



City of San Antonio

Agenda Memorandum

File Number:18-3960

Agenda Item Number: 13.

Agenda Date: 6/19/2018

In Control: Audit and Accountability Committee

AUDIT COMMITTEE SUMMARY

June 19, 2018

Audit of the Office of the City Clerk Record Retention and Archives

Report Issued April 23, 2018

Audit Objective

Determine if the City's record retention and archives processes are adequate and in accordance with regulations and internal policies (to include physical security).

Background

The Records Management and Archives Division of the City Clerk's Office facilitates the management, retention and destruction of records; as well as, the management and preservation of historic documents. City records are kept at the Municipal Archives and Records warehouse. A department Records Liaison Officer (RLO) program was also established to manage department records and ensure compliance with City record retention guidelines.

Audit Scope and Methodology

The audit scope was fiscal year 2017. We reviewed incoming records and recently destroyed records to determine if minimum retention criteria were complied with. We also sampled current stored records to ensure accuracy of location data in the records management system, Hummingbird. Finally, we reviewed the list of department Record Liaison Officers to ensure training was up to date and proper designation forms were signed and on file.

Audit Conclusions

Due to outdated and inoperable equipment, the Office of the City Clerk implemented manual processes to track and record incoming records. Those manual processes were effective to ensure compliance with the retention schedule. However, they were ineffective to ensure records were not lost or misplaced.

We were unable to locate boxes from our sample of incoming storage records in which the locations were written on the back of forms. We also identified that Record Liaison Officer documentation was inaccurate, designation forms were not on file, and some had not attended the required training. Safety training was not documented regarding the use of the industrial shredder used to destroy records. Finally, the Municipal Archives Records warehouse disaster preparedness plan was outdated.

We made recommendations to address the issues. The Office of the City Clerk concurred with the recommendations and developed positive corrective action plans.