



Presentation of Report to City Council on

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

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Why this Report?

Impetus for report

- A growing concern that the City's progress toward getting a handle on our electronic records has been too slow.
- Overall risk posed to our valuable information assets if we don't make improvements.

This is how we manage our paper records in the Archives and Records Center



And this is roughly how most City Offices are managing the flood of electronic records (*dramatization*)



A good electronic records management system provides many benefits

• *To City Employees:*

- Ease of finding documents
- Risk mitigation
- File sharing
- Version control
- Preservation
- Security
- Purging of duplicative and obsolete information
- Compliance with laws and rules

To the Public:

- Ease of access to information*
- Quicker response to public records requests
- Increased self-service opportunities
- Increased transparency and public trust



*Through E-files

Problems with Current Practices:

- Compliance with City Administrative Rules is not widespread
- Long-term electronic records are at risk for loss
- Responsibilities are not well understood or assigned
- Email and documents on shared drives are generally uncontrolled
- Tools and training are not widely available to all City employees
- Long-term strategy for management and preservation of City digital assets is underfunded

Current Utilization of TRIM

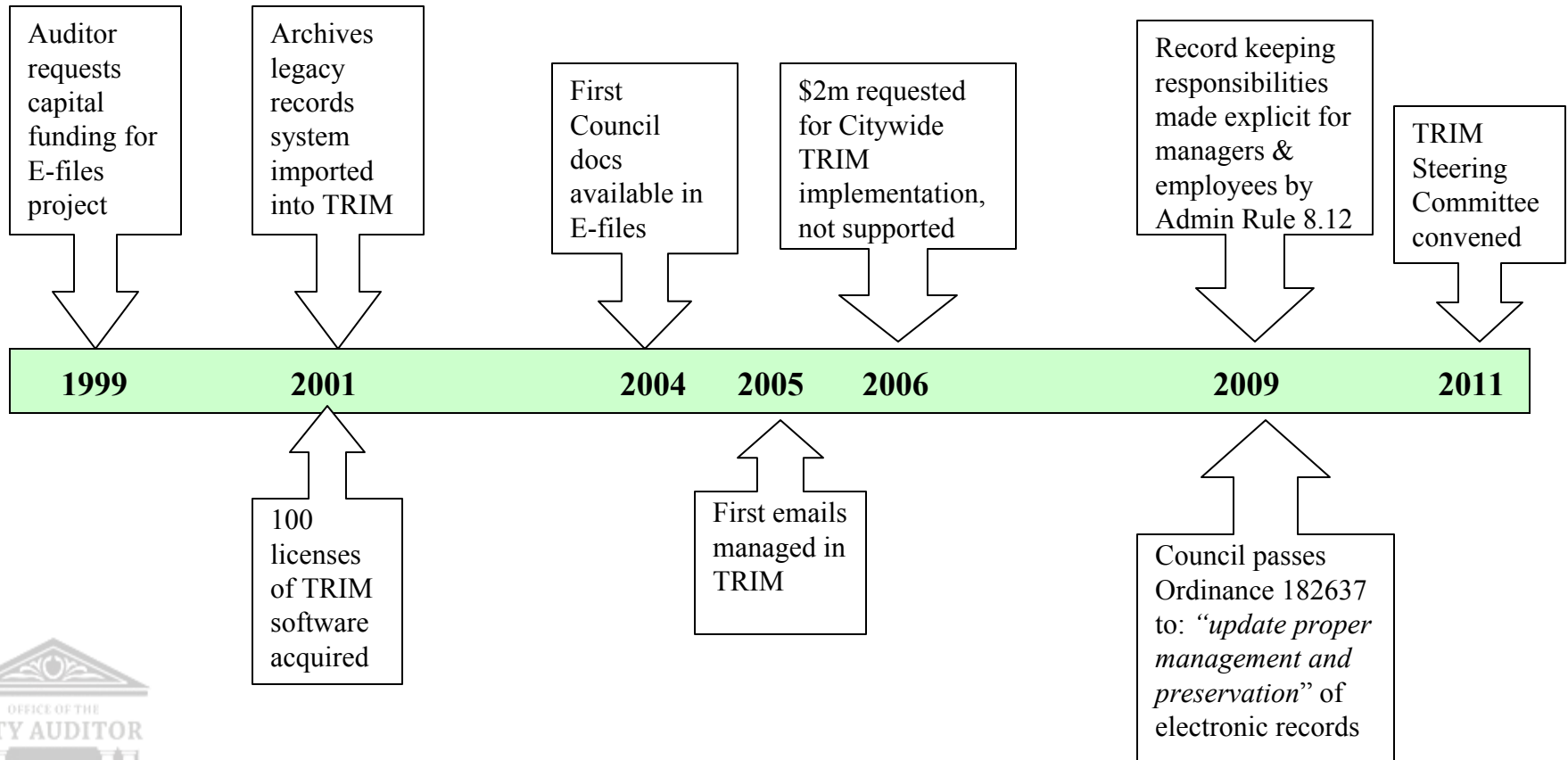
- Electronic records managed: 703,559
- Emails managed: 906,710
- Active TRIM users: 1,100
- Efiles page views FY2012-13: 300,000
- Documents viewed by City employees FY 2012-13 : 129,000
- Documents viewed via Efiles FY 2012-13: 1.35 million
- City Council documents from 1985 – present
- City personnel files
- City contracts
- Elected officials' correspondence
- Police Bureau incident reports
- BES engineering and construction files and critical documents
- BDS permit records
- PHB loan portfolios
- Planning and Sustainability Commission records
- Individual desktop document/email management in select workgroups
- Thousands of historical documents and photographs



Top 10 Records Viewed via Efiles Since July 2012

Record Title	Record Date	Record Owner	# Views	TRIM Record #
Bureau of Development Services – Design Commission Agenda	6/8/2012	BDS – Land Use Services	5377	12/ED/44169
Council Documents – 1676-2009 Accept bid of Westech Construction Inc. for the NW 23 rd Ave Lovejoy to Burnside Project Bid No. 111066 report	12/2/2009	City Auditor’s Office	4906	D/73792
Council Resolutions - 36845 SE 82nd Ave of Roses and Bybee Blvd LID C-10039	2/2/2011	City Auditor's Office	3736	D/69235#1
2011 POINT-IN-TIME Count of Homelessness in Portland/Multnomah County, OR	6/21/2011	Portland Housing Bureau	2349	11/ED/43766
PHB 2012 Median Family Income for a Family of Four: PHB (HUD) Eff. 12-1-11	12/2/2011	Portland Housing Bureau	2310	HB-38880
Council Documents – Accept report and recommendations of the Rose Quarter Development Project Stakeholder Advisory Committee regarding the Memorial Coliseum report	4/14/2010	City Auditor’s Office	2276	D/73484
Council Documents – Accept 2010 report of the Customer Service Advisory Committee	1/13/2010	City Auditor's Office	2191	D/73645
Council Ordinance – 184522 Tree Code Regulation add PCC Title 11 and amend related titles 2011-03-09 testimony	4/13/2011	City Auditor's Office	2060	D/69833#10
Housing - Tab 4 11.18 APPENDIX CAP Template	8/13/2010	Portland Housing Bureau	1602	10/ED/13897
Boards & Commission (Archival) - Docks Commission Minutes – May 21, 1951	12/22/1952	Archives and Records Management	1152	08/ED/3690

Milestones of Electronic Recordkeeping Efforts (1999-2011)



TRIM Steering Committee

- Provided guidance on what is feasible for broader TRIM implementation
- Recommended funding, staffing and resource options for a Citywide TRIM implementation
- Recommended specific priorities for TRIM implementation
- Recommended implementation plan strategy, timeline and expectations
- Communicated results, reports and verbal communications to interested parties

City Recordkeeping Practices Survey

- Targeted to management level contacts identified by bureau directors
- Recipients were those who have a general sense of how their divisions manage records
- Survey 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
- We received 94 responses from 18 different bureaus

Recordkeeping Survey Results: *Highlights*

	Yes	No
Are you are aware of City Administrative Rules for the management and preservation of electronic records and email?	79.80%	20.20%
Do you believe your division staff members are familiar with the record retention schedule that applies to their records?	52.60%	47.40%

	Yes	Partially	No / Unknown
Does your division have established procedures to identify which electronic information on its network, including email, comprise official records of the bureau?	16.70%	38.3%	44.00%

	Weekly - Annually	When Full or Rarely	Unknown
How frequently does your division review email folders to distinguish between what must be retained as official City record and what can be purged?	2.40%	59.50%	38.10%

TRIM Steering Committee Recommendations

- Ensure responsibility for electronic records management is accepted at all levels of the City
- Establish and convene a Citywide advisory committee to ensure ongoing input from bureaus on electronic recordkeeping issues
- Enhance current records management training options and make them available to employees at all levels
- Develop a process for monitoring and enforcement of compliance with relevant rules and laws

TRIM Steering Committee Recommendations

- Encourage Citywide records retention best practices and compliance with Admin Rule 8.12
- Create a sustainable funding model to support the enhanced electronic records management program
- Expand the availability of TRIM software Citywide to provide the means for employees to manage their electronic information
- Prioritize areas where TRIM implementation will provide the greatest benefit

City Auditor Recommendations 5-Year Implementation Plan

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

