



City of San Antonio

Agenda Memorandum

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In Control: Audit and Accountability Committee

AUDIT COMMITTEE SUMMARY

June 16, 2020

Follow-Up Audit of City Clerk Records Retention and Archives

Report Issued March 13, 2020

Audit Objective

Determine if recommendations made in the prior audit of City Clerk Records Retention and Archives have been effectively implemented.

Background

On April 23, 2018, the Office of the City Auditor (OCA) completed an audit on the City Clerk Records Retention and Archives. The objective of the audit was to determine if the City's record retention and archives processes are adequate and in accordance with regulations and internal policies (to include physical security).

The OCA concluded that the Office of the City Clerk (OCC) implemented manual processes to process incoming storage and record destruction requests. Manual controls are working as expected to ensure compliance with record retention guidelines set forth by the Texas State Library and Archives Commission (TSLAC). Additionally, controls are effective to ensure records are appropriately reviewed and authorized prior to destruction.

However, OCA identified the following record retention and archive processes that needed improvement. Documentation was inaccurate and/or lacking regarding department Record Liaison Officers (RLO), daily warehouse inspections, and training. Additionally, records located in the Municipal Archives and Records (MARs) facility could not be found and were subject to unauthorized access. Further, automated systems and equipment used in the MARs facility for incoming storage and destruction processes were out of date and inoperable. Finally, the MARs facility Disaster Preparedness Plan was outdated and not finalized.

Scope and Methodology

The audit scope was limited to the recommendations and corrective action plans made in the original report for the time frame from October 2018 to November 2019.

Conclusions

We determined that the City Clerk has successfully implemented adequate controls to address prior audit recommendations. Specifically, the Office of the City Clerk has:

- Updated the RLO list to ensure it is current and accurate. In addition, RLOs have attended required

training and signed required acknowledgements.

- Developed procedures to enhance physical security.
- Implemented procedures to document inspections for maintenance issues encountered.
- Enhanced manual processes and controls to ensure accuracy of record locations.
- Ensured that staff who use warehouse equipment are properly trained and training is documented.
- Completed the Disaster Preparedness Plan.

As we had no findings, we made no recommendations.