skipped question			13

Appendix E (ii.)

Page 3, Q1. Does your division have established procedures to identify which electronic information on its network, including all e-mail correspondence, comprise official records of the bureau? <i>Please indicate which answer most closely resembles current procedures in your division.</i>

1	We do not destroy reports, electronic records, or photographs. We are a young division, and we find ourselves needing to tackle the archival aspects now.	May 24, 2012 4:07 PM
2	TRIM and Email Procedures	May 24, 2012 9:16 AM
3	We save and archive our correspondence and records	May 23, 2012 11:57 AM
4	Posted on GRP 120 drive.	May 23, 2012 9:33 AM
5	Procedures are set up for Program and Project implementation. Unknown how much is dictated by city official records and this would be of lesser concern to most of us.	May 23, 2012 9:29 AM
6	There are four different groups housed within the Watershed Revegetation Program. I am not sure how many groups are familiar with all the procedures. This is something I need to look into.	May 23, 2012 8:35 AM
7	I am not sure but this is my belief, they may be written down	May 23, 2012 8:34 AM
8	We are instructed to save all sent email relating to public business and final documents that originate in our office.	May 21, 2012 4:01 PM
9	There are bureauwide procedures, but not aware of any specific procedures written for individual divisions.	May 18, 2012 5:07 PM
10	This division is responsible for federal and state permits. As a result, records are kept in accordance with those permits and federal/state requirements.	May 16, 2012 4:21 PM
11	Email records remain the biggest challenge in records management.	May 16, 2012 3:15 PM
12	The construction division does have a written email procedure	May 16, 2012 1:14 PM
13	If such procedures exist - I am not aware of them. Additional I search BES public folders in Outlook but was unable to find any written procedures or policy documents.	May 16, 2012 11:16 AM
14	http://www.portlandonline.com/water/index.cfm?c=39386&a=327575	May 16, 2012 8:48 AM
15	See comments in #9 above.	May 15, 2012 1:31 PM
16	All records, whether electronic or paper are considered official records as a default.	May 15, 2012 10:25 AM
17	Unclear what constitutes "official records" . Understand everything is public record. Question has been raised regarding what emails should be saved/TRIMMED versus those that can be discarded. Currently some people put everything in TRIM. Question - Should only key decisions/records be TRIMMED for retention purposes?	May 15, 2012 10:14 AM
18	The City Attorney's Office has provided guidance and oversight on development of a legal records database. This database includes electronic records generated by and/or managed by program staff and will likely include email	May 15, 2012 9:29 AM

Appendix E (ii.)

Page 3, Q1. Does your division have established procedures to identify which electronic information on its network, including all e-mail correspondence, comprise official records of the bureau? <i>Please indicate which answer most closely resembles current procedures in your division.</i>

	records from program staff.	
19	Written procedures for project files are well known and utilized.	May 15, 2012 9:04 AM
20	Construction and Design groups both have written TRIM e-mail procedures.	May 15, 2012 8:55 AM
21	I use the Records Retention Manual when determining what procurement records need to be retained, and for how long.	May 15, 2012 8:01 AM
22	we keep too much e-mail. no time to really cull the volume	May 15, 2012 7:38 AM
23	In another division (Engineering Services), there are written procedures and there was a designated record-keeper to help staff with records retention.	May 15, 2012 6:59 AM
24	The Division procedures are that of the Bureau and the City	May 14, 2012 6:03 PM
25	unsure.	May 14, 2012 6:00 PM

Auditor's Office Records Management Survey, 2012  **SurveyMonkey**

Are your division electronic records and e-mail correspondence being retained and/or destroyed in accordance with the applicable record retention schedule? *Please indicate which answer(s) most closely resembles current practices in your division.*

		Response Percent	Response Count
Retention schedules are applied consistently to electronic records and e-mail		8.4%	7
Retention schedules are applied in some areas, but not all		30.1%	25
Retention schedules are applied only to paper records		15.7%	13
We do not know how to apply retention schedules to electronic records and e-mail		20.5%	17
We do not have the tools to apply retention schedules to electronic records and e-mail		10.8%	9
Unknown		36.1%	30
		Comments?	17
		answered question	83
		skipped question	13

Appendix E (ii.)

Page 3, Q1. Are your division electronic records and e-mail correspondence being retained and/or destroyed in accordance with the applicable record retention schedule? <i>Please indicate which answer(s) most closely resembles current practices in your division.</i>

1	I know there is a process and assume admin does such. That is my assumption.	May 23, 2012 9:29 AM
2	I believe there is a significant effort and intention to follow retention schedules but I am sure it is not perfectly applied	May 23, 2012 8:34 AM
3	Mostly we save everything!	May 23, 2012 8:07 AM
4	We save most email, but I don't know of a specific schedule for retention.	May 23, 2012 7:54 AM
5	Individual email remains the biggest records management challenge.	May 16, 2012 3:15 PM
6	The email documents that the inspectors write and send that are related to construction projects are collected by the construction management or technician and filed in the main file for the construction contracts. I do know that for personnel issues I work with HR and maintain my own record files along with them.	May 16, 2012 1:14 PM
7	I'd say that individual attorneys tend to apply the retention schedules in varying fashion, depending on their interpretation of the requirements.	May 16, 2012 9:02 AM
8	Work in progress. Procedure in place to manage electronic files. We are currently working through a backlog of 300 cubic feet of paper documents, some of which also exists as an electronic file. Focus has been to process the paper files, microfilm and archive as appropriate, then process the electronic files as a part of implementing P8 in PWB.	May 16, 2012 8:48 AM
9	I don't know what other people in my division do. I know that I archive all my emails and relevant documents.	May 15, 2012 1:14 PM
10	I am only aware of Admin Staff going through paper records for Archiving - applying the retention schedule.	May 15, 2012 10:14 AM
11	We have focused on paper archiving requirements.	May 15, 2012 10:00 AM
12	I don't believe retention schedules have been assigned to this program.	May 15, 2012 9:29 AM
13	Records relating to incoming emergency services calls and outgoing dispatches are retained and destroyed in accordance with applicable retention schedules. However, I am unable to speak to email correspondence or other administrative records.	May 15, 2012 9:22 AM
14	Older photos of group activities and education activities are kept, but not identified by each image.	May 15, 2012 8:35 AM
15	We have storage issues-- not enough space on our servers. Every employee has a somewhat different method of storing their electronic records, although they have all been told they have to do it.	May 15, 2012 8:13 AM
16	There is no automatic destruction process, more likely via organized or individual clean up efforts. Employees do know to keep the record copy of electronic correspondence.	May 14, 2012 6:00 PM

Appendix E (ii.)

Page 3, Q1. Are your division electronic records and e-mail correspondence being retained and/or destroyed in accordance with the applicable record retention schedule? <i>Please indicate which answer(s) most closely resembles current practices in your division.</i>

17

City records retention schedules are superceded by Superfund requirements.

May 14, 2012 5:58 PM

Auditor's Office Records Management Survey, 2012 SurveyMonkey

Have the record keeping responsibilities for electronic information and e-mail been assigned within your division? *Please indicate which answer most closely resembles current practices in the division.*

		Response Percent	Response Count
Record keeping responsibilities are defined in each job description		19.3%	16
Responsibilities are not defined, but individuals are expected to maintain their own records		41.0%	34
Record keeping responsibilities are not assigned		21.7%	18
Unknown		18.1%	15
		Comments?	10
		answered question	83
		skipped question	13

Appendix E (ii.)

Page 3, Q1. Have the record keeping responsibilities for electronic information and e-mail been assigned within your division? <i>Please indicate which answer most closely resembles current practices in the division.</i>

1	Record keeping is defined by project use.	May 23, 2012 9:29 AM
2	I would have to review job descriptions to see if they discuss record retention however this is covered at staff and office meetings	May 23, 2012 8:34 AM
3	I can't speak for every job description but I know BES Construction as a whole has been trained for necessary documentation and the construction management trained on records management.	May 16, 2012 1:14 PM
4	record keeping responsibilities are defined for some job descriptions	May 15, 2012 5:06 PM
5	Emails are TRIMMed - Not clear whether or not ALL or only key emails should be TRIMMed and how they are flagged for retention schedules.	May 15, 2012 10:14 AM
6	Responsibility assigned to administrative staff	May 15, 2012 9:35 AM
7	We have defined responsibilities however not all employees adhere to them.	May 15, 2012 8:55 AM
8	We have records staff.	May 15, 2012 8:00 AM
9	inadequate admin staff to handle oversight	May 15, 2012 7:38 AM
10	Recordkeeping responsibilities are assigned based on paper records. Past practice has been that email and electronic information must be printed and filed hard copy if to be retained. This practice needs to be updated.	May 15, 2012 6:24 AM

Auditor's Office Records Management Survey, 2012 SurveyMonkey

How frequently does your division review network drives to distinguish between what must be retained as an official City record and what can be purged as a non-record once its reference value has expired? *Please indicate which answer most closely resembles current practices in your division.*

		Response Percent	Response Count
Weekly		1.2%	1
Monthly		0.0%	0
Annually		7.2%	6
When the system gets full		26.5%	22
Rarely, if ever		28.9%	24
Unknown		36.1%	30
	Comments?		9
	answered question		83
	skipped question		13

Appendix E (ii.)

Page 3, Q1. How frequently does your division review <u>network drives</u> to distinguish between what must be retained as an official City record and what can be purged as a non-record once its reference value has expired? <i>Please indicate which answer most closely resembles current practices in your div...

1	I know this occurs but I do not do it	May 23, 2012 8:34 AM
2	However, an individual does reviews of the system and make recommendations on which files have not been accessed in a long time and could potentially be purged. Whether to purge the files remains a decision of the user.	May 23, 2012 8:07 AM
3	I do not believe this is done at division level. At bureau level - I think it happens when the system gets full.	May 16, 2012 11:16 AM
4	File structures have been established to facilitate retention schedules for project related files. Engineers tend to believe that the reference value for any given file exists for a long, long time. PWB's implementation of P8 will help automate the review process.	May 16, 2012 8:48 AM
5	They were reviewed a year or two ago, but not since.	May 16, 2012 8:38 AM
6	Our bureau's technical/graphics/Web staff frequently review storage capacity of network drives.	May 15, 2012 1:14 PM
7	I maintain portable hard drives for LiDAR data for terrain in the Bull Run Watershed as there is not space on the servers for it. I also maintain portable backups of frequently used data analysis.	May 15, 2012 8:35 AM
8	primarily: when our drives reach saturation, an e-mail requests that staff clean up their unneeded records, or move them to personal pc's: or we buy more disk space	May 15, 2012 6:02 AM
9	Not applicable, Superfund requirements supercede City retention schedule	May 14, 2012 5:58 PM

Auditor's Office Records Management Survey, 2012 SurveyMonkey

How frequently does your division review e-mail folders to distinguish between what must be retained as an official City record and what can be purged as a non-record once its reference value has expired? *Please indicate which answer most closely resembles current practices in your division.*

		Response Percent	Response Count
Weekly		0.0%	0
Monthly		0.0%	0
Annually		2.4%	2
When the system gets full		19.3%	16
Rarely, if ever		39.8%	33
Unknown		38.6%	32
	Comments?		6
answered question			83
skipped question			13

Appendix E (ii.)

Page 3, Q1. How frequently does your division review <u>e-mail folders</u> to distinguish between what must be retained as an official City record and what can be purged as a non-record once its reference value has expired? <i>Please indicate which answer most closely resembles current practices in your div...

1	Varies by individual	May 23, 2012 1:11 PM
2	employees are responsible for their own email folders	May 23, 2012 7:36 AM
3	Project related emails are to be kept with the project files on network drives, and would be reviewed with the rest of the project documentation. Again, Engineers tend to believe that any given email has a long period where it has reference value. PWB's implementation of P8 will help automate the review process.	May 16, 2012 8:48 AM
4	I don't know what individuals do.	May 15, 2012 6:59 AM
5	Done on an individual basis.	May 15, 2012 6:24 AM
6	Not applicable, Superfund requirements supercede City retention schedule	May 14, 2012 5:58 PM

Auditor's Office Records Management Survey, 2012  **SurveyMonkey**

Name/ briefly describe any *business applications* that are storing electronic records or e-mail that pertain to your areas of responsibility. Please include the name of the system(s) and the business function the application supports. (*examples of business applications: ConstructWare; TRACS; Hansen*).

	Response Count
	83
answered question	83
skipped question	13

Appendix E (ii.)

Page 3, Q1. Name/ briefly describe any <i>business applications</i> that are storing electronic records or e-mail that pertain to your areas of responsibility. Please include the name of the system(s) and the business function the application supports. <i>(examples of business applications: ConstructWare; T...

1	N/A	May 25, 2012 2:04 PM
2	E911 (records of dispatched calls) Keystone (hard key and lock tracking system for Water Bureau) CyberServeIT (tracks key and lock assignments and key activity)	May 24, 2012 4:07 PM
3	TRACS; ArcGIS (we maintain a layer of data related to development proposals, but it only contains case numbers and types and City reviewer names)	May 24, 2012 12:41 PM
4	TRIM	May 24, 2012 9:16 AM
5	TRIM	May 23, 2012 3:14 PM
6	P&D Billing System P&D eSR System Scanned copies of all P&D work orders	May 23, 2012 3:13 PM
7	Hansen	May 23, 2012 2:21 PM
8	None	May 23, 2012 1:59 PM
9	FPDR database	May 23, 2012 1:11 PM
10	None	May 23, 2012 11:57 AM
11	TRACS	May 23, 2012 11:31 AM
12	None	May 23, 2012 10:46 AM
13	Constructware, various Access Databases, TRIM	May 23, 2012 9:33 AM
14	ConstructWare, TRIM	May 23, 2012 9:29 AM
15	Hansen; Piper; WASUP	May 23, 2012 8:58 AM
16	Trim	May 23, 2012 8:44 AM
17	The Reveg Database stores information from two groups within Reveg. The other groups do not use this system for their work.	May 23, 2012 8:35 AM
18	Practice Manager	May 23, 2012 8:34 AM
19	Constructware	May 23, 2012 8:14 AM
20	TRIM Electronic Vault - e-mail	May 23, 2012 8:07 AM
21	Not sure.	May 23, 2012 7:59 AM
22	Outlook	May 23, 2012 7:54 AM
23	business software	May 23, 2012 7:53 AM
24	none	May 23, 2012 7:36 AM

Appendix E (ii.)

Page 3, Q1. Name/ briefly describe any <i>business applications</i> that are storing electronic records or e-mail that pertain to your areas of responsibility. Please include the name of the system(s) and the business function the application supports. <i>(examples of business applications: ConstructWare; T...

25	I use MS Outlook for archiving	May 23, 2012 7:33 AM
26	Don't know	May 21, 2012 4:01 PM
27	TRACS	May 21, 2012 1:35 PM
28	None	May 21, 2012 8:42 AM
29	TRACS. Permit and case tracking software TRIM.	May 21, 2012 5:46 AM
30	None.	May 18, 2012 5:07 PM
31	none	May 18, 2012 9:23 AM
32	None	May 17, 2012 7:57 PM
33	Some are saved to the network drive.	May 17, 2012 9:23 AM
34	don't know	May 16, 2012 5:36 PM
35	TrackIT and eBid	May 16, 2012 5:20 PM
36	permitting and permit tracking systems: TRACS, LINKO, AQUARIUS, and MSOffice/Outlook	May 16, 2012 4:21 PM
37	None that I am aware of.	May 16, 2012 3:15 PM
38	Incident System, all fire and investigation calls Permit system, create receipts	May 16, 2012 2:34 PM
39	None, to my knowledge.	May 16, 2012 1:55 PM
40	TRIM, Constructware, PIPER	May 16, 2012 1:14 PM
41	TRACS	May 16, 2012 11:16 AM
42	na	May 16, 2012 9:52 AM
43	Our office uses Practice Manager for storing email	May 16, 2012 9:02 AM
44	SAP, TRIM, Oracle WAM (Synergen), AtTask, P8, ARCSDE (ArcGIS).	May 16, 2012 8:48 AM
45	None that I know of.	May 16, 2012 8:38 AM
46	unknown	May 15, 2012 5:06 PM
47	Docushare for Portland Harbor	May 15, 2012 3:03 PM
48	Water Quality Database Janus Database	May 15, 2012 1:31 PM
49	Contract administration HR administration Planning Commission records	May 15, 2012 1:14 PM
50	TRACS Cayenta ARCGIS	May 15, 2012 1:08 PM

Appendix E (ii.)

Page 3, Q1. Name/ briefly describe any <i>business applications</i> that are storing electronic records or e-mail that pertain to your areas of responsibility. Please include the name of the system(s) and the business function the application supports. <i>(examples of business applications: ConstructWare; T...

51	Filenet	May 15, 2012 12:34 PM
52	TRIM	May 15, 2012 12:02 PM
53	Network Folders	May 15, 2012 10:52 AM
54	SAP - Purchases, timekeeping	May 15, 2012 10:45 AM
55	Element -LIMS for laboratory information Aquarius - Analytical results, billing information	May 15, 2012 10:25 AM
56	TRIM, Constructware (CSO Projects)	May 15, 2012 10:14 AM
57	ADEPT	May 15, 2012 10:00 AM
58	ConstrucWare, Trim, Synergen	May 15, 2012 9:43 AM
59	TRIM	May 15, 2012 9:38 AM
60	TRIM	May 15, 2012 9:35 AM
61	Docushare - this is the legal database originated by the City Attorney's office that houses key electronic records for our program.	May 15, 2012 9:29 AM
62	None that I know of	May 15, 2012 9:26 AM
63	BIRT - Internal research request tracking database for all research requests; Pyxis - Digital audio file recording system; CAD = Computer-aided call taking and dispatch system; MagIC - 9-1-1 call database; BOEC Intranet and BOEC Data Portal - Records management database.	May 15, 2012 9:22 AM
64	Constructware - construction documents TRACS - development related issues Hansen - asset management info	May 15, 2012 9:04 AM
65	TRIM; Constructware; TRACS; Hansen; Piper; SharpeSoft; Primavera; MS Project.	May 15, 2012 8:55 AM
66	Constructware, manage construction documentation.	May 15, 2012 8:53 AM
67	We have an Image Library for Maps, photos, powerpoints, and videos for shared data. Archives of Outlook for email. Filenet for some records, but it is rarely used by our group. Engineering uses it regularly.	May 15, 2012 8:35 AM
68	Hansen - asset inventory & work orders TRIM - project files GIS - spatial data	May 15, 2012 8:33 AM
69	unknown	May 15, 2012 8:22 AM
70	ONI Database, built by BTS	May 15, 2012 8:13 AM
71	Unknown	May 15, 2012 8:01 AM
72	Filenet (work orders), Projectwise (CAD files),	May 15, 2012 8:00 AM

Appendix E (ii.)

Page 3, Q1. Name/ briefly describe any <i>business applications</i> that are storing electronic records or e-mail that pertain to your areas of responsibility. Please include the name of the system(s) and the business function the application supports. <i>(examples of business applications: ConstructWare; T...

73	n/a/ - Don't know	May 15, 2012 7:44 AM
74	none	May 15, 2012 7:38 AM
75	I am not sure.	May 15, 2012 7:16 AM
76	None	May 15, 2012 6:59 AM
77	Oracle Work and Asset Management / Synergen	May 15, 2012 6:56 AM
78	TRIM	May 15, 2012 6:37 AM
79	IFIX - automation controlling Emanual - electronic standard operating procedures Synergen - work and asset mgmt system	May 15, 2012 6:24 AM
80	Synergen - work order system	May 15, 2012 6:02 AM
81	Synergen, COPS, SAP	May 14, 2012 6:03 PM
82	None	May 14, 2012 6:00 PM
83	Our group uses the City Attorney Office legal database (DocuShare).	May 14, 2012 5:58 PM

Auditor's Office Records Management Survey, 2012  **SurveyMonkey**
Is your division using TRIM?

		Response Percent	Response Count
To a great extent		19.3%	16
In a limited capacity		33.7%	28
Not at all		31.3%	26
Don't know		15.7%	13
Briefly describe how TRIM is used, if applicable.			34
answered question			83
skipped question			13

Appendix E (ii.)

Page 3, Q1. Is your division using TRIM?

1	Once in a while, to look something up.	May 24, 2012 12:41 PM
2	It is used to store project records during the project and for archival purposes.	May 24, 2012 9:16 AM
3	Storing historical documents and current reports that are significant to our division	May 23, 2012 3:14 PM
4	As required by the Division Manager.	May 23, 2012 9:33 AM
5	Storage of project and program records.	May 23, 2012 9:29 AM
6	There is a need for at least one person in Reveg to get access to TRIM.	May 23, 2012 8:35 AM
7	Used to obtain Auditor's Office records, such as contracts, insurance certs, etc.	May 23, 2012 8:14 AM
8	Some areas are fully on TRIM for business process documents.	May 23, 2012 8:07 AM
9	Working on getting license to use it.	May 23, 2012 7:59 AM
10	access to contracts and council documents only at this time	May 23, 2012 7:36 AM
11	All issued permits are being stored and accessed through TRIM.	May 21, 2012 5:46 AM
12	We link to eFile documents via our website (my division maintains our website)	May 17, 2012 7:57 PM
13	Budget development and monitoring records.	May 16, 2012 3:15 PM
14	All construction documents and photos	May 16, 2012 1:14 PM
15	I am not using TRIM but other's in the division might.	May 16, 2012 11:16 AM
16	searching for archived records - ordinances, contracts	May 16, 2012 9:02 AM
17	To research records, ordinances, and photographs.	May 16, 2012 8:48 AM
18	I use TRIM for contracts, archiving and research.	May 15, 2012 1:14 PM
19	all Planning and Sustainability Commission documents, testimony and audio are regularly uploaded into TRIM. application and annual meeting indices are on a less frequent basis.	May 15, 2012 12:02 PM
20	For projects. No retention schedules are in place.	May 15, 2012 10:00 AM
21	We are just initiating the use of TRIM, so a lot of this will be put into practice soon.	May 15, 2012 9:43 AM
22	Some of our staff have been trained and I believe they are using it in partnership with other Divisions in our bureau for specific projects	May 15, 2012 9:26 AM
23	Project files are TRIM'd consistently	May 15, 2012 9:04 AM
24	Engineering Services uses TRIM for all CIP and PW Permit project records management. Our current business practice is that we also retain and eventually archive hard copies.	May 15, 2012 8:55 AM

Appendix E (ii.)

Page 3, Q1. Is your division using TRIM?

25	Store project files	May 15, 2012 8:33 AM
26	I use TRIM to find contract records.	May 15, 2012 8:01 AM
27	For official records	May 15, 2012 8:00 AM
28	no time to learn and implement	May 15, 2012 7:38 AM
29	Some of the staff are able to look up contract information. That is the only area that I work with but there may be others uses.	May 15, 2012 7:16 AM
30	To store construction records	May 15, 2012 6:37 AM
31	Just beginning to implement it.	May 15, 2012 6:24 AM
32	to locate stored paper records	May 15, 2012 6:02 AM
33	Just starting to work with it for broader use	May 14, 2012 6:03 PM
34	Not in Class/Comp. Admin is getting organized for TRIM, and BHR personnel records uses scanning system.	May 14, 2012 6:00 PM

Auditor's Office Records Management Survey, 2012 

Does your division need training or other help from the Archives & Records Management Division to understand how to comply with electronic record keeping responsibilities?
Please check all that apply.

		Response Percent	Response Count
Review of record keeping rules and responsibilities for electronic records and e-mail		66.3%	55
How to apply retention requirements to electronic records and e-mail		62.7%	52
Learning about TRIM		60.2%	50
No, thanks		15.7%	13
Any other training needed?			18
answered question			83
skipped question			13

Appendix E (ii.)

Page 3, Q1. Does your division need training or other help from the Archives & Records Management Division to understand how to comply with electronic record keeping responsibilities? <i>Please check all that apply.</i>

1	We are ready to transition our Dispatch software, and the new software will have electronic report capability for our officers. We would like to receive training prior to launching the new software. Old reports are retained in paper format. We will not be transitioning data to the new system, but have considered converting paper to electronic format for archival purposes.	May 24, 2012 4:07 PM
2	We'll probably need a TRIM refresher when we begin to upload our files.	May 24, 2012 12:41 PM
3	Maybe next year so we're done with migrating our database to a new software platform.	May 23, 2012 1:11 PM
4	What would be useful is the setting up (and installing) of tools that make using TRIM less time consuming. Mass uploading including folders, set up on outlook to immediately store in TRIM folders, a person assigned to upload files into TRIM, etc	May 23, 2012 9:29 AM
5	Yes, as a relatively new program manager of Reveg, I would greatly benefit from help with understanding the Archives & Records Management.	May 23, 2012 8:35 AM
6	I would not be the person to ask but imagine training could be useful	May 23, 2012 8:34 AM
7	Support around records retention schedules; general TRIM user training	May 23, 2012 8:07 AM
8	I suspect that a more complete implementation of TRIM would require support centers (employees can save real records in TRIM under the guidance of a very knowledgeable user) and ongoing super user support.	May 16, 2012 3:15 PM
9	We have new people in our bureau who would benefit from training; others could attend as a refresher course since we received training about 3 years ago. Some people may want to learn TRIM, too, but I don't know who they are.	May 15, 2012 1:14 PM
10	Speaking ONLY for records relating to incoming emergency services calls and outgoing dispatches, we do not require additional training.	May 15, 2012 9:22 AM
11	Email archiving, photo archiving	May 15, 2012 8:35 AM
12	Unsure	May 15, 2012 8:33 AM
13	It needs to be mandatory training for everyone, or only a few people will attend and only a limited number of records will be retained correctly.	May 15, 2012 8:01 AM
14	We have a Records Manager. I can receive training from him.	May 15, 2012 8:00 AM
15	we've had training and done some things to organize records. But frankly there is no time to stop and put a system in place.	May 15, 2012 7:38 AM
16	Consultation needed for: TRIM file structure development, Best business practices for implementing and meeting record requirements based on limited resources (funding and staffing)	May 15, 2012 6:24 AM
17	review likely organized internally Trim info needed when sections are ready to employ that system	May 14, 2012 6:00 PM

Appendix E (ii.)

Page 3, Q1. Does your division need training or other help from the Archives & Records Management Division to understand how to comply with electronic record keeping responsibilities? <i>Please check all that apply.</i>

18	Would be useful to know which groups are using TRIM to help with our records research.	May 14, 2012 5:58 PM
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Auditor's Office Records Management Survey, 2012  **SurveyMonkey**

Please add any information that you think is relevant to managing your electronic records and e-mail.

	Response Count
	21
answered question	21
skipped question	75

Appendix E (ii.)

Page 3, Q1. Please add any information that you think is relevant to managing your electronic records and e-mail.

1	We write about 700 reports per year, and there are numerous photographs taken of vandalism (tagging of tanks and buildings).	May 24, 2012 4:07 PM
2	While my Division is not up to speed there are others in the Watershed Services group who are.	May 23, 2012 8:58 AM
3	We need help figuring out how to make records retention as simple as possible.	May 23, 2012 8:07 AM
4	E-mail records stored in Outlook and drives. BES BTS is the contact resource for our computer drive use.	May 21, 2012 1:35 PM
5	I think BPS as a bureau needs training, and a single point person for archiving info.	May 17, 2012 7:57 PM
6	TRIM has looked like a useful tool, but it is evident that it requires staffing. Rolling out the system is not enough, we will need to maintain it. I do not believe that can be successful if the additional responsibilities are added to existing workload. TRIM is like SAP, an information system with many potential benefits, but high maintenance and requires a continues investment of time from line staff as well as specialists to operate it.	May 17, 2012 9:23 AM
7	I think we need a practical solution for users who receive 70-100 emails a day to address how these are actually sorted and saved.	May 16, 2012 3:15 PM
8	Our Bureau needs to have it's files removed from the Auditor's Office, but also some additional retention schedules created for bureau-specific records.	May 16, 2012 8:38 AM
9	We would like to do more electronic archiving in the future and eliminate some paper record storage. However, people have limited time to organize and implement the work to transfer from paper records to electronic ones.	May 15, 2012 1:14 PM
10	Training and/or Suggestions on how to maintain email and electronic records in such a way that the Retention Schedules can be easily applied (e.g. Coding, labeling or process).	May 15, 2012 10:14 AM
11	A lot of the records management for my Division is managed by the plant's support services personnel in the Administrative Division of the Wastewater Group.	May 15, 2012 9:43 AM
12	Using TRIM is time consuming and therefore costly. We are paying engineers and manager wages to get documents labeled and appropriately stored which I think is a waste of resources.	May 15, 2012 9:35 AM
13	Superfund regulations likely supercede internal retention policies.	May 15, 2012 9:29 AM
14	It seems very important to maintain organized and time relevant data. A strong expectation to do this has not been set, and given the increased work load and decreased resources most of us are dealing with, we will need help to make the important tasks of records maintenance a priority.	May 15, 2012 9:26 AM
15	Original files per Adobe or other image processing software need retention. The bureau's Filenet software can not save images in original format, only scanned and retrieved as tiff or jpg.	May 15, 2012 8:35 AM

Appendix E (ii.)

Page 3, Q1. Please add any information that you think is relevant to managing your electronic records and e-mail.

16	I have looked at the retention schedules for our bureau - they are out of date and poorly organized given today's responsibilities. It's no wonder there's confusion about archiving responsibilities if the "administrative" guidelines are essentially worthless.	May 15, 2012 8:22 AM
17	I'd like to book a training on TRIM.	May 15, 2012 8:13 AM
18	Nature of work on multiple ongoing and long-term projects requires easy access to historical email communication. Current Outlook size limitations force archiving/removal of emails sooner than would otherwise be advisable. Frequent purging/sorting/archiving emails presents a significant drain on very limited staff time.	May 15, 2012 7:44 AM
19	I work with a team managing disability claims. We do understand the retention of those claims and e-mails relating to them. If there are other retention requirements relating to e-mail in general, it would be beneficial to be aware of them.	May 15, 2012 7:16 AM
20	The challenge we continue to have is how to appropriately address information/records management with limited resources. Where to start? What is most important to focus on? Practical guidance on a step by step approach for implementation (rather than the entire thing all at once) would be extremely helpful. Break it down in chunks for us.	May 15, 2012 6:24 AM
21	The Division follows Bureau and City rules as instructed.	May 14, 2012 6:03 PM

Appendix E (ii.)

Identified Bureau Affiliation

BDS
 BDS
 BES
 BES
 BES
 BES
 BES - Business Services
 BES - Compliance Division
 BES - Engineering
 BES - Engineering Services - Design Division

 BES - Portland Harbor
 BES - Watershed Division - Slough Group
 BES - Watershed Services
 BES - Watershed Services Group - Sustainable Stormwater
 BES Wastewat Group Collection Systems Division
 BES / ENGINEERING SERVICES
 BES / Engineering Services / Construction Division / Inspection Services
 BES / Wastewater Group
 BES Construction
 BES- Engineering Design Services
 BES Engineering Division
 BES System Development Division in Engineering Services
 BES Wastewater Group
 BES Watershed Revegetation Program
 BES WG
 BES WG Mainteance
 BES - Business Services - Accounting Services
 BES - Design Services Division - Wastewater Engineering Section
 BES, Construction, Group 107
 BES, Director's office
 BES, Engineering Services
 BES, Engineering Services
 BES, Engineering Services, Asset Systems Management
 BES, Engineering Services, Design Division
 BES, Environmental Compliance Division
 BES, Environmental Investigations Division
 BES, Land Use and Early Assistance
 BES, Pollution Prevention Services Group, Environmental Investigations
 Division, Field Operations Section
 BES, Portland Harbor Superfund
 BES, Revenue Programs Administration
 BES, Wastewater Group, Operations Division
 BES, Watershed Division
 BES, Watershed Services
 BES/Contracts Management
 BES/Environmental Policy
 BES/Risk Services
 BES: Engineering Services: Asset Systems Management: Asset
 Management/System Planning
 BES; Engineering Services, Stormwater Retrofit Section
 BHR (OMF) - Asst HR Director (over site teams) - Former Class Comp division
 mgr

Responses by bureau

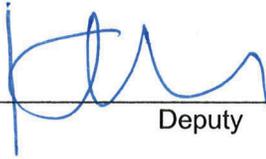
BDS	2
BES	46
BHR	1
BOEC	3
BPS	3
BTS	3
City Attorney	4
Fire	5
FPDR	4
Government	1
Relations	
Office of Equity	0
OMF	9
ONI	2
PBEM	0
PBOT	2
PDC	1
PHB	0
Water bureau	8
	94

Appendix E (ii.)

BTS
BTS - Administration
BTS - Administration
City Attorney
City Attorney's Office
City Attorney's Office -- litigation section
City Attorneys Office, Contracts and Property Group
Emergency Communications
Emergency Communications
Emergency Communications
Fire - Management Services Division
Fire - EMS
Fire - Fire/Arson Investigation Unit
Fire & Rescue, Management Services Division
Fire / Training, Safety & EMS
FPDR
FPDR
FPDR
FPDR, Finance
Government Relations
OMF
OMF - EBS
OMF - Financial Services
OMF Bureau of Financial Services, Public Finance and Treasury
OMF Business Operations Division
OMF -EBS Division
OMF, Bureau of Internal Business Services, Procurement Services
OMF/BIBS
OMF/BIBS/P&D
ONI Crime Prevention Program
ONI, Community and Neighborhood Involvement Center
Planning & Sustainability - Technical Services
Planning and Sustainability - commission
Planning and Sustainability, Finance and Administration
Portland Development Commission
Transportation - Business Services Division - Deborah Sievert Morris
Transportation, Capital Group
Water / Customer Services - but all WB divisions utilize our system
Water Bureau - Community Involvement and Information
Water Bureau - Resource Protection and Planning
Water Bureau - Security
Water Bureau
Engineering Services Group
Water Bureau
Security
Water Bureau, Engineering Services
Water Bureau, Resource Protection and Planning
Water Bureau/Water Quality

Report on City of Portland

Transmit Electronic Recordkeeping Report *A Roadmap to Improved Practices and Compliance (Report)*

<p>INTRODUCED BY Commissioner/Auditor: Auditor</p>	<p>CLERK USE: DATE FILED <u>AUG 02 2013</u></p>
<p>COMMISSIONER APPROVAL</p> <p>Mayor—Finance and Administration - Hales</p> <p>Position 1/Utilities - Fritz</p> <p>Position 2/Works - Fish</p> <p>Position 3/Affairs - Saltzman</p> <p>Position 4/Safety - Novick</p>	<p style="text-align: center;">LaVonne Griffin-Valade Auditor of the City of Portland</p> <p>By:  Deputy</p>
<p>BUREAU APPROVAL</p> <p>Bureau: Auditor Bureau Head: LaVonne Griffin-Valade </p> <p>Prepared by: Sarah Landis Date Prepared: 8/1/2013</p>	<p>ACTION TAKEN:</p> <p>AUG 07 2013</p>
<p>Financial Impact & Public Involvement Statement Completed <input checked="" type="checkbox"/> Amends Budget <input type="checkbox"/></p>	
<p>City Auditor Office Approval: required for Code Ordinances</p>	
<p>City Attorney Approval: required for contract, code, easement, franchise, charter, Comp Plan</p>	
<p>Council Meeting Date 8/7/2013</p>	

AGENDA
<p>TIME CERTAIN <input checked="" type="checkbox"/> Start time: <u>9:30</u></p> <p>Total amount of time needed: 30 minutes (for presentation, testimony and discussion)</p>
<p>CONSENT <input type="checkbox"/></p>
<p>REGULAR <input type="checkbox"/> Total amount of time needed: _____ (for presentation, testimony and discussion)</p>

FOUR-FIFTHS AGENDA	COMMISSIONERS VOTED AS FOLLOWS:	
	YEAS	NAYS
1. Fritz	✓	
2. Fish	✓	
3. Saltzman	✓	
4. Novick	✓	
Hales	✓	